

This is an official translation of the Regulation for Doctoral Studies, approved by Resolution No. V3-S-29 of the KTU Senate of 11 April 2012, by Resolution No. 516 of the ASU Senate of 18 April 2012, by Resolution No. 2 of the LEI Research Council of 6 April 2012. Lithuanian version of this Regulation prevails over this translation in case of dispute.

**KAUNAS UNIVERSITY OF TECHNOLOGY, ALEKSANDRAS STULGINSKIS
UNIVERSITY, LITHUANIAN ENERGY INSTITUTE
REGULATION ON DOCTORAL STUDIES IN THE FIELD OF OF
ENVIRONMENTAL ENGINEERING AND LAND MANAGEMENT**

I. GENERAL PROVISIONS

1. This Regulation on Doctoral Studies in the science field of Environmental Engineering and Land Management (hereinafter: Field) is prepared in accordance with the Regulations on Doctoral Studies approved by Resolution No. 561 of the Government of the Republic of Lithuania of 12 May 2010 (Valstybės žinios (Official Gazette) No. 59-2900, 2010) and the agreement for joint doctoral studies among Kaunas University of Technology (hereinafter referred as KTU or Coordinating institution), Aleksandras Stulginskis University (hereinafter: ASU) and Lithuanian Energy Institute (hereinafter; LEI).

2. This Regulation lays down the procedures on admission to joint doctoral studies of the field of science (hereinafter: Doctoral studies), supervision of doctoral students, preparation and approval of doctoral study and research plan, doctoral studies, the assessment of doctoral student's knowledge, abilities and skills, doctoral research performance, preparation, analysis and defence of a dissertation, issuing of doctorate diploma, performance evaluation of a doctoral student and postponement of deadlines, as well as reviewing requests for external defence of dissertations, examination of appeals and complaints, funding of doctoral studies and document storage, approval of the doctoral committee's resolutions and their implementation procedure; the requirements for the doctoral committee members, scientific supervisors, members of the dissertation defence boards; and functions and work procedures for persons, units or purposefully designed structures involved in the process of doctoral studies in the field of science to which KTU together with ASU and LEI were granted a right by the Minister of Education and Science of the Republic of Lithuania by the order No.V-327 on 24 February, 2012.

3. KTU Senate, ASU Senate and Research Council of LEI, after coordination with the Research Council of Lithuania, institute and confirm the Doctoral Committee (hereinafter referred as Committee), appoints the Chairman, confirms the Regulation and its alterations. The Committee is to be composed of ten scientists, including five scientists from KTU, three scientists from ASU and two scientists from LEI. The members of the Committee or the defence board can be persons, who have published at least five scientific works within the last five years: monographs or book chapters published by internationally recognized academic publishers; scientific articles in journals with Impact Factor higher than 0.2 in relation to the Aggregate Impact Factor for the correspondent ISI JCR subject category (if the journal is assigned to several categories, the calculation is made in accordance with the average of the Aggregate Impact Factors for the subject categories); patents granted by the European Patent Office (EPO), the United States Patent and Trademark Office (USPTO) or the Japan Patent Office (JPO), owned by Lithuanian natural or legal persons; other internationally significant works for the subject area. Scientific supervisors and scientific advisors, as well as teachers teaching in doctoral studies shall meet the following requirements: within the

last five years they have published at least 3 scientific articles in international scientific journals with Science Citation Index (SCI) and have published at least 1 scientific article in international scientific journal with SCI and 1 monograph, or at least 1 scientific article in international scientific journal with SCI and have carried out research and experimental development works of LTL 200 thousand in total.

The constitution of the Committee is to be revised every four years. If the Committee member does not meet anymore the requirements listed above, new members are to be admitted into the Committee. Subdivisions of the Field submit candidacies for Research Affairs Departments of respective Institutions. Respective Institutions, after scientific indicators of candidates are evaluated, depute a respective number of scientists into the Committee. Committee Chairman is to be elected by all Committee members by absolute majority voting from the Committee members deputed by the Coordinating Institution.

4. Doctoral studies and research are coordinated by the Committee. The Committee carries out the selection of dissertation topics, submits a list of scientific supervisors to be approved, acts as a mediator in the appointment of scientific advisors, provides conclusions on the research level of the departments and the compliance with qualification requirements of scientists involved in the process of doctoral studies; doctoral studies, research and publication of findings, as well as on doctoral dissertation preparation programmes and their implementation; provides with requirements regarding the language of dissertation, implements doctoral students' performance evaluation, guarantees the success of doctoral studies and implements the upgrade, acts as a mediator in the postponement of deadlines, evaluates the final draft of dissertations, forms dissertation defence boards (hereinafter – the Board). The Committee is to present all the submissions, proposals and decision protocols to the Research Affairs Departments of the Institutions, and they in turn provide the Heads and Senates of the Institutions with the material.

5. The purpose of doctoral studies is to train scientists capable of independently performing research and development (social) activities and able to solve scientific problems. Doctoral studies last for 4 years (full-time) or 6 years (part-time). Doctoral studies involve studying, targeted research and preparation of a dissertation.

6. Doctoral studies are financed by the State budgeted through assignments, State investment programmes and State investment project funds, incomes received as tuition fees, as well as incomes received for economic and research activities and services provided, as well as programme based competitive research funding, funds allocated by the State, international and foreign foundations and organizations, and other legally obtained incomes.

7. Funds for doctoral scholarships, payments and social security of members of the Board, doctoral students' supervisors and scientific advisors, doctoral students' research (if possible, for publications in international journals), dissertation and its abstract duplication, and other costs associated with the doctoral degree granting are to be calculated in the Institution's budget incomes and expenditures estimate.

8. Doctoral dissertation is defended and degree is granted by the Board composed by the Committee for the defence of the particular dissertation after the dissertation is finished and recommended for the defence. The Committee compose the Board out of at least five members. The Committee submits the composition of the Board and its Chairman to be approved by the Rector of the institution in which the doctoral dissertation is to be defended.

9. A doctoral degree is granted to a person who has accomplished the requirements of doctoral studies laid down in this Regulation, whose dissertation and scientific publications have shown his capability of applying research methods independently and critically, carrying out research, solving scientific problems, and who has successfully defended a doctoral dissertation.

10. The Committee annually evaluates the situation of Doctoral Studies in the Institutions, analyses the experience of Doctoral studies in the Institutions, the quality of the defended dissertations, and submits the summarized findings and recommendations on Doctoral studies improvement to the Senate Research Commissions, Senates and Heads of the Institutions.

11. The process of doctoral studies is supervised in each Institution by the Vice-Rectors for Research or other persons, appointed by the Head of the Institution, and the documentation is managed by the Research Affairs Departments or other respective departments of Institutions.

12. The personal file of a doctoral student (or person wishing to obtain a doctoral degree externally) is stored in the Research Affairs Department of Doctoral Student's Institution during the period of doctoral studies and two years after completion, and afterwards placed into the doctoral student Institution's Archive. The file shall be composed of the following documents:

12.1. an application for enrolment in doctoral studies, including supplements specified in the announcement of admission to doctoral studies;

12.2. documents related with the enrolment to doctoral studies;

12.3. documents related with the appointment of scientific supervisors and scientific advisors;

12.4. programme (plan) of doctoral study and research, publication of findings and preparation of doctoral dissertation;

12.5. documents related with doctoral student's semi-annual performance evaluation;

12.6. documents related with any postponements of the time limits specified in the doctoral programme (plan);

12.7. records of doctoral examinations taken;

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

12.9. the decision on termination of doctoral studies, in case the doctoral student was expelled from the doctoral studies programme due to the findings presented in evaluation or any other reasons, or due to the failure of presenting doctoral dissertation for the defence before the end of doctoral studies;

12.10. copies of doctoral diploma and diploma supplement;

12.11. an application for the defence of doctoral dissertation and other documents relating thereto (records of initial discussions, final evaluation of a dissertation and etc.);

12.12. a declaration by the doctoral student that the dissertation was written independently;

12.13. an abstract of dissertation;

12.14. a copy of doctoral diploma.

II. ADMISSION TO DOCTORAL STUDIES

13. A doctoral candidate must hold a Master's degree or a higher education degree equivalent to it.

14. State funded doctoral positions in each field of science are annually determined by the Ministry of Education and Science (hereinafter – the Ministry). The positions are distributed among the Institutions of Joint Doctoral Studies (except in cases where quotas are allocated by the Ministry directly to the Institution of Joint Doctoral Studies) according to the following criteria:

14.1. scientific activity results of Institutions of Joint Doctoral Studies;

14.2. the level and amount of research carried out by Institutions of Joint Doctoral Studies scientists participating in the doctoral studies process;

14.3. efficiency and effectiveness of doctoral studies implemented by Institutions of Joint Doctoral Studies;

14.4. research infrastructure available at Institutions of Joint Doctoral Studies;

14.5. weight coefficients of evaluation criteria and other additionally criteria selected, approved by the Joint Order on a proposal of the Committee.

15. During the process of enrolment into Doctoral studies, respective Institutions cover the expenses of the Coordinating Institution according to the number of enrolled doctoral students, under the particular agreement of the Heads of the Institution.

16. No later than two weeks prior to the admission to doctoral studies, the Vice-Rector for Research or other person, responsible for similar activity in the Coordinating Institution, acting on a proposal of the Committee, announces a competition for dissertation topics and scientific supervisors. The competition is organized by the Research Affairs Department of the Coordinating Institution and implemented by the Committee. The topics of doctoral dissertation shall correspond to the areas of research of Institutions of Joint Doctoral Studies. The competitive lines of doctoral dissertation topics (scientific supervisors) compiled by the Committee shall be finalized in the protocol of the Committee and signed by the Chairman and the secretary to the meeting. Upon request, the protocol may be signed by all members of the Committee. The protocol of the meeting is presented to the Research Affairs Departments of Institutions. The competitive line of doctoral dissertation topics is published on websites of Institutions.

17. A competition for admission to doctoral studies is announced by the Rector of the Coordinating University, acting on a proposal of the Committee. The announcement shall specify the documents to be presented by the candidates. The same information about the process of enrolment into Doctoral studies must be announced respective Institutions.

18. A candidate presents an application for admission to doctoral studies, addressed to the Head of the academic unit of respective institution, to the Research Affairs Department of respective Institution. Along with the application, indicating the preferable Institution, its academic unit and dissertation topic, a candidate shall present the following documents:

18.1. a Master's diploma and diploma supplement (originals and copies (originals to be returned immediately), a document certifying the academic qualification acquired abroad issued by the Centre for Quality Assessment in Higher Education);

18.2. Curriculum Vitae;

18.3. Recommendation by two academic referees from the relevant field of science;

18.4. List of research works and their copies, and in the absence of such works – research project on the topic selected in accordance with the results of competition for doctoral research topics;

18.5. Written approval from the academic unit of the respective Institution;

18.6. Other relevant documents.

19. The competition for admission to doctoral studies is held in July in the Coordinating University. The admission is organized by the Research Affairs Department and implemented by the Committee. An interview with the Committee members must be attended by all candidates.

20. Citizens of foreign states (other than the European Union (EU) Member States) who hold a Master's qualification degree or a higher education degree equivalent to it and are applying to doctoral studies, in addition to the documents listed in paragraph No. 18, are also required to

present a document certifying the academic qualification acquired abroad and pay the study fee established by the contracting Institution of Joint Doctoral Studies.

21. Non-EU citizens admitted to doctoral studies have to acquire the residence permit under the procedure established by the laws of the Republic of Lithuania.

22. Doctoral candidates are enrolled to full-time or part-time doctoral studies in accordance with the competition procedures. The applicants who fulfil the doctoral studies requirements but have failed to be accepted to the state funded study positions may choose the paid doctoral studies and pay the determined tuition fee. Persons admitted to doctoral studies sign the determined bilateral agreement.

23. After the discussion with a candidate, before admitting to the doctoral studies, the Committee considers the candidate's study evaluations in Master or Integrated Studies, scientific works, scientific activities and experience, and scientists' references.

24. If the Committee determines that the candidate attended insufficient amount of subjects of the relevant field of science, or that his knowledge in particular subjects is insufficient, the Committee may assign the doctoral student with additional study courses to be attended within the first year of studies.

25. The competitive lines of an open competition and the decision to accept or reject the enrolment to doctoral studies shall be finalized in the protocol of the Committee. The protocol is signed by the Chairman and the secretary to the meeting. Upon request, the protocol may be signed by all members of the Committee. A candidate accepted to the doctoral studies is offered a dissertation topic. The protocol is presented by the Committee to the Research Affairs Department.

26. In cases where not all available state funded doctoral studies positions are filled during the regular admittance procedure, an additional competition may be held by the Research Affairs Department of the respective Institution under the same procedure.

27. A person is admitted to doctoral studies by the order of the head of Institution, which has proposed the topic, chosen by the candidate, indicating form and length of studies and a financing source. The order is prepared by the Research Affairs Department of respective Institution in accordance with the protocol of the Committee and bilateral agreement.

28. The Committee no later than during the first two weeks of the academic year organize a meeting of the Committee involving the newly admitted doctoral students and supervisors who won the dissertation topics competition. During the meeting, the newly admitted doctoral students are introduced with suggested dissertation topic, scientific supervisor and department/academic unit. The proposal of the Committee shall be finalized in the protocol of the meeting to be presented to the Research Affairs Department.

29. Personal file of a person who has failed to be accepted or have not completed the doctoral studies shall be stored at the Research Affairs Department for one year, and later transferred to the archive of respective Institution.

III. SUPERVISION OF DOCTORAL STUDENTS



30. The studies and research of doctoral student are supervised by the scientific supervisor (hereinafter – the supervisor). A supervisor has to be a scientist of the corresponding science field. A supervisor may at the same time supervise the study of up to five doctoral students.

31. If necessary, a doctoral student can be assigned scientific advisors, who can be scientists from another field (branch) of science.

32. The Research Affairs Department of respective Institution no later than within the first three weeks since of the academic year shall coordinate the lists of scientific supervisors and departments

with the Institutions' Vice-Rectors for Research or other respective persons and present them to be approved by the Senate of the Institution (in case of LEI – by Research Affairs Department). The supervisors shall be approved by the Senate (in LEI case – Research Affairs Department) no later than within one month after the admission of doctoral student. Scientific advisors (if considered necessary by the supervisor and the Committee) shall be approved under the same procedure as the supervisor.

33. Scientific supervisor and scientific advisors' written consents and documents, showing the compliance with the qualification requirements of the doctoral studies process, are presented to the Research Affairs Department of the respective Institution by the department or other academic unit.

34. Scientific supervisor:

34.1. together with the doctoral student, prepares a study and research programme (plan) project;

34.2. propose candidates for scientific advisors;

34.3. provides the doctoral student with methodical assistance, supervises his scientific activities and constantly monitors the doctoral student's success in the doctoral studies process;

34.4. renders assistance to the doctoral student on the issues related with the organization of studies, carrying out research and the preparation of a dissertation;

34.5. for each performance evaluation of the doctoral student presents an opinion on the results of doctoral student's studies and research and the expedience of continuing the doctoral studies.

35. Scientific advisor:

35.1. consults a doctoral student on the issues related to some branch of the research field;

35.2. organizes research and experiments in other departments of the Doctoral Student's Institution or other institutions.

36. Scientific unit to which the doctoral student is assigned:

36.1. establishes conditions for a doctoral student to successfully implement an individual study and research plan (programme);

36.2. monitors the doctoral student's success in the doctoral studies process;

36.3. encourages doctoral student's mobility;

36.4. helps the doctoral student to gain teaching experience;

36.5. helps to develop excellence in research throughout the doctoral studies period;

36.6. for each performance evaluation of the doctoral student presents an opinion on the results of doctoral student's studies and research and the expedience of continuing the doctoral studies;

37. In cases where due to significant reasons there is a need to change the supervisor or the advisor, this intention shall be coordinated and approved under the same procedure.

38. A doctoral student has a right to file a reasoned appeal with the Research Affairs Department of respective Institution, addressed to the Head of the Department, requesting to replace his supervisor or advisor. The appeal must be discussed and the decision must be made in two months since the date the appeal has been received.

IV. DOCTORAL STUDENT'S STUDY AND RESEARCH PLAN



39. A supervisor together with a doctoral student no later than within one month of the supervisor's approval prepare the study and research plan of the doctoral student, including the programmes of

doctoral studies and research, and a project. The study and research plan shall include the deadlines of all the works to be carried out. The purposeful research is to be carried out from the beginning of the doctoral studies.

40. The doctoral studies consist of no less than five study subjects with the total volume of 30 ECTS credits. The programme of doctoral studies is to be approved by the Vice-Rector for Research of the respective Institution or other respective person. The programme shall include the main study subjects of the doctoral studies field, study subjects of alternative branches of doctoral field of science, and elective study subjects of doctoral studies and adjacent fields of science. Doctoral student shall choose at least two subjects from basic subjects group, two subjects from alternative and one subject from elective subjects; if necessary, student may choose three subjects from alternative subjects group. One study subject chosen by the Committee is obligatory to every doctoral student of the particular field of science. Other courses can be proposed by the supervisor, the department or academic unit, or the Committee. Upon the agreement with the supervisor and the Committee, a doctoral student fills in the selected courses into the individual study plan, which is an integral part of the doctoral student's individual plan of doctoral studies and research. The plan is to be presented within one month from the beginning of the doctoral studies to the Research Affairs Department of respective Institution to be approved by the Head of Department. A doctoral student is obliged to take examinations in four study subjects within the first year of the doctoral studies. The fifth examination from the group of the electively chosen courses may be taken in any time during the doctoral studies. In accordance with individual study plans, the schedules of study subjects, consultations and examinations are prepared.

41. The doctoral studies programme shall only consist only of modules approved by the Committee and certified by Institutions according the established procedures. The Research Affairs Department is responsible that the study modules entered into the individual study plans would be certified and corresponding with the doctoral studies programme.

42. Lectures and consultations in the doctoral studies can be given by the scientists whose research and scientific publications of the last five years correspond to the subjects of study. The modules of the doctoral field of science can be taught by professors who meet the requirements of doctoral studies programme participants. Associate professors, meeting the requirements of doctoral studies programme participants, can teach modules in doctoral studies only upon the approval of such exception by the Committee.

43. Lectures for doctoral students are organized by the deans of faculties, responsible for the doctoral studies modules, along with the departments and the Research Affairs Department. Lectures can be organized provided that they are included in the individual study plans by at least four students. In all other cases the course is studied individually with regular consultations. The schedule of doctoral studies classroom courses, coordinated with the Research Affairs Department of the Coordinating University, is announced publicly.

44. The research and study programme of a doctoral student is composed of: the analysis of scientific literature, research, a part of which may be carried out in foreign high-level research centres, the analysis of data obtained, scientific publications, the preparation of a dissertation, and etc.

45. An individual study and research plan of a doctoral student is authorized by the Department of academic unit and approved by the Committee; then it is presented to the Research Affairs Department of respective Institution.

46. A doctoral student carries out research in accordance with the approved research plan. The content, quality, scope and deadlines are evaluated during the doctoral student's performance assessment.

47. In accordance with the procedures determined by Vice-rector for Research or other respective person of respective Institution, a doctoral student is entitled to have access to any necessary research equipment contained in the departments, laboratories and other units of the University. If any research can not be carried out within the Institutions of Joint Doctoral Studies, it may be carried out other local or foreign science institution.

V. DOCTORAL STUDENT'S KNOWLEDGE, ABILITIES AND SKILLS ASSESSMENT AND PERFORMANCE EVALUATION

48. The study course of each subject ends with an examination. A three-member examination commission is formed for the purpose. The composition of the commission is offered by the department, authorized by the Committee and approved by the Vice-Rector for Research or other respective person of the Coordinating University. The members of the commission may include the module teachers, members of the Committee and other scientists – active specialists in the particular field of science, including scientific supervisors and scientific advisors. Examinations are commended to be organized during the regular exam sessions. Examinations can be conducted both orally and in writing. Examination protocols are presented to the Research Affairs Department of Doctoral Student's Institution; examination results are entered and stored in the academic information system databases (if the respective Institution has such system).

49. The results of the passed examination are recorded in the examination protocol and signed by all members of the examination commission. The original copies of these protocols are stored in the personal file of a doctoral student in the Research Affairs Department of respective Institution.

50. Upon the proposal of scientific supervisor, the previously taken examinations in the subjects studied within the framework of the doctoral programme may be accepted as passed.

51. Once all doctoral examinations are passed, the Committee specifies the dissertation topic, research programme and the schedule of the preparation of dissertation. The extract from protocol is presented to the Research Affairs Department.

52. Every year at the end of the fall and spring semesters, the department conducts a performance evaluation of doctoral students. The department or the academic unit with the presence of doctoral student and his supervisor evaluates the implementation of the study and research plan of the doctoral student and provides the conclusions to the Committee which gives the doctoral student a positive (thereby approving the continuation of the doctoral studies and specifying the programme for the next year) or negative (thereby suggesting the termination of the doctoral studies) evaluation. The Committee meeting includes doctoral student and his supervisor. A protocol on performance evaluation and documents submitted by the doctoral student is presented to the Research Affairs Department. The results of performance evaluation are also presented to the dean or the head of other unit to which the doctoral student is assigned. A doctoral student who received negative evaluation is expelled from the doctoral studies by the order of the Head of respective Institution. An extraordinary performance evaluation of a doctoral student may be conducted on a proposal of scientific supervisor, head of the department or the Committee in cases where doctoral student demonstrably fails to fulfil the requirements of study and research plan.

53. For important reasons (illness, childbirth, parental leave, etc.) the Head of Doctoral Student's Institution can grant a doctoral student an academic leave of absence, extend the period of doctoral studies, research, examinations, preparation of a dissertation and other evaluation. Doctoral students' requests for postponements are registered and the orders of the Head of respective Institution are prepared by the Research Affairs Department of respective Institution.

VI. VACATION, TRIPS, SCHOLARSHIPS, APPELLATIONS, OTHER CIRCUMSTANCES

54. Doctoral students are on vacation in July and August each year, but they might be adjusted in case the necessary research must be performed during that period.

55. Persons admitted to regular state-financed doctoral studies are paid with a scholarship determined by the Government of the Republic of Lithuania. As a result of assessment delays or violation of the internal order a doctoral student may lose under the order of the Head of the Institution a one month scholarship in that year. When studies are temporally interrupted and student rejoins study, calendar days of incomplete month are included into the doctoral studies duration term and a student receives adequate part of scholarship, except if a student rejoins his study on the first or the last day of month.

56. Given the important reasons, after coordination with the doctoral student's scientific supervisor, the head of the core academic unit, the Committee and the Research Affairs Department of the respective Institution, doctoral student might be permitted under the order of the Head of Doctoral Student's Institution to interrupt studies temporally, but not more often than once a year and for the period up to one year in total.

57. In case of illness, doctoral student himself or his close people must inform the Research Affairs Department of the respective Institution about this fact no later than in three days. Student must deliver a medical report for the period of illness after he rejoins his work. On the basis of this report student is permitted to delay the terms of assessment under the order of the Head of Institution. The illness does not influence the duration of doctoral studies. In case the illness lingers, student may apply for permission to temporally interrupt studies or to take an academic leave of absence.

58. Doctoral student may perform research or take a period of study in other Institutions of Joint Doctoral Studies or other institutions in Lithuania or abroad. This period is included into the total study period and student receives his scholarship. Student takes such trips under the Trip Regulation established by the Government, under the order of the Head of the respective Institution based on student's application endorsed by the scientific supervisor, head of the core academic unit, dean and Research Affairs Department of respective Institution and the Committee. Study trips may be financed from projects and programmes administrated by Research Council of Lithuania, academic units of the respective Institutions, international relations funds for students, may be reimbursed by the host party, or financed from other resources. Pay for trip expenses or a part of it may be disbursed before departure. After student returns from the trip, he must submit the documents that vouch the expenses to the Accounting Department of the respective Institution in three working days.

59. Doctoral student may have each year an academic load, established by Senate (in LEI case – Research Affairs Department), if it corresponds to the needs and possibilities of the Department or/and other academic units.

60. Doctoral students receive certification from the Research Affairs Department of the respective Institution about completion of doctoral studies after they pass assessments of all study modules and submits affirmatively evaluated doctoral thesis according to the order established in paragraphs No. 65 and No. 70 of this Regulation. For those who have not fulfilled the individual work plan and (or) have not submitted the doctoral thesis, the certificate with indicated period of doctoral studies and partial results is issued.

61. Expenses for the publication of doctoral thesis and abstracts, firstly rendered by University's doctoral students, are covered from the respective fund of Doctoral Student's Institution.

62. Motivated appeal concerning not granted doctoral degree, complain concerning the rejection of request to defend doctoral theses by extern or doctoral student, or other paragraphs concerning doctoral studies must be submitted to University's Secretariat addressed to the Head of the Institution. The Head of the Institution submits the appeal to the committee, subdivisions or purposefully formed structures for approval. Appeal must be processed and the decision must be made within 2 months after receiving. Research Affairs Department writes the response concerning the decision addressed to the Head of Doctoral Student's Institution and dispatches it to the declarant in 10 working days after the decision has been made.

VII. PREPARATION AND EXAMINATION OF DOCTORAL DISSERTATION, ISSUANCE OF DIPLOMA FOR DOCTOR OF SCIENCE

63. Doctoral dissertation must be original research work. Doctoral dissertation is prepared following the paragraphs No. 21 and No. 22 of Regulations on Doctoral studies approved by the Government of the Republic of Lithuania, and the abstract is prepared following the paragraph No. 23. Doctoral dissertation must be original research work, summarizing all research performed by doctoral student, examining the problem of science field. The volume of 4-10 printer sheets is recommended. In the dissertation the aim, objectives and tasks of research must be defined, novelty of research work must be indicated, the worldwide survey of research on this topics must be performed, applied research methods must be presented, research outcomes must be discussed, and their reliability and relation to the data gained by other researchers must be substantiated. The conclusions may be submitted in a separate section. Dissertation must contain lists of used scientific literature, sources, and doctoral student's scientific publications related to the dissertation topics. If dissertation is written in Lithuanian, abstract must be written in foreign language with a comprehensive summary in Lithuanian. If thesis is written in foreign language, abstract must be written in Lithuanian with a comprehensive summary in foreign language. Abstract must include definition of the issue under research, goals and tasks of the research work, description of scientific novelty of the work, research methodology, main outcomes and resultant conclusions defended by doctoral student, list of student's publication on the subject of thesis and short information about the doctoral student. Abstract must amount about one printer's sheet (equals 40 000 characters). Dissertation and abstract must be written in correct language.

64. Doctoral scientific supervisor and advisors must be indicated in dissertation and its abstract, and abstract must also state the composition of the Dissertation Defence Board. In the case where doctoral scientific supervisor was replaced, the previous doctoral scientific supervisor and time period of his supervision must be indicated in dissertation and abstract. The title page and the second page of a dissertation and its abstract are laid out in the annex No. 1.

65. Doctoral student presents his thesis during the meeting of his department, with scientific supervisor and scientific advisors participating in it. The dissertation, its draft abstract and student's scientific publications, his capabilities and achieved scientific qualification are estimated according to the order established by the Vice-Rector for Research or respective person of the Respective department and then the conclusion is submitted to the Committee. It is requested that doctoral student would have been presented the outcomes of his research work on the dissertation subject in no less than two international conferences and that he would have been published his key research outcomes in no less than two scientific publications, published in scientific journals, published in

reviewed international databases. At least one publication must be published in the scientific journal, included in ISI list (this publication might be accepted for publication). If doctoral student submits his thesis until the ending of his doctoral studies, but does not defend it on time, the dissertation may be defended as a matter of routine during the period of 12 months after doctoral studies are finished. If dissertation is not defended by then, it must be defended externally following the requirements indicated in article No. VIII of this Regulation.

66. Doctoral student submits a request on addressed to the Rector of the respective Institution for dissertation defence and renders it to the Research Affairs Department of the respective Institution along with the following documents:

- 66.1. A copy of the Master's diploma or of a higher education diploma equivalent to it;
- 66.2. Curriculum Vitae;
- 66.3. Certified copies of protocols on examines passed according to the doctoral study programme (they are arranged by the Research Affairs Department according to the documents in student's file and the records in databases);
- 66.4. Author's guarantee for the originality of the dissertation (Annex No. 2);
- 66.5. Commitment to publish the dissertation in the Lithuanian Electronic Theses and Dissertations Database (ETD) within two weeks after the public defence of the dissertation;
- 66.6. List of scientific works related to the dissertation topics and their copies (if the material is not published yet, it is necessary to include the certification from the editorial office confirming that the publication is pending).
- 66.7. Printed doctoral dissertation and its draft abstract;
- 66.8. Reviews by scientific supervisor and scientific advisors (if any). If the reviews have been submitted to the Research Affairs Department, there is no need to submit any copies; the Research Affairs Department will make necessary copies.
- 66.9. Extract from the dissertation evaluation protocol of Department or other unit, where the dissertation has been prepared. This protocol must include a conclusion of a particular content, indicated in the paragraph No. 65 (if the extract from the protocol has been submitted to the Research Affairs Department, there is no need to submit any copy; the Research Affairs Department will provide it).

67. Research Affairs Department of the respective Institution examines if the documents provided complies with the formal requirements and then submits for the Rector of respective Institution the request along with all annexes.

68. The Rector of the respective Institution forwards the request along with the documents listed in the paragraph No. 66 to the Committee. The Committee renders those documents to the Research Affairs Department of respective Institution.

69. The Committee Chairman convokes the meeting of the Committee no later than within two weeks after the documents have been received. During this meeting two opponents from the Committee members must be appointed and, if the Committee decides so, one opponent from outside the Committee (a scientist from the Institution of Joint Doctoral Studies or other institution).

70. No later than in one month after the documents concerning the defence have been received, the Chairman of the Committee convokes open meeting with doctoral student (defendant) and his scientific supervisor participating in it. The Committee hears the defendant's discourse about his dissertation work (no less than 20 minutes), with goals, tasks, novelty, relevance, originality of the work along with the outcomes, statements and solutions revealed in it; opponents' reviews (they

must be submitted to the Research Affairs Department in written) and the defendant's answers to the remarks and comments laid out in the reviews; and the dissertation review provided by the scientific supervisor.

71. The Committee evaluates with an unprejudiced reasoning the aims and goals of dissertation, scientific novelty and relevance of the work; survey of research on this topics in Lithuania and worldwide and described researched methodology; reliability and validity of outcomes obtained; validity of statements of defended conclusions and conformity to research substance; conformity of draft abstract to the content of dissertation; conformity of scientific publications and published research outcomes to the fundamental statements of dissertation.

72. The Committee may conclude that:

72.1. Dissertation or its abstract must be corrected. Dissertation is returned to the doctoral student. Corrected dissertation is discussed starting from requirements listed in the paragraph No. 65 and / or the subsequent paragraphs;

72.2. Dissertation is prepared correctly, it complies with the paragraphs No. 19-21 of Regulations on Doctoral Studies approved by the Government of the Republic of Lithuania, doctoral student has pursued the requirements listed in the paragraph No. 24 of Regulations on Doctoral Studies, and the dissertation may be submitted for defence without any changes need to be made;

72.3. Dissertation does not meet the requirements.

73. If the Committee decides that dissertation may be presented for defence, the Committee:

73.1 Substantiates the decision to defend dissertation in closed meeting in the exceptional cases;

73.2. Prepares project of the constitution of Dissertation Defence Board of no less than five members;

73.3. With the aid of Research Affairs Department of the respective Institution collects the agreements of intended members of the Board and the documents that prove their conformity to the qualification requirements for the members of doctoral study process (lists, certifications etc);

73.4. Draws the list of Lithuanian and foreign research and study institutions to which the dissertation abstract (paper) must be sent, considering the topics of dissertation;

73.5. Suggests the date for dissertation defence;

73.6. Delegates the member of the Committee to participate in the Board's meeting as an observer and refers to the Committee about the process of defence in the Board.

73.7. Prepares presentation to the Rector of respective Institution and renders it to the Research Affairs Department of respective Institution.

74. Dissertation is defended in open meeting of the Board (except for cases listed in the paragraph No. 73.1.) following the Regulation on the Defence Board of Doctoral Dissertation of Science Field (annex 3). The meeting is in Lithuanian. In case other language than Lithuanian is used during the meeting, translations to the Lithuanian has to be performed. Chairman of the Defence Board conducts the meeting. The meeting is legitimate if more than half of all members of Defence Board participate in it (including those who participate in a teleconference). Meeting is grounded with principles of equity, transparency, tolerance, correctness and legitimacy as well as with members' personal responsibility for their activity and decisions. Reviews about dissertation, received from the members who do not participate in the meeting and other reviews must be read during the meeting.

75. The defendant presents main outcomes and findings of his work, indicates his input into the publications presented in the dissertation. Members of Defence Board evaluates reasonably the scientific level of dissertation, novelty and originality of outcomes, reliability and validity of conclusions, notes weaknesses and inaccuracies of the work and during the defence also evaluates defendant's scientific competence. The defendant responds to questions and commentates provided notes and remarks. During the discussion the defendant must defend the outcomes of his work and reveal his research competence.

76. After the discussions with the defendant, members of the Defence Board decide by secret voting on the granting of scientific degree of Doctor to the student. Members who participate in teleconference vote as well. Decision to grant a degree is made if more than half of all members of the Defence Board votes for it. The voting protocol must be signed by all members of the Defence Board who have directly participated in the meeting.

77. Members of the Board must be scientists of particular science field having no joint publications with doctoral student. At least two members of the Board must be scientists from other institutions (one of them must represent foreign science or study institution). Doctoral student's scientific supervisor and scientific advisor do not have a right to be a member of the Board. Two members of the Board represent other science fields, if the work comprises two science fields or if it is necessary for comprehensive evaluation of the work.

78. Member of the Board must comprehensively analyze the dissertation and indicate positive and negative points of it. Novelty, relevance and originality must be evaluated, the opinion about the conformity of work to the requirements for doctoral dissertation must be declared. Member of the Board must provide dissertation review in written to the Research Affairs Department of the respective Institution no later than in five working days before the defence. The defendant has a right to familiarize with submitted reviews.

79. Research Affairs Department of respective Institution examines documents and prepares project of the order of the Rector of respective Institution, confirming the Board, date and place of defence.

80. After the Rector of respective Institution signs the order:

80.1. Doctoral student finishes his dissertation abstract;

80.2. Research Affairs Department of the respective Institution directs Research Affairs Department of respective Institution to publish the abstract in required edition.

80.3. Research Affairs Department of the respective Institution no later than within one month before the defence sends copies of dissertation and abstract to members of the Board, to the Research Affairs Department of respective Institution, and to addressees listed in the paragraph No. 73.4, one copy for each;

80.4. Research Affairs Departments of Institutions announce the dissertation defence in the intended sections of websites of the Institutions and the Research Council of Lithuania. Announcement about the dissertation defence may also be published in press. Name and surname of defendant, institution, in which dissertation has been prepared, address of website where dissertation is published, title of dissertation, time and place of defence, name and surname of scientific supervisor and members of the Board along with their fields of science and institutions must be published in the announcement;

80.5. Research Affairs Departments of the Institutions exhibit dissertation in their Libraries and websites.

81. Research Affairs Department of the University in which the dissertation is to be defended keeps and arranges all documents of the Board. All documents of defence are presented to Research Affairs Department after the defence, including meeting protocol with phonogram and decision of the Board on granting of doctor degree to defendant. On the ground of this decision Research Affairs Department of respective University writes out the doctoral diploma. Names of science and study institutions are inscribed in the diploma.

82. The Rector of the respective Institution appoints by his order the employee of Research Affairs Department who must observe the Board's work and together with the Chairman of the Board strives to prevent the violation of the Regulations on Doctoral Studies approved by the Government of the Republic of Lithuania and this Regulation. If some violation occurs, and the degree is decided to be granted despite of those violations, the employee informs the Rector of the University about it.

83. Head of the University, in which the dissertation is defended, and the Chairman of the Board sign the diploma after decision of the Board to grant the doctoral degree is received.

84. If the Board decides that doctoral degree cannot be granted, the defendant is entitled to defend the amended and supplemented dissertation not earlier than after a period of one year. In this case, the dissertation is defended externally following the requirements listed in article VIII of this Regulation. In that case if a fact of scientific dishonesty (plagiarism, etc.) is established, dissertation cannot be defended.

85. Registered doctoral diploma is awarded to the scientist during the meeting of the Senate of Doctoral Student's Institution (in LEI case – the Board) after the dissertation is published in the Lithuanian electronic theses and dissertations database (ETD).

86. The University, in which the dissertation has been defended, informs the Research Council of Lithuania about the outcome of defence within 10 working days after meeting of the Dissertation Defence Board. Within two weeks after defence of the dissertation doctoral student presents a copy of the defended dissertation to Martynas Mažvydas National Library of Lithuania and publishes in the Lithuanian electronic theses and dissertations database (ETD).

87. Personal file of a person who has defended the doctoral dissertation is kept in Research Affairs Department of the University within two years and is delivered to the archive of the University after. The file must include:

87.1. Request for defence of dissertation along with included documents and presentation for defence provided by the Committee;

87.2. Commitment to publish dissertation in the Lithuanian electronic theses and dissertations database (ETD) within two weeks after the meeting of dissertation defence;

87.3. Documents related with the constitution of the Board;

87.4. List of addressees the abstract has been sent to;

87.5. Document on rendering and sending of dissertation to Martynas Mažvydas National Library of Lithuania;

87.6. Protocol of dissertation defence meeting;

87.7. Board's decision about doctoral degree granting;

87.8. Copy of doctoral diploma.

88. If a person has passed doctoral studies and has acquired a degree at the same University, documents listed in the paragraphs No. 12 and 87 of this Regulation may be kept in one place.

VIII. OBTAINING A DOCTORAL DEGREE EXTERNALLY

89. A person may acquire doctoral degree externally if he meets the requirements listed in the paragraph No. 36 of Regulations on Doctoral Studies.

90. Request addressed to the Rector of respective Institution on defence externally along with documents listed in paragraph No. 38 of Regulations on Doctoral Studies approved by the Government of the Republic of Lithuania must be submitted to the Research Affairs Department of the respective Institution. If the Research Affairs Department establishes conformity of the submitted documents to the requirements listed in the paragraph No. 37 and No. 38 of Regulations on Doctoral Studies, it submits the request along with all annexes to the Rector of the respective Institution.

91. The Rector of the respective Institution forwards the request along with annexes to the Committee; it appoints no less than two experts with respective department or other unit of the respective Institution to evaluate the level at which dissertation is prepared. Scientists from the Institutions or other research institutions may work as experts in this case. Department or other unit of the respective Institution organizes meeting and estimates whether the material provided meets the requirements listed in the paragraph No. 20-22 and No. 38 of Regulations on Doctoral Studies approved by the Government of the Republic of Lithuania.

92. After the conclusions are received, the Committee no less than in three months after the request has been submitted convokes the meeting, with external student participating in it. After hearing of experts and external student, the Committee decides, following the requirements listed in the paragraph No. 71 of Regulations on Doctoral Studies approved by the Government of the Republic of Lithuania, whether the material provided meets the requirements for doctoral dissertation.

93. In that case if the Committee decides that presented or corrected dissertation might be recommended for defence, the Committee:

93.1. Submits the scientific advisor for confirmation in the Senate of the respective Institution (in LEI case - the Board); this scientific advisor will be provided with functions of external student's scientific supervisor. If a person who has already studied in doctoral studies, but has not submitted the dissertation, strives to obtain doctoral degree externally, the Committee might appoint his former scientific supervisor or other person as a scientific advisor;

93.2. Makes decision about the acknowledgment of exams passed during doctoral studies and sets the exams of doctoral studies that need to be passed and the deadline to pass them;

93.3. Settles the deadline for preparation of dissertation and abstract for defence, which cannot be further than one year after the decision has been made.

94. External exams are organized following the requirements listed in the Article V of this Regulation, and doctoral dissertation is examined following the requirements listed in article VII.

95. If the Committee decides that dissertation may not be prepared in one year, external student may submit the appeal following the order established in the paragraph No. 62 of this Regulation. If the negative resolution of the Committee is affirmed, external student may submit his request repeatedly but not before the expiry of a period of one year.

IX. PROCEDURE OF DOCTORAL STUDIES COMMITTEE

96. Activity of the Committee is based on the collegial counsel, principles of equity, transparency, tolerance and legitimacy, as well as on personal responsibility of Committee members for their activity.

97. Meeting secretary, elected from Committee members, arranges meeting documents and signs protocols.

98. Committee's decisions are legitimate if half of its members including the Chairman participate in the meetings. Those Committee members, who are not able to participate in the meeting, may express their opinion under the questions discussed in advance in written or by e-mail. Those messages must be written during the meeting. Committee makes final decision by voting: if votes are distributed equally, the Committee Chairman's vote is deciding. Committee meeting protocols along with extracts are written in two copies, one of which is kept in the Research Affairs Department and another one is kept by the Committee.

99. Committee Chairman convokes and organizes work, and in case he is absent, he appoints Committee member to temporarily deputize him. His obligations are following:

99.1 To examine documents in advance;

99.2. To analyze documents received, which must be presented during Committee meeting, or to assign it to Committee member;

99.3. To chair during the Committee meeting;

99.4. To sign documents of Committee meeting.

100. Committee member:

100.1. Familiarizes with documents received in advance;

100.2. Expresses his opinion under the question concerned;

100.3. Implements other Chairman's assignments.

101. Committee meeting is public.

102. After the meeting is over, Committee Chairman returns all documents to the Research Affairs Departments of the Institutions.

X. PARTICIPATION OF FOREIGN INSTITUTION

103. Foreign Institution takes part in the process of Joint Doctoral Studies, submits topics for doctoral studies research, provides advisory services for doctoral students, and provides its research basis for the realization of suggested topics.

104. The period of time for research in Foreign Institution is not limited for a doctoral student during his period of doctoral studies.

105. Admission to doctoral studies:

105.1. Admission to doctoral studies is performed according to the procedures listed in article No. II of this Regulation.

105.2. Foreign Institution submits suggested topics to the Committee in advance.

105.3. The Committee includes topics, suggested by Foreign Institution, into the common list of topics, before the Coordinating Institution announces the competition for admission to doctoral studies.

105.4. Doctoral student submits the request and applies to doctoral studies at Coordinating Institution.

106. Supervising for doctoral students:

106.1. The studies and research of doctoral student are supervised by the scientific supervisor, appointed by the Coordinating Institution, according to the procedures established in the article No. III.

106.2. Scientific advisor supervises doctoral studies in Foreign Institution.

107. Doctoral study and research plan:

107.1. Doctoral study and research plan is pursued according to the requirements listed in paragraphs No. 39-47, article No. IV.

107.2. Institutions allow doctoral student to take extramural study modules on remote, if it is complicated for him to leave the Foreign Institution because of the nature of his research.

108. Doctoral student's knowledge, abilities and skills assessment and performance evaluation

108.1. Institutions allow doctoral student to take extramural study modules on remote or some other plan agreed with the Committee, if it is complicated for him to leave the Foreign Institution because of the research nature.

108.2. In some particular cases, caused by the particularity of research, when doctoral student cannot leave the Foreign Institution and cannot come for a semester performance evaluation, he might act on remote by filling the required reports and by providing a short description of his activity performed during the semester. Doctoral student is obliged to participate in the

Department's and Committee's meetings at least once a year and to pass his performance evaluation.

109. Doctoral student submits his doctoral dissertation following the requirements listed in article No.VII of this Regulation. Research advisor of the Foreign Institution submits his review and, if possible, participates in the official defence of the dissertation.

Annex 1 Sample title and second page of the dissertation

INSTITUTION

NAME OF STUDENT AUTHOR

TITLE OF DISSERTATION

Doctoral Dissertation
Technology science, Environment Engineering and Land Management (04T)

2012, Kaunas

This dissertation has been prepared in the X department (academic unit), ...University in during 201x–20xx.

Scientific supervisor:

Scientific advisor:

The dissertation is available on the Internet:

Reviewed by:

© Name of Student Author

© Publishing house, 201x

ISBN xxxx-xxxx

Sample title and second page of the dissertation summary

INSTITUTION

NAME OF STUDENT AUTHOR

TITLE OF DISSERTATION

Summary of Doctoral Dissertation
Technology science, Environment Engineering and Land Management (04T)

2012, Kaunas

This dissertation was prepared in the X department (academic unit), ...University in during 201x–20xx.

In cases where dissertation is defended externally write “Dissertation is defended externally”

Research sponsored by

Scientific advisor:

Scientific supervisor:

Board of Environmental Engineering and Land Management Science Field:

The official defence of the dissertation will be held at (time) on (date) in a public session of the Board of Environmental Engineering and Land Management Science Field in the Dissertation(place), (University of Joint Doctoral Studies).

Address:

Tel... Fax... e-mail:

The summary of doctoral dissertation was sent out on (date).

The dissertation is available at:

Address of Internet website where dissertation is published

The library of Kaunas University of Technology (K. Donelaičio g. 20, LT – 44239, Kaunas),

The library of Aleksandras Stulginskis University (Studentų g. 11, Akademija, LT-53361),

The library of Lithuanian Energy Institute (Breslaujos g. 3, LT-44403, Kaunas).

Annex 2

AUTHORSHIP DECLARATION

I, _____, hereby confirm that this doctoral dissertation entitled:

_____ is prepared in accordance with the requirements laid down in Regulation on Joint Doctoral Studies of KTU, ASU and LEI of Environmental Engineering and Land Management science field. Where I have quoted from the work of others, either directly or indirectly, the source is always referenced. My own contribution in the dissertation topic-related publications published together with the co-authors is sufficient.

In selecting and evaluating the material, as well as preparing the manuscript, apart from my scientific supervisor, I was advised by:

No contribution of other persons to the dissertation prepared is present. I have not made any other payments than those foreseen in the laws with regard to this work.

This work has not been presented for the defence of doctoral dissertation neither in this or in any other form in the State and abroad.

(date)

(signature)

Annex 3

Regulation on the Defence Board of the Science Field for the Defence of Doctoral Dissertation

1. This Regulation lays down the work procedures for the Defence Board of the Science Field for the Defence of Doctoral Dissertation, constituted under the Regulations on Doctoral Studies, approved by Resolution No. 561 Government of the Republic of Lithuania of 12 May 2010 (Valstybės žinios (Official Gazette) No. [59-2900](#), 2010).

2. Research Affairs Department arranges Board's documents and organizes the meeting for the dissertation defence.

3. Work procedures of the Board are organized by Chairman of the Board. The Chairman:

3.1. Analyzes in advance the personal file of the defendant and makes sure that the file and all meeting documents (ballot papers, blank of voting protocol and others) are prepared correctly;

3.2. Examines the reports received, which must be submitted during the meeting of the Board, or assigns this work for a member of the Board;

3.3. Ascertains that everything is prepared for the meeting correctly (to perform meeting phonogram or stenography, visual demonstration and translation, if needed);

3.4. Chairs during the meeting of the Board;

3.5. Signs the documents of the meeting.

4. Member of the Board:

4.1. Examines the dissertation in advance and evaluates whether it is a novel research work, which includes doctoral student's research work on the topics of science field, and whether its content meets other requirements for doctoral dissertation;

4.2. Estimates whether the defendant's publications are published in scientific journals and whether the key research outcomes are published in those publications.

5. The meeting is public (in case of the closed meeting, participants only include members of the Board, the defendant, his supervisor and scientific advisors, employee from the Research Affairs Department, delegated to observe the meeting, and the representative of the Committee; all members of the meeting sign the declaration of data confidentiality). The proceeding of the meeting is as follows:

5.1. The Chairman of the Board after he makes sure that more than half of members of the Board, including those who participate in teleconference, participate in the meeting (if the Board has three members, the meeting is legitimate when all three members participate in it), and those members who do not participate in the meeting have submitted their report in written, informs the participants of the meeting and the quorum about it and presents the file of the defendant;

5.2. The defendant introduces his dissertation topics, aims, goals, research data, main research outcomes and findings, and answers the questions;

5.3. Doctoral student's supervisor and scientific advisors are entitled to give their voice;

5.4. The Chairman of the Board initiates scientific discussion lead off by the members of the Board. They must evaluate reasonably the scientific level of the dissertation and the validity of outcomes, estimate whether the dissertation, abstract and publications meet the requirements of the Regulations on Doctoral Studies. Members of the Board must pose questions to the defendant;

5.5. The Chairman or his appointed member of the Board reads in public the reviews on the dissertation or, upon the agreement of the members of the Board, introduces the notes and conclusions presented in the reviews, and the defendant may deliver his remarks;

5.6. Members of the Board and guests are entitled to speak (in case of an open meeting); the defendant may ask for an opportunity to speak after any speech, which he is given;

5.7. The defendant makes his final speech when the discussion comes to an end;

5.8. When the members of the Board stays in the voting room:

5.8.1. The Chairman of the Board distributes the ballot papers;

5.8.2. The Chairman of the Board fills the voting protocol after the voting; members of the Board have a right to verify the voting results;

5.8.3. The members of the Board confirm by open vote the voting results and sign the voting protocol and Board's decision on the granting of doctoral degree.

5.9. The Chairman of the Board reads the decision to the members of the meeting and announces the end of the voting.

6. After the end of the meeting the Chairman of the Board returns to the Research Affairs Department of the Coordinating Institution the documents of the dissertation defence.

7. The Chairman of the Board reviews and signs the protocol of the meeting, arranged following the stenograph or phonogram.