APPROVED

by resolution No. 01-07-54 of the

Rector of ISM University of Management and Economics

on 30 August 2013

**ISM UNIVERSITY OF MANAGEMENT AND ECONOMICS, AARHUS UNIVERSITY, BI NORWEGIAN BUSINESS SCHOOL AND TARTU UNIVERSITY REGULATION ON JOINT DOCTORAL STUDIES IN THE FIELD OF MANAGEMENT**

## 1. GENERAL PROVISIONS

1. ISM University of Management and Economics, Aarhus University, BI Norwegian Business School and Tartu University regulations on joint doctoral studies in the field of management and (hereinafter referred to as the Regulation) is prepared in accordance with the Regulations on Doctoral Studies approved by Resolution No.561 of the Government of the Republic of Lithuania on 12 May 2010.
2. This Regulation lays down the procedures on doctoral studies, doctoral student’s research performance, preparation and defence of a doctoral dissertation, awarding doctor of science diploma in the field of management to which ISM University of Management and Economics, Aarhus University, BI Norwegian Business School and Tartu University (hereinafter referred to as Doctoral Institutions) were granted a right to conduct joint doctoral studies by the Ministry of Education and Science of the Republic of Lithuania.
3. The purpose of doctoral studies shall be to develop scientists able to carry out independently works of scientific research and experimental (social, cultural) development and to resolve scientific problems. Doctoral studies shall ensure for the person who has completed doctoral studies and received a degree of the doctor of science, a sufficient competence: advanced knowledge of the research work, areas of science and their interconnection; specialized abilities and methodologies to resolve problems of scientific research and other areas or to develop professional practice; ability to work independently, knowledge of science and profession in order to create new ideas or processes, participate in studies and other activity.
4. Definitions of the terms used in the present Regulation:

**Administrating University** – Doctoral institution administrating study processes and organizing doctoral studies in Lithuania.

**Candidate** – a personwho has completed the dissertation and submits it for defence.

**Doctoral student** – a student or a researcher of third cycle studies.

**Supervisor of a doctoral student (hereinafter – the Supervisor)** – a scientist who performs scientific research on the theme of the dissertation, meets the qualification requirements and guides studies and scientific research of the doctoral student.

**A working plan of a doctoral student** – individual working plan of the doctoral student indicating stages and timelines of doctoral studies, scientific research, dissertation preparation and research results dissemination.

**Doctoral Committee** **(hereinafter – the Committee)** – a group of high standard internationally acknowledged scientists composed of all partner universities representatives, responsible for doctoral studies implementation. Scientist conducting high standard international research is a researcher meeting the requirements stated in the relevant legal acts of Lithuanian Science Council, not lower than consigned for a senior science employee and involved in doctoral processes, international projects, scientific exchange programs and other international expertise activities.

**Doctoral student institution** – an institution where a doctoral student conducts doctoral studies, does research and prepares dissertation.

**Board of Defence (hereinafter – the Board)** – a group of scientists set up by the Doctoral Studies Committee which, having analysed the dissertation submitted for defence, its quality and compliance to the requirements due for the dissertations and scientific competence of the doctoral student, shall take a decision whether to award a scientific doctoral degree to an applicant.

**Research Department** – a department of Doctoral Institution organizing doctoral activities.

1. The Committee shall consist of no less than 9 scientists representing all Doctoral Institutions for the cadence of 5 years. A scientist can be a member of no more than two Committees.
2. When the right of doctoral studies in the field management has been obtained, the Committee members shall be publicly announced on the internet webpages of Doctoral Institutions. The Committee Chairperson is appointed by the Rector of Administrating Institution for 5 years cadence. The Committee Chairperson can be cancelled prior to the end of the cadence by the decision of the Rector of Administrating Institution (ISM University of Management and Economics) yet having no less than 2/3 of the Committee member’s approval.
3. Any changes concerning the Regulation and the Committee composition shall be coordinated with the Lithuanian Science Council.
4. Doctoral dissertation is defended and doctoral degree is granted by the Board in the field of management which is composed for the defence of a particular dissertation after the dissertation is finished and submitted for the defence. The Committee composes the Board out of at least three members.
5. A doctoral degree may be granted to a person who has successfully accomplished full time (up to 4 years) or part time (up to 6 years) doctoral studies, prepared and publicly defended doctoral dissertation or to a person who defended the externally prepared dissertation.
6. Doctoral studies are financed by the State budget through assignations, incomes received from scientific activities and provided services, funds allocated by the State, international and foreign foundations and organizations as well as other legally received incomes of Doctoral Institution
7. Funds for social security and payments of Committee members, supervisors, consultants, lecturers and doctoral students’, doctoral students’ research, internships, conferences and other expenses associated with the doctoral degree granting shall be foreseen in the revenue and expenditure estimates of the Administrating Institution budget.

## 2. IMPLEMENTATION OF DOCTORAL STUDIES

1. Doctoral studies and scientific research are managed by the Doctoral Committee.
2. Doctoral process is coordinated by the Doctoral Institutions.
3. The process of doctoral studies implementation is organized and administered by the Administrating University.
4. Doctoral Committee approves the conditions and requirements for the themes of dissertations and Supervisors competition as well as carries out the selection, submits lists of Supervisors and scientific consultants for approval, arranges the Admission Committee, approves the program of doctoral studies, assess the implementation of doctoral students’ working plans, carries out attestation, arranges examination committees for course studies, considers the issues regarding the postponement of doctoral students’ working plan terms, appoints reviewers for evaluating doctoral dissertations or intermediate assessments, evaluates dissertations, forms Boards of Defence.
5. The Committee analyses the situation of the doctoral program, experience and conclusions are rendered to the heads of Doctoral Institutions or other authorized persons.
6. The Committee Chairperson calls and organizes committee sittings; in case of Chairperson’s absence other Committee member appointed by the Chairperson acts as the Chairperson. The Committee Chairperson examines all received documents in advance or delegates the duty to a member of the Committee, chairs Committee sittings, signs Committee sitting’s documents.
7. A member of the Committee in advance becomes acquainted with the documents received, express own personal opinion during a sitting on the considered issue, carries out all other commissions of the Chairperson of the Committee.
8. The Secretary of the sitting handles and signs all the documents of the Committee sitting.
9. Decisions made by the Committee shall be considered to be legal when 2/3 of the members of the Committee take part in the sitting, including the Chairperson. Members of the Committee, who cannot take part in the sitting, may present their opinion on the issues being considered to the Chairperson in advance in writing or by electronic mail. These opinions are read out during the sitting. The Committee makes the final decision by voting: decisions are considered to be accepted if 2/3 of the present Committee members vote, if the votes are equal, the Chairperson of the Committee shall have the casting vote. Minutes and decisions of the Committee sitting are handed to the Research Department of the Administrating Institution which refers the information to the responsible persons of the Doctoral Institutions.
10. Other invited persons can be asked to take part in the sittings of the Committee. Sittings of the Committee can be organised via electronic communication devices in a distance way (by video conference).
11. The Doctoral Institution following the rules and orders established by the Committee announces the competition for the dissertation themes and Supervisors of the doctoral students as well as announces an open admission to the doctoral studies competition; administrates funds allocated for the implementation of Doctoral Institution’s doctoral program; accepts documents of the candidates for applying to doctoral studies, prepares the orders concerning the implementation of doctoral studies, appointing Supervisors and consultants of doctoral students, Board of Defence formation. Manages doctoral students’ working plan establishment, doctoral dissertation and summary issuing, dissertation defence procedure, creates proper conditions for the doctoral student to prepare and execute his/her working plan, prepare and defend doctoral dissertation, forms and keeps doctoral student’s file, prepares and renders reports on the execution of doctoral studies to the Administrating University.
12. The Administrating University organizes the competition for the dissertation themes and Supervisors of the doctoral students as well as open admission to the doctoral studies competition, renders reports to the Ministry of Education and Science of Lithuania, Lithuanian Science Council and other institutions regarding the implementation of doctoral studies, organizes information and data regarding the process of doctoral studies, keeps the minutes of the Committee sittings and other documents, manages the production, registration and account of doctor of science diploma blanks, issues the diplomas of doctor of science, registers them.
13. Doctoral studies and research are organized by the Research Departments of the Doctoral Institutions.

## 3. ADMISSION TO DOCTORAL STUDIES

1. No later than six weeks prior to the admission to doctoral studies, the Administrating University announces a competition for dissertation themes and Supervisors. The Committee determines conditions and procedure of this competition.
2. The Committee compiles the list of dissertation themes and Supervisors; it is confirmed by the Committee minutes. The Committee may compile a competitive order of dissertation themes and Supervisors. Upon receipt of the minutes of the Committee, Research Department of the Administrating University announces the conditions of admission to doctoral studies, the list of the dissertation themes and Supervisors and delivers this information to the Doctoral Institutions.
3. A candidate presents an application for admission to doctoral studies to the Research Department of the Doctoral Institution. Along with the application a candidate shall present the following documents:

27.1. a Master‘s diploma or that of completion of single-level studies with a diploma supplement (originals and copies, originals to be returned immediately; a document certifying the academic qualification acquired abroad issued by the Centre for Quality);

27.2. recommendations of two scientists;

27.3. Curriculum Vitae;

27.4. a list of research works and their copies;

27.5. a research proposal;

27.6. a copy of a personal identification document;

27.7. other relevant documents listed in the advertisement to the doctoral studies admission.

1. The admission to doctoral studies is organized by the Research Department of the Administrating University and implemented by the Enrolment Commission which is formed by the Committee. An interview with the Enrolment Commission must be attended by all candidates. The Enrolment Commission may organize an enrolment examination.
2. Lists of candidates formed by the Enrolment Commission and its decision upon the enrolment of a candidate in doctoral studies shall be endorsed by the minutes of the Commission. The Chairperson of the Commission and the secretary of the sitting shall sign it. The Commission submits enrolment results, candidate’s enrolment provision, minutes of the Commission and documents to the Committee for approval; The Committee’s decision regarding the candidate’s enrolment to doctoral studies is final.
3. If after the admission positions under the University quotas remain vacant or if at the beginning of the study year part of the enrolled students fail to start studies, the Administrating University may organize a second stage of admission which will be implemented in the same manner.
4. A person is admitted to doctoral studies by the order of the Head of a Doctoral Institution, indicating the field of science, form of studies, length of studies and the source of funding. The order is prepared by the Research Department of a Doctoral Institution in accordance with the Enrolment Commission minutes. A bilateral agreement between a doctoral student and a Doctoral Institution is signed.
5. The enrolment criteria, its’ rates and the calculation of competitive grades are approved by the Committee minutes each year, no later than 4 week prior to the announcement of enrolment competition.
6. Citizens of foreign states (other than European Union (hereinafter – EU) Member States) applying to doctoral studies pay the study fee established by the Doctoral Institution with which the applicant signs the agreement. EU citizens participate in the competition under the regular procedure.
7. The Committee during one month after the admission organize a sitting, where approves the dissertation themes and Supervisors for the newly admitted doctoral students. The Committee provision is finalized in the minutes of the Committee sitting which is presented to the Research Department of the Administrating University. The Committee sitting can be organised in a distance way (by video conference).
8. The Research Department of a Doctoral Institution keeps the personal file of a doctoral student (or a doctoral student who wish to receive the doctoral degree externally) during the entire period of his/her doctoral studies and two years following the completion of doctoral studies. Later the file is handed over to the archives of the University. The personal file shall include:

35.1. an application to be enrolled in doctoral studies with annexes specified in the advertisement to the doctoral studies admission;

35.2. documents of enrolment to doctoral studies;

35.3. documents of appointing the Supervisor and consultants;

35.4. a study agreement;

35.5. a working plan of a doctoral student;

35.6. documents of annual attestations of the doctoral student;

35.7. documents of postponing the terms of the programme of research and doctoral studies;

35.8. protocols of doctoral studies examinations;

35.9. documents of internships and visits;

35.10. a list and copies of published scientific articles and articles accepted for publication;

35.11. a decision of doctoral studies termination – if a doctoral student has been expelled from doctoral studies by implications of annual attestation or any other reasons or else if the dissertation has not been submitted for defence by the end of the doctoral studies.

35.12. an application of a doctoral student asking for permition to defend the dissertation and the documents related to it (minutes of the primary dissertation consideration, approvals of the Supervisor and the Committee for the dissertation defence, minutes of the dissertation assessment, minutes of the dissertation defence, documents of appointing the Board, etc.);

35.13. a document signed by a Candidate guaranteeing that the dissertation has been prepared independently;

35.14. a copy of a dissertation (summary);

35.15. documents certifying that the dissertation has been presented to the Martynas Mazvydas National Library of Lithuania and the libraries of Doctoral Institutions;

35.16. a copy of doctoral diploma.

1. Personal file of a person who has failed to be accepted or have not completed the doctoral studies shall be stored at the Research Department of the Doctoral Institution, and later transferred to the archive.
2. A person who has failed to be accepted or disagrees upon the appointed dissertation theme within 3 working days after the announcement of the Committee’s decision has a right to file an appeal to the Committee. The Committee examines and replies the appeal within 5 working days. If the appeal is repulsed, a person within 3 working days can file the appeal to the Head of the Doctoral Institution to which he/she applied or has been allocated to.

## 4. SUPERVISION OF DOCTORAL STUDENTS

1. Doctoral student’s Supervisor supervises research and studies of a doctoral student. A Supervisor may at the same time supervise not more than 5 students.
2. After receiving the Committee minutes regarding the appointing of Supervisors, the Research Department of the Doctoral Institution no later than one month after the admission, present the list of Supervisors to the Head of the Administrating University for approval. Scientific consultants (if considered necessary by the Committee) shall be approved under the same procedure as the Supervisor.
3. Supervisor and consultants must meet the qualification requirements applied for the participants of doctoral study process, stated in the relevant legal acts of Lithuanian Science Council, not lower than consigned for a senior science employee. The Committee presents Supervisor and scientific consultants‘ written agreements and documents showing the compliance with the qualification requirements of the doctoral study process to the Research Department of the Administrating University.
4. Supervisor together with the doctoral student prepares and corrects working plan of a doctoral student; provides the doctoral student with methodical assistance, constantly monitors doctoral process of a doctoral student, renders assistance to the doctoral student on the issues related with the organization of studies, carrying out research and the preparation of the dissertation; for each attestation of the doctoral student presents evaluation on the process of his/her working plan and the expedience of continuing the doctoral studies; each year presents an evaluation of doctoral student’s scientific input; when the Candidate submits the prepared dissertation, Supervisor renders a review on doctoral dissertation’s ability to be defended publicly; participates in the sitting where the dissertation of a doctoral student is being considered for its public defence; every June submits an individual report of research work to the Research Department of Administrating University; attends the sittings of the process of the doctoral studies. Supervisor may advise the Committee to appoint a scientific consultant for a doctoral student and suggest his/her candidature.
5. Scientific consultant consults a doctoral student on the issues related to some branch of the research field; organizes research and experiments in other Lithuanian or foreign universities. A scientific consultant may be a scientist of other research field as well.
6. Research Department of Doctoral student institution establishes conditions for a doctoral student to successfully implement working plan, monitors the doctoral student’s doctoral process, provides information regarding the doctoral study process, encourages doctoral student’s mobility, organizes doctoral student’s academic practice, and helps to develop excellence in research throughout the doctoral training period. For each doctoral attestation presents an opinion on the results of doctoral student’s studies and research and expedience of continuing the doctoral studies.
7. Within one year prior to the end of doctoral studies, a doctoral student has a right to file an appeal to the Head of the Doctoral student institution and the Committee to replace the Supervisor or consultant. The appeal shall be examined and a decision taken within two months of the filing date. If the doctoral student’s appeal is satisfied, the Committee announces the competition for the Supervisor position. If there is less than one year before the end of doctoral studies the Supervisor replacement is possible only in case of Committee’s unanimous vote.

## 5. DOCTORAL STUDENT‘S WORKING PLAN

1. The doctoral studies consist of no less than 3 study subjects with the total scope of no less than 30 ECTS credits. All study subjects need to be attended and examinations taken within the first three study years. All study subjects are lectured in English language unless the Committee decides differently.
2. The Committee approves study subjects, teaching language, programmes of the study subjects. The Research Department of the Doctoral Institution arranges study organization plan and composes the agenda for lectures, seminars and examinations.
3. A doctoral student together with the Supervisor no later than within one month after the Supervisor’s approval prepares the study and research plan for whole study period. The program shall include the deadlines of all works to be carried out. Full time doctoral students revise the working plan at the end of the fourth semester, part time doctoral students – at the end of the sixth semester. Working plans of doctoral students are submitted to the Doctoral student institution Research Department.
4. Targeted scientific research is carried out from the beginning of doctoral studies. Doctoral student’s study and research plan is composed of: the analysis of scientific literature, scientific research, the analysis of data obtained, development and publication of scientific articles, scientific reports in international conferences, internships, preparation of dissertation, and etc.
5. A doctoral student together with his/her Supervisor submits an application to the Committee to study doctoral subjects of specialization at a foreign university. Together with the application the program and the agenda of the subjects shall be presented. The Committee, having considered the proposal of the Research Department of the Doctoral Institution, shall decide upon suitability and the possibilities of attending the lectures and taking examinations of the subjects at a foreign university. Expenses of a doctoral student related to the studies of the subject of the doctoral studies at a foreign educational institution shall be covered in accordance with the established procedure for covering Doctoral Institution expenses. Study credits may be accumulated by participating at doctoral summer schools or partly studies at a foreign university. Decision of their inclusion is taken by the Committee.
6. An individual study and research plan of a doctoral student, authorized by the Research Department of a Doctoral Institution, is approved by the Committee.
7. A doctoral student carries out research in accordance with the approved working pan. The content, scope, quality and deadlines are evaluated during the doctoral student’s assessment.
8. A doctoral student of a Doctoral Institution is entitled to have access to research equipment and devices available at the University that are necessary for his /her research provided in the research plan.
9. In accordance with the procedure established by a Doctoral Institution, doctoral students have a right to request for expenses reimbursement of participating in scientific conferences and seminars.

## 6. DOCTORAL STUDENT‘S KNOWLEDGE, ABILITIES AND SKILLS ASSESSMENT AND ATTESTATION

1. The study course of each subject ends with an examination. No less than two-member examination commission is formed for the purpose. The composition of the commission is authorized by the Committee. The members of the commission may include the course teachers, members of the Committee and other scientists – active specialists in the particular field of science, including Supervisors and scientific consultants. Examinations can be conducted both orally and in writing.
2. The results of the passed examination are recorded in the examination protocol and signed by all members of the examination commission. The examination protocols are presented to the Research Department of a Doctoral Institution; the results of examinations are stored in the academic database system.
3. If the student fails to pass an examination it may be once retaken, but not earlier than after one month. If the doctoral student fails to pass the re-examination, a Doctoral Institution organizing the study subject, may settle a subject repetition fee that will be covered by the doctoral student. During the non-routine attestation the Committee can decide not to attest doctoral student because of the academic debt.
4. Upon the submission of the Supervisor the Committee may accept previously taken examinations in the subjects studied within the framework of the doctoral program as passed.
5. Every year at the end of Fall semester, the Research Department of Doctoral student institution assess doctoral student‘s academic input. The minutes of the meeting is prepared by the Research Department, it is filed in the doctoral student‘s file and submitted to the Committee during the Spring attestation.
6. Every year at the end of Spring semester with the presence of the Supervisor and consultant (if appointed) a doctoral student presents his/her academic input to the Committee. The Committee evaluates doctoral student‘s working plan implementation and research quality and gives doctoral student a positive (thereby approves the continuation of the doctoral studies and specifies the working plan for the next year) or negative (thereby suggests to terminate the doctoral studies) evaluation. The Committee submits the minutes of the attestation and the documents presented by the doctoral student to the Research Department of the Administrating University. A doctoral student who receives a negative evaluation is expelled from the doctoral studies by the order of the Head of the Doctoral student institution. The Committee may decide to arrange a repeatedly attestation in cases when a doctoral student partly executes the study and research plan requirements, the attestation may be arranged after three months. Minutes of the Committee regarding doctoral students’ attestation and the documents presented for the doctoral student’s attestation are presented to the Research Department of the Administrating University, the latter passes on the documents to the Doctoral Institution.
7. In cases when a doctoral student does not execute the requirements of the research working plan, Supervisor, Research Department and The Committee may offer to arrange a non-routine attestation of a doctoral student.
8. The Committee may appoint reviewers to evaluate doctoral student’s academic input. The process of dissertation review is organized by the Research Department of a Doctoral student institution.
9. By doctoral student request and provision of the Research Department the Head of a Doctoral student institution by his order may postpone the deadlines for doctoral studies, research, examinations, preparation of a dissertation or other evaluations.
10. Having coordinated with the Head of the Research Department and the Chairperson of the Committee and by order of the Head of the Doctoral Institution doctoral student can be allowed to temporarily terminate his/her doctoral studies but no longer than for a one-year time period.
11. If assessment for a full time State funded doctoral student is postponed longer than for one month period, the scholarship payment is postponed accordingly.
12. A doctoral student can carry out research or part time study at other State or foreign institutions. This period of time shall be included into the total doctoral studies duration. Following the procedure of business trips established by the Government, doctoral student shall go on such trips by the order of the Head of a Doctoral student institution having filed an application of an established form that has been co-ordinated with the Supervisor and the Research Department. Expenses of the trip can be covered by the projects and programmes administered by the Doctoral student institution, Doctoral Institution, the hosting institution, a doctoral student or any other sources. Management and financing of doctoral students’ trips shall be carried out according to the procedure established by the Doctoral student institution.
13. A doctoral student performs academic practice the scope and content of which is specified in the Doctoral Institution’s procedure of doctoral students’ academic practice. The procedure is approved by the Committee. A doctoral student can engage in pedagogical activities if it corresponds with Doctoral student institution’s requirements and ability.
14. The Research Departments of Doctoral Institutions may organise theoretical seminars, scientific discussions, methodological workshops, and summer seminars for doctoral students.

## 7. PREPARATION AND EXAMINATION OF DOCTORAL DISSERTATION, AWARDING OF A DOCTORAL DEGREE IN SCIENCE

1. The doctoral dissertation shall consist of the text and summary of the dissertation accompanied by the copies of scientific publications on the theme of the dissertation of the person who has submitted the application to defend the dissertation (hereinafter – Candidate).
2. A scientific monograph can be also submitted for defence as a scientific doctoral dissertation where it has been written by a Candidate without co-authors. A summary of the monograph shall be also submitted; In this case other scientific publications shall be submitted if they are needed to reveal the theme of the dissertation.
3. The dissertation must define relevance of the chosen topic, the purpose of the work, formulate tasks, research problem, goals, indicate scientific novelty of the work, review the research carried out in the world on the theme of the dissertation, present the applied methods of the research, discuss the outcome of the research, substantiate their reliability and relationship with the data of other researchers and formulate the conclusions and other aspects important in the opinion of the Candidate. The dissertation shall be submitted together with the list of scientific conferences where the results of the dissertation research have been presented as well as the description of life, scientific and creative activity of the Candidate – *curriculum vitae.* The recommended volume of the doctoral dissertation is approximately 8−10 printer’s sheets.
4. Texts of the dissertation shall be written in the English language or, if approved by the Committee, in another language. The summary of the dissertation or of the monograph defended as a dissertation shall be written in the language other than of the text of the dissertation or monograph. In the cases when the text of the dissertation or monograph is written in the other than Lithuanian language, it is compulsory to submit a summary in Lithuanian language. The dissertation must be written in a correct language. The summary must define the scientific problem being considered in the dissertation, specify the objectives and goals of the scientific work indicate scientific novelty of the work, present the applied methods of the research, main outcomes and conclusions defended by a doctoral student, list of student’s publications on the subject of the dissertation and short information about the doctoral student. The volume of the summary in one language is about 1,5 printer’s sheet. Specimens of the title page and the second page of a dissertation (in case of a monograph – its’ summary) are laid out in the annex No. 1.
5. The doctoral student shall have the right to present the doctoral dissertation for defence after he/she:

72.1. takes all the examinations specified in the working pan;

72.2. announces the main results of the research in at least two articles published (or accepted for publication) in peer-reviewed scientific publications, or in a scientific monograph;

72.3. announces research results in at least two international scientific conferences, seminars;

72.4. executes the academic practise;

72.5. prepares the dissertation and its summary.

1. A doctoral student of a University submits a request on behalf of the Committee for dissertation defence together with the following documents:

73.1. a list of published scientific articles on the theme of the dissertation and their copies (if the article has not been published yet it is necessary to attach a certificate from the editorial board of the publication specifying that the articles has been accepted for publication);

73.2. a description of life, and scientific and creative activity of Candidate – *curriculum vitae*;

73.3. two copies of the printed doctoral dissertation and its summary;

73.4. reviews by the Supervisor and consultants (if any) regarding the suitability of the dissertation to be publicly defended;

73.5. an agreement to announce the dissertation in the Lithuanian Electronic Database of Theses and Dissertations (ETD) within two weeks after the public defence.

1. The Research Department of a Doctoral student institution, having established that the documents submitted comply with the established formal requirements, shall submit the application with annexes to the Committee.
2. Upon receipt of the application of a doctoral student asking to allow him/her to defend the dissertation and its manuscript, the Committee shall appoint at least two reviewers to assess compliance of the dissertation with specific requirements within one month following the day of receipt of the application.
3. Not later than within two months after the documents concerning the dissertation defence have been received, the Committee Chairperson convokes an open meeting with the doctoral student (Candidate) and his Supervisor, reviewers as well as other invited researchers participating in it. The Committee hears the doctoral student’s report (about 30 minutes) about the scientific work, where doctoral student discloses relevance, problem, goal, tasks, scientific and practical novelty, originality of the dissertation along with the main outcomes revealed. After doctoral student’s presentation a scientific discussion shall take place during which the reviewers shall give their opinions (if the reviewers do not participate in the meeting, their reviews are read out by the Chairperson of the Committee) on the dissertation and transferable skills of the doctoral student (Candidate) as well as answers to the comments made by the reviewers, members of the Committee and other invited scientists are assessed and opinions of the Supervisor (and consultants) of the doctoral student (Candidate) about the dissertation are presented.
4. The Committee evaluates with objective reasoning the aims and goals of dissertation, scientific novelty, relevance and originality of the work; review of research carried out abroad and in Lithuania in the field defended dissertation, research methodology description, reliability and validity of the results obtained; the validity of formulations of the conclusions and conformity to research substance; compliance of the summary project and content of the dissertation; compliance of the published scientific articles and the results of the research presented therein with the main statements presented in the dissertation being defended.
5. The Committee may conclude that:

78.1. the dissertation is prepared correctly, it complies with the requirements established in the Regulations on Doctoral Studies approved by the Government and this Regulation, the doctoral student has pursued the requirements listed in the Regulations on Doctoral Studies and this Regulation and the dissertation can be submitted for defence without any corrections or amendments;

78.2. the dissertation and its summary must be corrected. The dissertation is returned to the doctoral student, time period for correcting the dissertation is established;

78.3. the dissertation does not meet the requirements.

1. If the dissertation meets all the requirements, the Committee:

79.1. forms the Defence Board consisting of at least three scientists and appoints one of its members to be Chairperson of the Board. The Committee shall ensure that there arise no conflicts of interests between the members of the Defence Board and Candidate or his Supervisor (in case the dissertation is being defended externally – the consultant). At least one member of the Defence Board must be from a foreign research and higher education institution. Members of the Board must be scientists working in the same field of science, but must not have joint publications with the doctoral student. At least two members of the Board must be scientists working at the other than Doctoral student institution;

79.2. decides what language shall be used during the public sitting of the Defence Board;

79.3. obligates the Research Department of a Doctoral student institution to collect agreements of the possible members of the Board and the data (lists, certificates, etc.) proving their compliance with the qualification requirements applied for the members of the doctoral studies process;

79.4. compiles a list of institutions, which are obligatory to be informed about the defence of the dissertation;

79.5. suggests the date for the dissertation defence;

79.6. prepares provision to the Head of a Doctoral student institution and renders it to the Research Department of an Administrating Institution.

1. Upon receipt of the minutes of the Committee about the decision on allowing the doctoral student to defend the dissertation, the Research Department of a Doctoral student institution shall draw up the plan of completing and publishing the dissertation, which is given to the doctoral student to be carried out. The expenses of dissertation and dissertation summary publishing and dispatching are covered by the Doctoral student institution.
2. Not later than within 30 calendar days prior to the defence of the dissertation the Research Department of a Doctoral student institution shall act the following:

81.1. present the dissertation (and its summary) to the members of the Defence Board;

81.2. send a notification about the dissertation planned to be defended to the Science Council of Lithuania, Lithuanian and foreign research and higher education institutions the list of which has been approved by the Committee. The notification shall include: the name and surname of Candidate, the institution in which the dissertation has been prepared, name of the Supervisor (when the dissertation is defended externally – name of the consultant) and the members of the Defence Board (scientific degree, name, surname, the field (fields) and branch (branches) of science and the institution), title of the dissertation, place and the time of defending, address of the Internet website of on which the dissertation is exposed.

1. Members of the Defence Board shall present their reviews in writing not later than five days prior to the defence of the dissertation to the Research Department of a Doctoral student institution. The Department shall hand over the reviews to the doctoral student.
2. The dissertation shall be defended in the English language at an open sitting of the Defence Board when needed a synchronically translation into other languages shall be organized. The Chairperson of the Defence Board shall chair the sitting. The sitting shall be deemed to be valid if more than half of the members of the Defence Board take part therein (including those who participate by way of videoconference). If the Board consists of three members, the sitting shall be deemed to be valid when all the members participate in it. The opinions of the members of the Defence Board who do not take part in the sitting and other received comments shall be read out during the sitting.
3. In case the dissertation contains information regarding commercial secrets, by the decision of the Committee the dissertation shall be defended at a closed sitting. In the notification about the defence of the dissertation it shall be indicated that the dissertation will be defended at a closed sitting.
4. During the defence process Candidate shall present the most significant results and conclusions of his/her work, specify contribution to the publications presented in the dissertation. In their review members of the Defence Board shall specify and reasonably assess the scientific level of the dissertation, novelty and originality of the results, reliability and validity of conclusions, indicate shortcomings and inaccuracies of the work, and during the defence procedure – assess the scientific competence of Candidate. The Candidate shall answer the raised questions and comment on the remarks presented.
5. After the discussion with the Candidate, members of the Defence Board decide by secret voting on the granting of doctoral degree. If a dissertation defence process is organized remotely, i.e. at least one member of the Board participates by videoconference, the secret voting is executed via Internet, the Board members in advance are provided with the passwords for connecting to the Internet voting system. Internet voting results are provided to the Chairperson of the Board. All present members of the Board fill in the secret voting bulletins. During the secret vote procedure the Board members are not obliged to leave the room where the Board sitting takes place. The voting results are announced by the Board Chairperson.
6. The decision to grant the doctoral degree in science is taken if more than half the members of the Defence Board vote for it. The minutes of voting on awarding a scientific doctoral degree to the Candidate shall be signed by all the members of the Defence Board who participated in the sitting directly.
7. If the Defence Board decides that the scientific doctoral degree should not be awarded, an amended and (or) supplemented dissertation can be submitted for defence not earlier than after a period of one year. In this case the dissertation is defended externally. In that case if a fact of scientific dishonesty (plagiarism, counterfeit, corruption, etc.) is established, dissertation cannot be defended.
8. The Research Department of the Doctoral student institution handles the documents of the Board and organise its sitting. Following the defence of the dissertation all documents of the defence and the minutes of the sitting, as well as the decision of the Board on whether the scientific doctoral degree should be awarded to a doctoral student shall be handed over to the Research Department of the Administrating University. On their basis the Research Department of the Administrating University shall issue a diploma of doctor of science.
9. By the order the Head of the Administrating University a university representative can be appointed to observe the work of the Board and together with the Chairperson of the Board to ensure adherence to the provisions of the doctoral studies in science and the Regulation on Doctoral Studies of the University.
10. The Research Department of the Administrating University, not later than within 10 working days following the sitting during which the dissertation was defended, shall inform the Science Council of Lithuania and the Ministry of Education and Science about the defended dissertation following the procedure established by them. Within two weeks, following a public defence of the dissertation, one copy of the defended dissertation shall be presented to the Martynas Mazvydas National Library of Lithuania and published in the Lithuanian Electronic Theses and Dissertation Database (ETD).
11. Doctoral student Institution shall award the degree of doctor of science to the person who successfully defended the dissertation. A registered diploma of doctor of science shall be awarded to the scientist following the procedure of the Doctoral student institution after the dissertation has been published in the Lithuanian Electronic Theses and Dissertation Database (ETD). The form, production, registration and account of doctor of science diploma blanks are established by the Government of the Republic of Lithuania.
12. When the fact of scientific dishonesty is established or a doctoral degree has been in prejudice to the present Regulation, a Doctoral student institution has a right to cancel the doctoral degree in science.
13. If a doctoral student submits the dissertation by the end of doctoral studies but fails to defend it on time, the dissertation can be defended in the regular way in the period of 12 months following the end of doctoral studies. The dissertation not defended during this period shall be defended in an external way following the requirements stated in chapter 8 of this Regulation.
14. An appeal or a complaint concerning a scientific degree, the rejection of an application of an external or full-time doctoral student asking to allow him/her to defend the dissertation and other issues related to carrying out the doctoral studies shall be filed in the name of the Head of the Doctoral Institution following the order of the institution. The Head of the Doctoral Institution shall hand over the appeal or a complaint to the Committee or relevant departments of the University or to specially created structures to be considered. The appeal or the complaint must be considered and the decision must be taken within two months following the day on which they were received. The response in the name of the Head of the Doctoral Institution regarding the decision taken shall be forwarded to the applicant in 30 days following the decision taking.

## 8. OBTAINING A DOCTOAL DEGREE IN SCIENCE EXTERNALLY

1. A person holding Master’s qualification degree or an equivalent higher education shall be entitled to seek for a doctoral degree in science (hereinafter – an external student). An external student must have a scientific monograph published or the main results of his/her dissertation publicised in at least two articles published in reviewed scientific publications, and must have prepared a dissertation.
2. An external student shall submit an application to receive a permit to defend a doctoral dissertation to the Research Department of a Doctoral Institution in the name of the Head of the Doctoral Institution. The following documents must be attached to the application:

97.1. manuscript of the dissertation or an issued scientific monograph;

97.2. list of scientific publications and electronic copies thereof;

97.3. copies of diploma of the master’s qualification degree (or an equivalent higher education) and its supplements; a document certifying the academic qualification acquired abroad issued by the Centre for Quality;

97.4. certified copies of the protocols of the study examinations (if any) of the doctoral studies or their excerpts;

97.5. a description of life, scientific and creative activities – *a curriculum vitae;*

97.6. a copy of a personal identification document.

1. Head of the Doctoral Institution or an authorised person directs the application to the Research Department of a Doctoral Institution. Having established that the application meets the admission requirements, the Research Department renders the application and its annexes to the Committee.
2. The Committee examines the submitted material and not later than 3 months after the application has been received concludes if the manuscript of the dissertation or an issued monograph meets the requirements or doctoral dissertations.
3. The Committee appoints not less than two experts to evaluate the dissertation. The Committee may also call a meeting where the person presents the dissertation and determines whether the submitted material meets the requirements of 19-21, 37 of the Regulations of Doctoral Studies in Science[[1]](#footnote-1).
4. In case of a positive decision, the Committee following the established procedure shall act the following:

101.1. assign the external student to a Doctoral Institution;

101.2. present a candidature of a scientific consultant to the Head of a Doctoral Institution to be approved;

101.3. establish the compulsory doctoral subjects to be studied during the doctoral studies and the deadlines of their examinations; appoints the examination commission (commissions); decides upon the acknowledgement of already taken examinations of the study subjects;

101.4. set the date for the dissertation defence, that is not later than one year following the day on which the decision was made.

1. An external student shall cover only the expenses that are directly related to obtaining a doctoral degree in science to the Doctoral institution.
2. In case the Committee rejects the application of an external student to defend the dissertation, the external student shall have the right to file an application to the Doctoral Institution again not earlier than within one year.

**ANNEX 1**

Specimen of the first and second page of the cover sheet of a doctoral dissertation (or first and second page of the cover sheet of summary if a monograph is defended)

Specimen No. 1

*Specimen of the first page of the cover sheet of a doctoral dissertation*

(INSTITUTION WHERE THE DOCTORAL DISSERTATION IS DEFENDED)

Student’s Name, Surname

TITLE OF THE DISSERTATION

Doctoral Dissertation

Social Sciences, Management, 03S

Vilnius, 2011

Specimen No. 2

*Specimen of the second page of the cover sheet of a doctoral dissertation*

The dissertation was prepared in 20\_\_-20\_\_ at (Title of a doctoral institution) under the decree (number) for the right of doctoral studies granted for (titles of the institutions) by the Ministry of Education and Science in (date).

*(If a doctoral dissertation is defended externally)*

The dissertation was prepared in 20\_\_-20\_\_ at (Title of a doctoral institution) under the decree (number) for the right of doctoral studies granted for (titles of the institutions) by the Ministry of Education and Science in (date).

Dissertation is defended externally.

Supervisor:

prof. dr. habil. Name, Surname (Title of the institution, field and branch of science, field code). (If there were two supervisors, time period of each shall be specified).

Scientific consultants:

prof. dr. habil. Name, Surname (Title of the institution, field and branch of science, field code)

*(If a doctoral dissertation is defended externally)*

Scientific consultant:

prof. dr. habil. Name, Surname (Title of the institution, field and branch of science, field code)

prof.dr. Name, Surname (Xxxx Yyyy university (State), field and branch of science, field code)

Specimen No. 3

*Specimen of the first page of the cover sheet of a doctoral dissertation summary*

(INSTITUTION WHERE THE DOCTORAL DISSERTATION IS DEFENDED)

Student’s Name,Surname

TITLE OF THE DISSERTATION

Summary of Doctoral Dissertation

Social Sciences, Management, 03S

Vilnius, 2011

Specimen No.4

*Specimen of the second page of the cover sheet of a doctoral dissertation summary*

The dissertation was prepared in 20\_\_-20\_\_ at (Title of a doctoral institution) under the decree (number) for the right of doctoral studies granted for (titles of the institutions) by the Ministry of Education and Science in (date).

*(If a doctoral dissertation is defended externally)*

The dissertation was prepared in 20\_\_-20\_\_ at (Title of a doctoral institution) under the decree (number) for the right of doctoral studies granted for (titles of the institutions) by the Ministry of Education and Science in (date).

Dissertation is defended externally.

Supervisor:

prof. dr. habil. Name, Surname (Title of the institution, field and branch of science, field code). (If there were two Supervisors, time period of each shall be specified).

Scientific consultants:

prof. dr. habil. Name, Surname (Title of the institution, field and branch of science, field code)

prof. dr. Name, Surname (Title of the institution, field and branch of science, field code)

*(If a doctoral dissertation is defended externally)*

Scientific consultant:

prof. dr. habil. Name, Surname (Title of the institution, field and branch of science, field code).

Doctoral dissertation is being defended at (Title of the institution) (field of science) Defence

Board:

Chairperson

prof. dr. habil. Name, Surname (Title of institution, field and branch of science, field code)

Members:

prof. dr. habil. Name, Surname (Title of institution, field and branch of science, field code)

prof. dr. habil. Name, Surname (Title of institution, field and branch of science, field code)

The official defence of the doctoral dissertation will be held at the public/ closed session of (field of science) Defence Board on \_\_\_\_\_\_ (day), \_\_\_\_\_\_\_ (month), \_\_\_\_\_\_ (year),\_\_\_\_\_ (time) at (title of the institution, room).

Address: Ausros Vartu Str. 7A, LT-01304 Vilnius, Lithuania

The summary of the dissertation was sent out (date)

The dissertation is available at (list of institutions in alphabetical order) libraries

1. The Resolution No. 561 on Regulations on Doctoral Studies in Science adopted by the Government of the Republic of Lithuania on 12 May 2010. [↑](#footnote-ref-1)