

APPROVED BY  
Decision No. V3-S-37 of the  
Senate of Kaunas University of  
Technology of 30 November 2020

## **REGULATION ON RESEARCH DOCTORAL STUDIES OF KAUNAS UNIVERSITY OF TECHNOLOGY**

### **CHAPTER I GENERAL PROVISIONS**

1. This Regulation on Research Doctoral Studies (hereinafter – Regulation) of Kaunas University of Technology (hereinafter – University) has been prepared in accordance with the Regulations on Research Doctoral Studies (hereinafter referred to as Doctoral Studies; the Regulations on Research Doctoral Studies are hereinafter referred to as Regulations), approved by Order No. V-739 of the Minister of Education and Science of the Republic of Lithuania of 18 May 2020. The Regulation is applicable to the Doctoral Studies in the science fields to which the University holds the right or joint right with other foreign research and educational institutions.

2. The Regulation lays down the procedures for admission to Doctoral Studies, the procedure for the organisation of the competition for the thematic area of a dissertation and supervisors of research doctoral students (hereinafter referred to as doctoral students), the supervision of doctoral students, the preparation and approval of a doctoral student's work plan, the assessment of Doctoral Studies, the doctoral student's knowledge, abilities and skills, the implementation of the doctoral student's research, the preparation, examination and defence of a dissertation, the issuing of the doctoral diploma, the postponement of a doctoral student's attestation and assessment deadlines, the review of an external student's application for dissertation defence, the examination of appeals and complaints, the funding of Doctoral Studies and the document storage, the procedure for approval and implementation of the doctoral committee's resolutions; the requirements for the members of the doctoral committee and defence boards, the supervisors of doctoral students, as well as the functions and work procedures of the individuals, departments or specially assembled structures involved in the process of Doctoral Studies.

3. The University Senate, in agreement with the Research Council of Lithuania, assembles and approves a doctoral committee of the science field (hereinafter referred to as Committee), approves the Regulation on Doctoral Studies and its amendments. The University Rector appoints the chairperson elected from the members proposed by the Committee.

The Committee consists of at least 9 scientists conducting high-level research. The members of the Committee can be scientists working (i.e., those scientists who have taken their job position under the procedure of competition or have worked at least 0.5 FTE at the University for the last three years) at the University and foreign scientists participating under contract in the activities of joint doctoral studies with foreign research and educational institutions. At least two-thirds of the members of the Committee have to represent the science field in which the right to Doctoral Studies has been obtained. A member of the Committee can be the chairperson of the Committee for two consecutive 4-year terms of office at most. A scientist cannot be a member of more than two doctoral committees. At least half of the members and the chairperson of the doctoral committee have to meet at least the minimum qualification requirements for the individuals who aim to take the position of a chief researcher stipulated by the Description of Minimum Qualification Requirements for the Job Positions of Researchers of Research and Education Institutions, approved by the decision of the chairperson of the Research Council of Lithuania No. V-340 *On Approval of the Description of Minimum Qualification Requirements for the Job Positions of Researchers of Research and Education Institutions* of 28 June 2018 (hereinafter referred to as Minimum Qualification Requirements). The remaining members of the Committee have to meet at least the established

minimal qualification requirements for the individuals aiming to take the position of a senior researcher.

The members of the defence board can be those scientists who have published at least five scientific works in the last five years: monographs or book chapters published by internationally recognised publishers, scientific papers in journals with impact factor in the *Clarivate Analytics Web of Science (CA WoS)* (in the areas of humanities, social, physical sciences, and technologies) and/or *Scopus* (in the areas of humanities and social sciences) databases.

The supervisors and consultants of doctoral students have to comply with the following requirements: within the last five years, they are required to have published at least 3 scientific papers in international scientific journals with impact factor in the *CA WoS* (in the areas of humanities, social, physical sciences and technologies) and/or *Scopus* (in the areas of humanities and social sciences) databases or at least 1 scientific paper in an international scientific publication with impact factor in the *CA WoS* (in the areas of humanities, social, physical sciences and technologies) and/or *Scopus* (in the areas of humanities and social sciences) databases, and a scientific monograph.

All participants of the process of Doctoral Studies have to adhere to the principles and standards of ethical behaviour stipulated by the University Code of Academic Ethics.

4. The Doctoral School of the University coordinates and organises the process of Doctoral Studies following the Law on Science and Studies, the Statute and Regulations of the University, and this Regulation.

5. The Doctoral Studies and research are coordinated by the Committee. The Committee conducts the selection of the dissertation thematic area, selects candidates for research supervisors of doctoral students, assigns the doctoral student's academic department and consultants, approves the doctoral students' work plans, provides the conclusions on the research level of the academic departments involved in the process of Doctoral Studies, the Doctoral Studies, the research and publication of the findings, as well as conclusions on the plans of Doctoral Studies and research and their implementation, the language of the dissertation; conducts the performance evaluation of doctoral students, takes care of the success of Doctoral Studies and implements upgrade of their level; acts as a mediator in the postponement of deadlines of a doctoral student's work plan; evaluates the prepared doctoral dissertations; assembles the defence boards (hereinafter referred to as the Board). The Doctoral School annually verifies the compliance of the Committee members with the requirements stipulated by the Regulation. The Committee formalises all its submissions, proposals and decisions/verdicts in protocols signed by the chairperson and the secretary of the Committee. After the meeting of the Committee, the protocol is submitted to the Doctoral School which prepares the material for the University Rector, the Vice-Rector for Research and Innovation, and the Senate based on the decisions/verdicts made by the Committee.

6. The objective of Doctoral Studies is the preparation of scientists capable of independent performance of research and experimental development work, solving scientific problems, as well as work in academic and non-academic environments. The duration of Doctoral Studies is 4 years (full-time studies). Doctoral Studies include studies, targeted research, preparation and defence of a dissertation.

7. Doctoral studies are financed by the state budget through assignments, state investment programmes and state investment project funds, the income received as tuition fees, the income received for economic and research activities and provided services, programme-based competitive research funding, funds allocated by the state, international and foreign foundations and organisations, and other legally obtained income.

8. The funds of Doctoral Studies are allocated for the scholarships of doctoral students (support for studies); the remuneration of pedagogical work of the supervisors, consultants of doctoral students and the lecturers providing the study modules of Doctoral Studies; the implementation of the process of doctoral dissertation defence (the remuneration of the members of the Board, the publishing of a dissertation and the financing of other costs); the formation of the funds for financing of the acquisition of the products and services compliant with the research needs of doctoral students (including open access services), the assurance of the quality of scientific publications, preparation

of dissertations and short-term international mobility; the implementation of the initiatives of the Committees for the improvement of Doctoral Studies; the promotion of doctoral students; the covering of costs of the Doctoral School and the proportional share of funds of the University's infrastructure costs.

9. A doctoral dissertation is defended, and a doctoral degree is awarded by the Board assembled for the defence of a particular dissertation after the dissertation has been completed and recommended for defence by the Committee. The Committee assembles the Board of at least three members while appointing one of the members as the chairperson. The composition of the Board and its chairperson are approved by the Rector of the University at the proposal of the Committee.

10. The doctoral degree is awarded to the individual who has fulfilled the requirements of Doctoral Studies laid down in this Regulation, whose dissertation and scientific publications have demonstrated his/her capability of independent and critical application of research methods, conducting research, solving scientific problems, and who has successfully defended his/her doctoral dissertation; or to the individual who has defended a prepared dissertation externally.

11. The Committee annually evaluates the relevance of the science field to scientific and social development, the level of the research carried out in the thematic area of the dissertation, the condition of Doctoral Studies, analyses the experience of Doctoral Studies, the quality of the defended dissertations, the summarised conclusions and recommendations for the improvement of Doctoral Studies, and submits the conclusions and proposals to the Doctoral School, the Rector, and the Vice-Rector for Research and Innovation.

12. The process of Doctoral Studies is supervised by the University Vice-Rector for Research and Innovation; the documentation is processed by the Doctoral School.

13. Joint/double-degree doctoral programmes can be provided with foreign research and educational institutions for the enhancement of internationality and quality of Doctoral Studies. In such a case, contracts on joint/double-degree Doctoral Studies are drawn with foreign research and educational institutions; agreements are made regarding the conditions and obligations related to the studies of doctoral students.

## **CHAPTER II ADMISSION TO DOCTORAL STUDIES**

14. Students are admitted to Doctoral Studies under the procedure of the open competition stipulated by the Regulation. The individuals who have obtained a Master's qualification degree or an equivalent higher education degree can participate in the open competition for admission to Doctoral Studies. Additional requirements for the applicants with regard to the suggestions of the Committees are stipulated by the Rules for Admission to Doctoral Studies annually approved by the Senate of the University.

15. Those doctoral students who terminate their studies on their own will or are excluded from Doctoral Studies by the Committee's decision cannot apply to the state-funded places of Doctoral Studies for the second time if they have studied more than half of their Doctoral Studies in a state-funded position of Doctoral Studies.

16. At least one month before the announcement of the open competition for admission to Doctoral Studies, the Vice-Rector for Research and Innovation, upon the proposal of the Committee, announces a competition for dissertation thematic areas and supervisors of doctoral students. The competition is organised by the Doctoral School and implemented by the Committee. The dissertation thematic areas (as well as the supervisors of doctoral students) selected by the Committee are listed in the protocol of the Committee which is submitted to the Doctoral School. The Doctoral School submits the selected dissertation thematic areas for the approval of the Vice-Rector for Research and Innovation and announces them on the University website.

17. Open competition for admission to Doctoral Studies is announced by the Rector upon the proposal of the Committee.

18. A candidate submits his/her application for participation in the open competition for admission to Doctoral Studies of the science field which is forwarded to the Rector as well as to the

Doctoral School. The application indicating the field(s) (no more than two fields) and the form of studies, the source of financing, as well as the preferred dissertation thematic area(s) in order of priority (no more than two areas) is submitted by a candidate accompanied with the following documents:

18.1. Copies of the Master's diploma or an equivalent higher education diploma and the diploma supplement (a certificate of the recognition of the qualification of higher education acquired abroad if the qualification of higher education acquired abroad was issued by the Centre for Quality Assessment in Higher Education or a University holding the right to conduct the academic recognition of education and qualifications);

18.2. A curriculum vitae;

18.3. A recommendation by two scientists of the relevant science field;

18.4. A list of the candidate's research works and copies thereof, in the absence of such works – a research paper on the topic selected in accordance with the dissertation thematic area which the candidate plans to research;

18.5. Any other documents specified in the Rules for Admission to Doctoral Studies.

19. The candidates are separately admitted to full-time state-funded and state non-funded Doctoral Studies under the competition procedure. The individuals invited to undertake Doctoral Studies sign a learning contract in the specified format.

20. The selection criteria for admission to Doctoral Studies are as follows:

20.1. The applicant's grade point average or evaluations of the Master's or equivalent higher education studies and the thesis;

20.2. The relevance of scientific qualification and scientific publications, and the compliance of scientific experience with the dissertation thematic area;

20.3. An interview and other criteria established by the Committee.

21. The selection criteria, their weight coefficients and competition score calculation are approved for each academic year in the Rules on Admission to Doctoral Studies, upon the proposal of the Committee.

22. According to the selection criteria, the Committee evaluates the candidates in grades and composes the priority ranking for the thematic areas in terms of the highest competition score. The lists of candidates and the decision regarding the offer to admit or not to admit a candidate to Doctoral Studies are outlined in the protocol of the Committee.

23. If the Committee determines that a candidate has attended an insufficient volume of subjects in the relevant science field or that his/her knowledge in particular subjects is insufficient, the Committee may assign additional subjects to be completed by the doctoral student during the years of Doctoral Studies. The doctoral student has to pay a fee set out by the University for the additional credits of the subjects.

24. In case there are available state-funded positions of Doctoral Studies after the signing of the learning contracts based on the quotas of the University, an additional stage of the competition may be organised by the Doctoral School under the same procedure.

25. An individual is admitted to Doctoral Studies by the order of the Rector. The order is drafted by the Doctoral School in accordance with the protocol of the Committee and a signed learning contract.

26. A meeting of the Committee is organised within the first two weeks of Doctoral Studies at the latest; during this meeting, the supervisor is nominated, the dissertation topic is outlined and an academic department is assigned to the newly admitted doctoral students. Supervisors are approved for doctoral students, and an academic department is assigned by the order of the University Vice-Rector for Research and Innovation.

27. The applicants who are not admitted to the state-funded vacancies under the procedure of competition can choose state non-funded Doctoral Studies at the proposal of the Committee and pay the tuition fee for Doctoral Studies set out by the University.

28. Non-EU citizens admitted to Doctoral Studies have to obtain a residence permit to live in the Republic of Lithuania under the procedure established by the legislation.

29. The personal files of the applicants who were not admitted to Doctoral Studies and the personal files of the graduates from Doctoral Studies are stored at the Doctoral School for one year; afterwards, they are stored under the procedure established by the University.

### **CHAPTER III SUPERVISION OF DOCTORAL STUDENTS**

30. The studies and research of a doctoral student are supervised by the doctoral student's research supervisor (hereinafter referred to as Supervisor). A Supervisor has to be an active scientist conducting the research in the science field to which a doctoral student is admitted. A Supervisor may supervise the studies of up to five doctoral students simultaneously.

31. Upon the proposal of the Supervisor, the consultants (no more than two) can be appointed for a doctoral student; they can be scientists of a different science field. The consultants of a doctoral student cannot be appointed earlier than in the second year of studies. A scientist representing a foreign institution can also be appointed as a Supervisor or a consultant of a doctoral student. In case the doctoral student's Supervisor is from a foreign institution, it is recommended to appoint a scientist from a Lithuanian institution as the doctoral student's consultant.

32. The Doctoral School submits lists of Supervisors and academic departments of doctoral students for the approval of the University Vice-Rector for Research and Innovation within the first two weeks of Doctoral Studies at the latest. The consultants of a doctoral student have to be approved under the same approval procedure as the Supervisor.

33. The Supervisor:

33.1. Prepares a doctoral student's draft work plan in cooperation with the doctoral student;

33.2. Proposes candidacies of consultant(s), if necessary;

33.3. Provides methodological assistance, supervises the doctoral student's research activities and constantly monitors the process of the doctoral student's Doctoral Studies; in case of any significant inconsistencies with the work plan, initiates the doctoral student's extraordinary performance evaluation;

33.4. Helps the doctoral student solve any organisational issues related to the studies, implementation of research and preparation of the dissertation;

33.5. Presents a conclusion on the outcomes of the doctoral student's studies and research, as well as a conclusion on the expediency of continuation of Doctoral Studies for each performance evaluation of the doctoral student;

33.6. Ensures high-quality preparation of the dissertation in cooperation with the doctoral student;

33.7. Prepares a detailed review of the completed doctoral dissertation before the end of the doctoral student's studies.

34. The doctoral student's consultant:

34.1. Provides consultations to the doctoral student on the issues related to a certain branch of the research field;

34.2. Organises the implementation of the research and experiments at other departments of the University or other institutions;

34.3. Prepares a detailed review of the completed doctoral dissertation before the end of the doctoral student's studies.

35. The academic department to which a doctoral student has been assigned:

35.1. Ensures conditions for the successful implementation of the doctoral student's work plan;

35.2. Monitors the doctoral student's progress in the course of Doctoral Studies;

35.3. Provides methodological assistance to the doctoral student; encourages the doctoral student's mobility;

35.4. Assists the doctoral student in terms of acquisition of pedagogical experience in case he/she has chosen the academic career path;

35.5. Helps to pursue excellence in research throughout the entire period of Doctoral Studies;

35.6. Presents a conclusion on the outcomes of the doctoral student's studies and research, and the expediency of the continuation of Doctoral Studies for each performance evaluation of the doctoral student;

35.7. Upon the preparation of the dissertation text, organises the initial discussions on the doctoral dissertation under the procedure set out by the University, presents the Committee with conclusions on the doctoral dissertation's compliance with the applicable requirements.

36. Should the need arise to replace the Supervisor or a consultant due to important reasons, this replacement is coordinated, and the outcome is approved under the same procedure.

37. A doctoral student has the right to submit a reasoned application to the Doctoral School addressed to the Vice-Rector for Research and Innovation requesting for replacement of his/her Supervisor one year before the end of Doctoral Studies at the latest (in other cases, the decision is made by the Committee). The University Vice-Rector for Research and Innovation forwards the doctoral student's application to the Committee; the verdict has to be discussed and taken during its meeting within one month after the receipt of the application. If a doctoral student's application has been granted, the Committee takes into consideration the topic of the doctoral dissertation and offers candidacy of the new Supervisor to be approved by the University Vice-Rector for Research and Innovation. If the application has been rejected by the Committee, the Supervisor continues the supervision.

#### **CHAPTER IV DOCTORAL STUDENT'S WORK PLAN**

38. The Supervisor, in cooperation with the doctoral student, prepares the doctoral student's draft work plan including the Doctoral Studies plan and the research plan. The deadlines for all the stages of work have to be scheduled in the work plan. The target research is set to begin with the beginning of the period of Doctoral Studies.

39. The volume of Doctoral Studies is 30 credits. A doctoral student studies at least 3 subjects. At least one subject (which can be interdisciplinary) has to be completed at a foreign research or educational institution or an event organised by foreign associated educational structures. At least one study subject of Doctoral Studies of the science field chosen by the Committee is mandatory to all the doctoral students of that particular science field. Credits can also be acquired at the international summer/winter schools for doctoral students or for the doctoral student's partial studies abroad, as well as by completing the subjects of the development of key competencies (i.e., preparation of project proposals, issues of ethics and procedures, and copyrights, communication skills, etc.). The decision regarding their inclusion is made by the Committee. Upon agreement with the Supervisor and the Committee, doctoral students include the planned study subjects into their individual study plans which make an integral part of the doctoral student's work plan. Each doctoral student prepares and coordinates this plan within the first month of Doctoral Studies. The timetables of the classes of individual subjects are prepared at academic departments of the University on the basis of individual study plans.

40. A programme of Doctoral Studies of a science field can only consist of the modules certified by the Committee under the procedure set out by the University. The Doctoral School controls that only the certified study modules would be included in the individual study plans of doctoral students.

41. The lectures of Doctoral Studies are organised by heads of the first level academic departments whose employees are responsible for the delivered modules of Doctoral Studies. The timetable of the classroom classes of the modules of Doctoral Studies is announced in the Academic Information System of the University.

42. A doctoral student's research plan consists of analysis of scientific literature and implementation of research (part of the research can be carried out at foreign high-level research centres), analysis of the obtained data, writing of scientific papers, delivery of scientific presentations at international conferences, preparation of the dissertation text, etc.

43. A doctoral student's work plan is approved by the Supervisor, by head of the academic department to which the doctoral student is assigned, and by the chairperson of the Committee of the science field.

44. A doctoral student conducts research in accordance with the approved work plan. The content, quality, scope and deadlines of the conducted research are evaluated during the doctoral student's performance assessment.

45. A doctoral student is provided with access to any equipment available at the University's academic departments required for the research scheduled in his/her research plan. If some part of research cannot be conducted at the University, the doctoral student can be directed to conduct research at another local or foreign research institution or enterprise.

## **CHAPTER V**

### **ASSESSMENT OF THE DOCTORAL STUDENT'S KNOWLEDGE, ABILITIES AND SKILLS, AND PERFORMANCE EVALUATION**

46. The studies of each subject end with an exam. It is recommended to organise examination for students during the regular examination sessions. Examinations can be conducted both orally and in writing. Written examinations are conducted under the procedure set out by the University. Evaluated papers containing answers of written examinations are submitted to the Doctoral School along with the examination protocol. The examination results are entered and stored in the databases of the Academic Information System and in the doctoral student's file.

47. At the doctoral student's request, the credits for the previously taken examinations in the subjects studied under the programmes of Doctoral Studies may be included by the Committee.

48. A doctoral student is assessed at the academic department and the Committee at the end of the autumn and spring semester of each academic year. The academic department, with participation of the doctoral student and his/her Supervisor, assesses the implementation of the doctoral student's work plan and provides its conclusions to the Committee which gives the doctoral student the positive (thereby approving the continuation of Doctoral Studies and the specified work plan for the next academic year) or negative (thereby suggesting the termination of Doctoral Studies) evaluation. The Committee transfers the protocol on performance evaluation and the documents submitted by the doctoral student to the Doctoral School. The doctoral student who has received the negative evaluation is expelled from the Doctoral Studies by the order of the University Rector. In case the doctoral student explicitly fails to implement his/her work plan, extraordinary performance evaluation may be initiated upon the proposal of the doctoral student's Supervisor or head of the doctoral student's department, as well as the Committee.

49. The doctoral student's deadlines for Doctoral Studies, research, examinations, preparation of a doctoral dissertation or other assessments due to important reasons (illness, pregnancy and childbirth, etc.) can be postponed for a period not exceeding 3 months by the Vice-Rector for Research and Innovation of the University. Requests of the doctoral students for the postponement of the deadlines with supporting documents are submitted to the Doctoral School. No postponement can influence the duration of Doctoral Studies. If the deadlines for assessments are postponed due to important reasons, the payment of the doctoral student's scholarship (support for studies) is suspended until the doctoral student has obtained successful assessment for the scheduled activities.

## **CHAPTER VI**

### **DOCTORAL STUDENT'S VACATION, TRIPS, SCHOLARSHIPS (SUPPORT FOR STUDIES), APPEALS, OTHER CONDITIONS**

50. The vacation period of doctoral students covers July and August.

51. The scholarship (support for studies) in the amount determined by the Government of the Republic of Lithuania is paid to the individuals admitted to full-time state-funded Doctoral Studies throughout the period of their studies. If the studies are temporally interrupted and a student resumes

Doctoral Studies on the day other than the first or the last day of the month, the calendar days of the incomplete month are included in the duration of Doctoral Studies, and the doctoral student receives the corresponding part (share) of the scholarship (support for studies).

52. Upon considering important personal or other reasons, after coordination with the doctoral student's Supervisor, head of the academic department, and the Doctoral School, a doctoral student may be permitted to interrupt studies temporarily for the total period not exceeding one year under the procedure set out by the University.

53. In case of a doctoral student's illness during the attestation or examination session, the doctoral student or his/her close relatives have the duty to notify the Doctoral School within three working days at the latest and submit the documents proving his/her illness. Based on these documents, the doctoral student is permitted to postpone the deadlines for assessment. An illness does not influence the duration of Doctoral Studies.

54. A doctoral student may request an academic leave of absence due to illness, pregnancy, childbirth and parental leave under the procedure set out by the University. Requests have to be coordinated with the doctoral student's Supervisor and head of the academic department and submitted to the Doctoral School with the relevant supporting documents.

55. A doctoral student who fails to begin his/her studies on time or submit a work plan under the established procedure, or who fails to resume the Doctoral Studies within 15 calendar days after the interruption of studies, academic leave of absence, trip, illness, etc. without a valid reason is expelled from Doctoral Studies by the order of the Rector. A doctoral student can also be expelled from Doctoral Studies due to behaviour incompatible with the standards of the ethics of the academic community.

56. A doctoral student can conduct research or complete a part of studies at other local or foreign institutions. This period is included in the total period of Doctoral Studies, and the doctoral student receives full scholarship (support for studies). The doctoral student takes such trips under the procedure set out by the University based on the order of the Vice-Rector for Research and Innovation on the grounds of the submitted application in the specified format, approved by the doctoral student's Supervisor, head of the academic department, and the Doctoral School. The expenses of the trip(s) may be covered under the projects and programmes administered by the Research Council of Lithuania, the department of the University or the University funds for students, the host institution or other funds. If funding has been allocated, the documents supporting the incurred expenses have to be submitted to the University's Accountancy within three working days after the return from the trip.

57. Doctoral students can be employed at academic departments of the University as full-time or part-time employees with the consent of their Supervisor. Each year, the doctoral student can have pedagogical workload as long as it complies with the needs and capacities of the academic department. Doctoral students receive remuneration for their pedagogical workload under the procedure set out by the University.

58. The expenses related to the dissertation defence (the expenses for printing and sending out the dissertation, remuneration for the work of the members of the Dissertation Defence Board) of the doctoral students who defend dissertations before the end of the term of their Doctoral Studies or within one year after the end of the studies are financed from the funds of the University.

59. A doctoral student (candidate) can submit a reasoned appeal or complaint regarding the decisions made with regard to him/her on the issues of Doctoral Studies under the procedure set out by the University when the decision-making (for example, during the assessment of learning outcomes, the performance evaluation, etc.) includes possible violation of the academic ethics, procedures and errors, as well as possible violation of the doctoral student's rights and legitimate interests, refusal to award the doctoral degree, rejection of the external student's or doctoral student's application for dissertation defence and other issues related to the implementation of Doctoral Studies. A reasoned appeal or complaint regarding the possible violations or decisions made during the process of Doctoral Studies, addressed to the Rector, can be submitted by any employee of the University. The Rector forwards the received appeal or complaint for examination to the Committee



and the respective departments of the University, or to specially formed structures. An appeal or complaint of a University employee has to be processed, and the decision has to be made within 15 calendar days after their receipt. The issues of academic ethics are analysed and the decisions are made by the Board of Academic Ethics. Statements produced by students are examined with participation of a students' representative.

## **CHAPTER VII**

### **PREPARATION AND EXAMINATION OF THE DOCTORAL DISSERTATION, ISSUE OF THE DOCTORAL DIPLOMA**

60. A research doctoral dissertation, as a coherent monograph (except for the case indicated in Paragraph 61), consists of the text of the dissertation (written in the Lithuanian language or in the English language) and an abstract (in the Lithuanian language or in the English language, in a language different from the dissertation's language). The dissertation is submitted with the list of the papers and presentations at scientific conferences which present the outcomes of the dissertation's research. The dissertation shall contain description of the life, research and creative activities of the individual who has submitted the dissertation for defence (hereinafter referred to as candidate) – i.e., the *curriculum vitae*. Copies or references to the candidate's scientific publications on the dissertation topic, or references thereof, are attached separately. A scientific monograph prepared by the candidate without cooperation with co-authors can also be submitted for defence as a doctoral dissertation. The monograph's abstract shall also be submitted. In this case, other scientific publications are submitted if they are necessary for the presentation of the dissertation topic.

61. A dissertation based on a set of scientific papers can also be submitted for defence as a research doctoral dissertation. In this case, a dissertation has to include a review in the volume of at least 1 quire, an abstract of approximately 0.5 quire in the Lithuanian language or in a foreign language (in the Lithuanian language or in the English language, that is, in a different language from the review language) as well as copies of the candidate's scientific papers on the dissertation topic. The main parts of the dissertation are as follows: an introduction, a literature review, a review of the papers, conclusions, an abstract, a list of references, copies of the papers, brief information about the author. The key research outcomes have to be published by the candidate at least in four papers (of which, the candidate is the first co-author or is listed as the corresponding author at least in two of the papers), published or accepted for publishing (with a digital object identifier (hereinafter referred to as DOI) in international scientific publications with impact factor in the *CA WoS* database which are in the Q1 or Q2 quartile at the time of the publishing of the paper. The author of the dissertation has to submit written consents of the publishers of the papers holding the copyrights to the papers and the consents of the main co-authors and authors of the papers listed as the corresponding authors so that to upload copies of the papers used in the dissertation to the Doctoral School (in individual cases, the Committee decides regarding consents of the co-authors). If a dissertation based on a set of scientific papers is defended, these papers cannot be used in the defence of any other dissertation.

62. A research doctoral dissertation (hereinafter referred to as dissertation) has to be an original research work including an introduction with a substantiated scientific problem, defined relevance of the work, its objective and tasks to be solved, novelty of the work and statements of the dissertation to be defended; a dissertation shall summarise the research conducted by other scientists on the dissertation topic and its outcomes; a dissertation shall provide the methodology and/or methods of the work, the credibility of the obtained outcomes, and the relation to the outcomes obtained by other scientists, the reliability of the obtained results and their relation to the outcomes of other researchers and conclusions. The text of the dissertation is written in the Lithuanian language or in the English language; if the Committee agrees, a dissertation can be written in a language other than Lithuanian or English. The volume of a dissertation (except for dissertations based on a set of scientific papers) is 4–10 quires (one quire is 40 000 characters with spaces). A dissertation abstract has to include the definition of the scientific problem analysed in the dissertation, the presentation of the objectives and tasks of the research work, the scientific novelty of the work, the research methodology, the key outcomes and the conclusions based on the outcomes defended by the doctoral

student, and brief information about the candidate. A dissertation abstract (its recommended volume is in-between 0.5 and 1 quire) is prepared in the Lithuanian language or in the English language (i.e., other than the language of the text of the dissertation). If a dissertation is written in a language other than Lithuanian or English, two abstracts are prepared (both in the Lithuanian and English languages). A dissertation and its abstract have to be written in the correct (i.e., error-free) language.

63. The doctoral student's Supervisor and consultant(s), if any, have to be indicated in the dissertation. In case of the replacement of a doctoral student's Supervisor, any previous Supervisor(s) and the period(s) of their supervision have to be indicated. Examples of the title page and the second page of a dissertation are provided in Appendix 1 to the Regulation.

64. A doctoral student can submit a dissertation for defence on condition that he/she:

64.1. Has passed all the examinations scheduled in the doctoral student's work plan;

64.2. Has published the key outcomes of his/her research in at least two papers published either with DOI in peer-reviewed scientific journals or a scientific monograph which have not been provided in any previously defended dissertations. The outcomes of the doctoral student's research are published:

64.2.1. In the areas of humanities and social sciences – at least in two papers in peer-reviewed scientific journals; one of them has been published in an international publication with more than a half of the members of its editorial board being the representatives of the country other(s) than the one the publication is published in, or scientific publications with impact factor in the *CA WoS* or *Elsevier Scopus (Scopus)* databases, or a scientific monograph;

64.2.2. In the areas of physical sciences and technologies – at least in two papers in international scientific journals with impact factor in the *CA WoS* database;

64.3. Has presented the outcomes of his/her research in at least two international scientific events;

64.4. Has completed at least a three-month traineeship at (a) foreign research and educational institution(s) (recommended).

65. A doctoral student presents the prepared dissertation during the meeting of the doctoral student's academic department, with participation of the Supervisor and consultants (if any). The dissertation and the published scientific papers, the skills and the achieved scientific qualification of the doctoral student are evaluated by the academic department under the procedure set out by the University; the conclusion is submitted to the Committee. If a doctoral student submits the dissertation prior to the end of Doctoral Studies but fails to defend it on time, the dissertation may be defended under the usual procedure within 12 months after the formal completion date of Doctoral Studies. If a dissertation is not defended during this period, it is defended externally following the requirements of Chapter VIII of this Regulation.

66. A doctoral student submits an application for dissertation defence addressed to the Rector of the University and also submits the application to the Doctoral School. The following documents are to be attached to the application:

66.1. Copies of the Master's diploma (or a diploma of equivalent higher education) and its supplements;

66.2. A description of the candidate's biography, scientific and creative activities – *curriculum vitae*;

66.3. A certificate on the completed subjects or certified copies of the protocols on the examinations passed according to the study programme of Doctoral Studies (they are prepared by the Doctoral School according to the documents in the doctoral student's file and the records in the databases);

66.4. Author's guarantee for the originality of the defended dissertation (examples are provided in Appendix 2 to the Regulation);

66.5. A list of the published scientific works related to the dissertation topic and copies thereof (if the work has not been published yet, it is required to include a certificate from the editorial office confirming that the publication is pending);

66.6. A printed doctoral dissertation;

66.7. Reviews by the Supervisor and consultants (if any) (if the reviews have been submitted to the Doctoral School, there is no need to submit any further copies);

66.8. A protocol of the dissertation's evaluation, including the conclusion in the format stipulated by Paragraph 65, by the academic department at which the dissertation has been prepared (if a protocol was submitted to the Doctoral School during the period of Doctoral Studies, there is no need to submit any further copies); if a dissertation has been submitted by the doctoral students who are not students of the University, the dissertation's evaluation protocol from the institution at which the dissertation has been prepared with a proposal for defence, signed by head of the institution, has to be submitted.

67. The Doctoral School verifies the compliance of the submitted documents with the established formal requirements and forwards the application with appendices to the Rector.

68. The Rector forwards the doctoral student's application and the submitted documents listed in Paragraph 66 to the Committee of the science field. The doctoral student (the candidate) or the Doctoral School transfers these documents to the Committee.

69. The chairperson of the Committee assembles a meeting of the Committee within two weeks after the receipt of the documents at the latest, except for July and August; during this meeting, two dissertation opponents, who are competent in the dissertation topic, are appointed (thereinafter they are referred to as opponents).

70. The chairperson of the Committee assembles an open meeting with the participation of the doctoral student (the candidate) and his/her Supervisor within one month after the receipt of the documents for dissertation defence at the latest. The Committee hears the doctoral student's (candidate's) presentation of his/her dissertation work (at least 20 minutes) which covers the objective, the tasks, the novelty of the scientific work along with its key outcomes, statements and conclusions; the reviews of the presented dissertation by the appointed opponents (the written reviews of the opponents have to be submitted to the Doctoral School); the doctoral student's (candidate's) answers to the remarks of the opponents; and the dissertation review provided by the Supervisor of the doctoral student (the candidate).

71. The Committee assesses, with objective reasoning, the objectives and tasks of the dissertation, the scientific novelty, relevance and originality of the work, the review of the research conducted in Lithuania and abroad in the field of the defended dissertation, the described research methodology, the reliability and validity of the obtained outcomes, the validity of the statements of the defended conclusions and their compliance with the essence of the research, the compliance of the published scientific papers and the provided research outcomes with the fundamental statements of the defended dissertation, the doctoral student's contribution to the scientific publications on the dissertation topic.

72. The Committee may conclude that:

72.1. The dissertation has been prepared correctly, it complies with the requirements of Chapter IV of the Regulation on Research Doctoral Studies; the doctoral student (the candidate) has met the requirements of Paragraph 64 of the Regulation, and the dissertation may be submitted for defence taking into consideration the remarks of the opponents and the members of the Committee;

72.2. A dissertation requires corrections. The dissertation is returned to the doctoral student (the candidate). A discussion on the corrected dissertation begins according to the requirements listed in Paragraph 69 and/or the relevant subsequent paragraphs;

72.3. A dissertation does not meet the requirements.

73. If the Committee decides that a dissertation can be submitted for defence, the Committee:

73.1. Substantiates the decision to defend the dissertation in a closed meeting of the Board in exceptional cases;

73.2. Prepares a draft of the structure of the Dissertation Defence Board consisting of at least three members and appoints one of its members as the chairperson;

73.3. Collects the agreements of the intended members of the Board (with the assistance of the Doctoral School) and the data proving their compliance with the qualification requirements for the members of the process of Doctoral Studies (lists, certificates, etc.);

73.4. Confirms the list of the institutions which will be sent a notification about the intended defence of the doctoral dissertation according to the thematic area of the prepared dissertation;

73.5. Confirms the date for the dissertation defence.

74. A dissertation is defended in the open meeting of the Board (except for the cases stipulated in Paragraph 73.1) following the Regulation on the Defence Board for Research Doctoral Dissertations (Appendix 3 to the Regulation). A dissertation defence can be held in Lithuanian or in another language. The language of the dissertation defence is determined by the Committee of Doctoral Studies. The chairperson of the Board conducts the meeting. The meeting is legitimate if more than half of the members of the Board are present (including the ones participating by means of teleconferencing). If the Board consists of 3 members, the meeting is legitimate if all of its members are present (including the ones participating by means of teleconferencing). The meeting is based on the principles of impartiality, transparency, tolerance, correctness and legitimacy, as well as the personal responsibility of the members of the Board for their activities and decisions. The reviews of the dissertation received from the members of the Board who are absent in the meeting and other received reviews are read during the meeting.

75. The candidate presents the main outcomes and conclusions of his/her work, and indicates his/her input into the publications presented in the dissertation. The members of the Board reasonably assess the scientific level of the dissertation, the novelty and originality of its outcomes, the reliability and validity of the conclusions, indicate the weaknesses and inaccuracies of the work and evaluate the candidate's scientific competence during the defence. The defendant answers the provided questions and comments on the outlined remarks. During the discussion, the candidate must defend the outcomes of his/her scientific work and prove his/her scientific competence.

76. After the discussions with the candidate, the members of the Board vote for/against the award of the doctoral degree to the candidate. The members of the Defence Board who participate via teleconferencing vote as well. The decision to award the doctoral degree is made if more than half of all the members of the Board vote for it, except for the cases when the Board consists of 3 members. In this case, the decision is made if all the three members vote for it. If the decision not to award the doctoral degree is made, the arguments of such a decision are specified in the voting protocol. The voting protocol is signed by all the members of the Defence Board directly participating in the meeting. By mutual agreement, the members of the Board can provide a recommendation to the Senate regarding the recognition of the exceptional level of the dissertation.

77. The members of the Board can only be those scientists who have no joint publications with the candidate. No conflict of interests can be possible between the members of the Board and the candidate or his/her Supervisor (or the consultant(s) if the dissertation is defended externally). No more than half of the members of the Board can have any joint publications with the doctoral student's Supervisor (or the consultant(s) if the dissertation is defended externally) within the last five years. At least two members of the Board have to be scientists from other institutions (it is advisable to have at least one member of the Board representing a foreign research and educational institution). The candidate's Supervisor and the research consultant(s) (the consultant(s) if the dissertation is defended externally) cannot be members of the Board. No more than two members of the Board may represent other science fields if the work comprises two science fields or if it is necessary for comprehensive assessment of the defended work.

78. Each member of the Board has to analyse the submitted dissertation comprehensively and indicate its positive and negative aspects in their review. The scientific novelty, relevance and originality of the dissertation have to be evaluated; the opinion on the compliance of the defended work with the requirements for doctoral dissertations has to be stated. Each member of the Board has to submit a written review of the dissertation to the Doctoral School within five working days before the defence at the latest. The defendant has a right to get acquainted with the submitted reviews.

79. A dissertation containing the information constituting a state, professional or commercial secret can be defended in a closed session.

80. Upon the examination of the documents, the Doctoral School prepares a draft order to be signed by the University Rector; the order approves the Board, and the date of the dissertation defence.

81. After the University Rector has signed this order:

81.1. The Doctoral School organises the publishing of the required number of copies of the dissertation;

81.2. At least one month before the dissertation defence, the Doctoral School sends one copy of the dissertation to each member of the Board along with a notification on the dissertation defence to the addressees indicated in Paragraph 73.4 of the Regulation;

81.3. The Doctoral School announces the dissertation defence on the websites of the University and the Research Council of Lithuania. The announcement includes the name and surname of the candidate, the institution at which the doctoral dissertation has been prepared, the title of the dissertation, the place and time of the defence, the Supervisor, the members of the Board, their science fields and institutions;

81.4. A copy of the dissertation is transferred to the library of the University.

82. The documents of the Board are processed by the Doctoral School. All the defence documents, including the meeting protocol with the audio recording of the meeting and the decision of the Board stating whether the candidate is to be awarded the doctoral degree, are handed over to the Doctoral School after the dissertation defence. Based on this protocol, the Doctoral School prepares a doctoral diploma.

83. The University Rector and the chairperson of the Defence Board sign the diploma after receiving the decision of the Board to award the doctoral degree.

84. If the Board decides that the doctoral degree is not to be awarded, an amended and/or supplemented dissertation can be submitted for defence after one year at the earliest. In such a case, the doctoral degree is awarded externally according to the requirements of Chapter VIII of the Regulation. In case a fact of scientific dishonesty (plagiarism or other violations of academic ethics and procedures) has been detected, the dissertation cannot be defended.

85. A registered doctoral diploma is awarded to the scientist after the dissertation has been published in the eLABa repository.

86. The University informs the Research Council of Lithuania about the defended dissertation under its established procedure within 20 working days after the dissertation defence meeting. The notification to the Council specifies the reasons why the dissertation was not or could not be defended (if this is the case). Within two weeks after the defence of the dissertation, one copy of the defended dissertation is submitted to Martynas Mažvydas National Library of Lithuania, and the dissertation is published in the eLABa repository, except for the case specified in Paragraph 73.1.

87. The University may revoke the decision to award the doctoral degree:

87.1. If a fact of academic dishonesty has been detected;

87.2. If the doctoral degree has been awarded in violation of the Regulation or other legislation regulating the award of the doctoral degree;

87.3. If the Ombudsman for Academic Ethics and Procedures has made a decision authorising this action. The Ombudsman for Academic Ethics and Procedures can authorise the University to revoke a decision to award the doctoral degree before the Regulation has come into force.

## **CHAPTER VIII OBTAINING A DOCTORAL DEGREE EXTERNALLY**

88. An individual meeting the requirements listed in Chapter V of the Regulation may obtain the doctoral degree externally.

89. An application for external dissertation defence addressed to the Rector of the University is submitted to the Doctoral School with the documents listed in Chapter V of the Regulation on Research Doctoral Studies. If the Doctoral School establishes that the submitted documents comply with the requirements of the Regulation on Research Doctoral Studies, it forwards the application with its appendices to the Rector of the University.

90. The Rector of the University forwards the application with its appendices to the Committee which appoints at least two opponents for the assessment of the manuscript of the dissertation. The Committee assembles a meeting with participation of the external student and the appointed opponents within 3 months after the submission of the application at the latest. During the meeting, the Committee analyses the submitted documents and decides whether the manuscript of the dissertation meets the requirements for research doctoral dissertation according to the requirements of Paragraph 71 of the Regulation.

91. If the Committee decides that a submitted or corrected dissertation of an external student might be recommended for defence, the Committee:

91.1. Assigns the external student to an academic department of the University;

91.2. Proposes a consultant for the external student for approval to the Rector of the University (a consultant can be a scientist of the same science field); the consultant shall perform the functions of the external student's Supervisor; if the external student previously studied in Doctoral Studies but failed to submit the dissertation for obtaining the doctoral degree, the Committee may appoint the former Supervisor of the doctoral student or another individual as the consultant;

91.3. Makes a decision regarding the inclusion of the examinations passed by the external student during Doctoral Studies; establishes the examinations of Doctoral Studies that need to be passed and the deadline;

91.4. Sets the deadline for the preparation and defence of the dissertation which cannot exceed one year after the Committee has made the positive decision.

92. The examinations of the external student are organised following the requirements of Chapter V of this Regulation, and the dissertation is examined and defended following the requirements of Chapter VII (Paragraph 69 and subsequent applicable paragraphs) of this Regulation.

93. If the Committee decides that the dissertation manuscript or the published scientific monograph does not meet the requirements applicable to the doctoral dissertation and cannot be prepared for defence within one year after the submission of the application, the external student may submit an appeal which is processed under the procedure stipulated by Paragraph 59 of the Regulation. In case the Committee's negative decision is confirmed, the external student may submit an application for dissertation defence repeatedly but no sooner than after one year after the date of the Committee's verdict.

94. The external student covers only the expenses of the University directly related to the acquisition of the doctoral degree.

## **CHAPTER IX PROCEDURE OF THE WORK OF THE COMMITTEE**

95. The activities of the Committee are based on the collegial discussion of the issues, principles of impartiality, transparency, tolerance and legitimacy, as well as personal responsibility of the members of the Committee for their actions.

96. The meeting secretary elected from the members of the Committee manages the documents of the Committee meeting and signs the meeting protocols.

97. The Committee's decisions are legitimate if at least two thirds of all the members of the Committee vote for them. A meeting for the Committee's discussion on a certain issue can be organised via telecommunication. The Committee's members express their opinion on the discussed issue and vote via email or other means of telecommunication. The Committee makes a final decision by voting: if the votes are distributed equally, the chairperson of the Committee has the casting vote. The protocols of the Committee's meeting are prepared in two copies: one copy is stored at the Doctoral School for 6 years; the other copy is stored at the Committee, and is afterwards stored under the procedure set out by the University.

98. The signed protocols of the Committee's meeting are delivered to the Doctoral School within 5 working days after the meeting of the Committee.

99. The chairperson of the Committee summons its meetings and organises its work; in case of his/her absence, a member of the Committee is appointed as his/her deputy. The chairperson:

99.1. Examines the received documents in advance or authorises another member of the Committee to examine them;

99.2. Chairs during the meeting(s) of the Committee;

99.3. Signs the documents of the meeting(s) of the Committee.

100. A member of the Committee:

100.1. Reads the received documents in advance;

100.2. Expresses his/her personal opinion on the discussed issue(s) during the meeting;

100.3. Performs other assignments of the chairperson of the Committee.

101. If the members of the Committee are foreign scientists or if doctoral students from foreign countries are present at the meeting, the need for translation to the Lithuanian or any other language is determined by the Committee. If translation is required, it is organised by the chairperson of the Committee.

102. In the cases not stipulated by this Regulation and other legislation, the decisions related to the process of Doctoral Studies are made by the Committee.

## **CHAPTER X**

### **PROCEDURE FOR THE STORAGE OF THE DOCUMENTS OF DOCTORAL STUDIES**

103. The personal file of each doctoral student of the University is stored at the Doctoral School during the period of Doctoral Studies and for two years after the graduation; afterwards, it is transferred to the archive of the University under the established procedure. The file has to include the following documents:

103.1. The application for admission to Doctoral Studies, including the appendices specified in the Regulations on the Admission to Doctoral Studies;

103.2. The documents of the admission to Doctoral Studies;

103.3. The documents of the appointment of the doctoral student's Supervisor and consultant(s);

103.4. The doctoral student's work plan;

103.5. The documents of the doctoral student's performance evaluations;

103.6. The documents of the postponement of the deadlines of the doctoral student's work plan, the documents of the interruption of studies/provision of the academic leave of absence;

103.7. The protocols of examinations of the doctoral student's studies;

103.8. The documents of the graduation from or termination of Doctoral Studies.

104. The personal file of the individual who has defended the doctoral dissertation at the University is stored at the Doctoral School for two years; afterwards, it is transferred to the archive of the University under the stipulated procedure. The file has to include the following documents:

104.1. The application for dissertation defence with the supporting documents and the proposal for defence provided by the Committee;

104.2. The documents of the assembly of the Board;

104.3. A protocol of the dissertation defence meeting;

104.4. The Board's decision on the award of the doctoral degree;

104.5. A copy of the doctoral diploma.

105. If an individual has completed doctoral studies and acquired the doctoral degree at the University, the documents listed in Paragraphs 103 and 104 of this Regulation may be stored in one file.

**EXAMPLES OF THE TITLE PAGE AND THE SECOND PAGE OF THE DISSERTATION**

**KAUNAS UNIVERSITY OF TECHNOLOGY**

NAME SURNAME

**TITLE OF THE DOCTORAL DISSERTATION**

Doctoral dissertation  
Science area, science field (code of the science field)

20xx, Kaunas



The dissertation was prepared in the department (title of the department/research department) of the faculty (title of the faculty/institute) of Kaunas University of Technology in 20xx-20xx. The research was sponsored by (for example, the Research Council of Lithuania if a scholarship was awarded for academic achievements; if there was no sponsorship, this position is to be deleted).

In case the dissertation is defended by an external student, the entry “Dissertation is defended externally” is required.

**Research supervisor:**

(Scientific degree) Name SURNAME (Kaunas University of Technology, science area, science field, code of the science field).

**Research consultant** (if appointed):

(Scientific degree) Name SURNAME (Kaunas University of Technology, science area, science field, code of the science field).

Edited by: Name Surname (title of the enterprise providing the editing services).

**Dissertation Defence Council of (title of the science field) science field:**

(Scientific degree) Name SURNAME (title of the University, science area, science field, code of the science field) – **chairperson;**

(Scientific degree) Name SURNAME (title of the University, science area, science field, code of the science field);

(Scientific degree) Name SURNAME (title of the University, science area, science field, code of the science field);

(Scientific degree) Name SURNAME (title of the University, science area, science field, code of the science field);

(Scientific degree) Name SURNAME (title of the University, science area, science field, code of the science field).

The dissertation defence will be held on (day) (month) 20xx, at (o'clock) in a public meeting of the Dissertation Defence Board of the (title of the science field) science field at the hall (title of the hall) of Kaunas University of Technology.

Address: Donelaičio 73-(number of the hall), LT-44249 Kaunas, Lithuania.

Tel: +370 37 30 00 42; email: [doktorantura@ktu.lt](mailto:doktorantura@ktu.lt).

The dissertation was sent out on (day) (month) 20xx.

The dissertation is available at <http://ktu.edu> and at the library of Kaunas University of Technology (Donelaičio 20, LT-44239 Kaunas).

*(This form is used when the dissertation has been prepared as a coherent monograph)*

## **GUARANTEE OF THE AUTHOR OF THE RESEARCH DOCTORAL DISSERTATION**

I [Click here to enter text.](#)

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(name, surname)

hereby confirm that I have prepared this research doctoral dissertation submitted for defence at Kaunas University of Technology

under  
the title

[Click here to enter text.](#)

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(title of the research doctoral dissertation)

in accordance with the requirements of the Regulation on Research Doctoral Studies of Kaunas University of Technology. The directly and indirectly used ideas from any other sources are always indicated with references to the literature. My personal input in the dissertation topic-related publications published with co-authors is sufficient.

While selecting and assessing the material, as well as while preparing the research doctoral dissertation, besides my research supervisor, I was consulted by:

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(name, surname)

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(name, surname)

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(name, surname)

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(name, surname)

There is no contribution by any other individuals to the prepared research doctoral dissertation. I have not made any other payment(s) for this work, except for those stipulated by the Law.

This work has not been presented for the defence of research doctoral dissertation either in this or in any other form locally or abroad.

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(name, surname)

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(signature)

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(date)

*(This form is used when the dissertation has been prepared based on research papers)*

## GUARANTEE OF THE AUTHOR OF THE RESEARCH DOCTORAL DISSERTATION

I [Click here to enter text.](#)

\_\_\_\_\_  
(name, surname)

hereby confirm that I have prepared this research doctoral dissertation submitted for defence at Kaunas University of Technology

under  
the title

\_\_\_\_\_  
(title of the research doctoral dissertation)

in accordance with the requirements of the Regulation on Research Doctoral Studies of Kaunas University of Technology. The directly and indirectly used ideas from any other sources are always indicated with references to the literature. My personal input in the dissertation topic-related publications published with co-authors is sufficient.

I confirm that I have received written consents regarding the inclusion of the copies of publications in the doctoral dissertation from all the publishers holding the copyrights to the publications included in the dissertation, as well as the main authors and the corresponding authors of the publications.

While selecting and assessing the material and preparing the research doctoral dissertation, besides my research supervisor, I was consulted by:

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(name, surname)

[Click here to enter text.](#)

\_\_\_\_\_  
(name, surname)

There is no contribution by any other individuals to the prepared research doctoral dissertation. I have not made any other payments for this work, except those stipulated by the Law.

This work has not been presented for the defence of research doctoral dissertation either in this or in any other form locally or abroad.

\_\_\_\_\_  
(name, surname)

\_\_\_\_\_  
(signature)

\_\_\_\_\_  
(date)

## **REGULATION ON THE BOARD FOR DEFENCE OF THE DISSERTATION OF THE SCIENCE FIELD**

1. This Regulation lays down the work procedures for the Board for Defence of the Dissertation of the Science Field (hereinafter – Board) assembled in accordance with the Regulations on Research Doctoral Studies approved by Order No. V-739 of the Minister of Education, Science and Sport of the Republic of Lithuania of 18 May 2020.

2. The Board's documents are managed and the meeting for the dissertation defence is organised by the Doctoral School of Kaunas University of Technology.

3. The work of the Board is organised by the chairperson of the Board. The chairperson:

3.1. Examines the personal file of the candidate who has applied to defend the dissertation in advance and makes sure that the file and all the documents of the meeting (ballot papers, a blank of the voting protocol and other relevant documents) have been prepared;

3.2. Examines the received reviews which have to be presented during the Board's meeting, or assigns this work to another member of the Board;

3.3. Ascertains that everything has been properly prepared for the meeting (for the audio recording of the meeting, the demonstration of the visual material and the translation of the meeting, if needed);

3.4. Chairs during the Board's meeting (if the chairperson of the Board appointed by the order of the Rector of the University is unable to participate in the defence meeting, the members of the Board elect one of the members who will perform the chairperson's functions at the beginning of the meeting);

3.5. Signs the documents of the meeting of the Board.

4. A member of the Board:

4.1. Examines the dissertation submitted for defence in advance and assesses whether it is an original scientific work which includes a summary of the research work conducted by the doctoral student on the problem of the science field and whether its content meets any other requirements applicable to a doctoral dissertation;

4.2. Assesses whether the candidate's scientific publications have been published in scientific journals and the main research outcomes have been presented in these publications.

5. The meeting of the Board is public (in case of a closed meeting, the participants only include the members of the Board, the candidate, his/her Supervisor and consultants; all the participants of the meeting sign a declaration of the confidentiality of information). The proceeding of the meeting is as follows:

5.1. The chairperson of the Board makes sure that more than a half of the members of the Board, including the ones participating by means of teleconferencing, participate in the meeting (if the Board consists of 3 members, the meeting is legitimate when all the three members participate), and that the members who do not participate in the meeting have submitted their written reviews on the dissertation; afterwards, he/she informs the participants of the meeting, announces the quorum, and presents the file of the candidate;

5.2. The candidate introduces the problem of the dissertation, its objectives, tasks, the obtained research data, the main outcomes and the conclusions of his/her work;

5.3. The candidate's Supervisor and consultants are provided with an opportunity to speak;

5.4. The chairperson of the Board announces a scientific discussion which is started by the members of the Board. They have to reasonably assess the dissertation's scientific level and the validity of the outcomes, to estimate whether the dissertation and the candidate's publications comply with the requirements of the Regulation on Research Doctoral Studies. The members of the Board have to pose questions to the candidate;

5.5. The chairperson or his/her appointed member of the Board reads aloud any additional reviews on the dissertation (if available) or, upon receiving agreement of the members of the Board, introduces the remarks and conclusions formulated in the reviews, and the candidate has to provide a reasoned response to the remarks;

5.6. The guests are provided with an opportunity to speak (in the case of an open meeting); the candidate has to be provided with an opportunity to speak after each speech;

5.7. The defendant makes a final speech after the scientific discussion;

5.8. At the end of the discussion, the chairperson of the Board asks the participants of the meeting to leave the meeting room, except for the members of the Board. When the members of the Board stay alone on the premises, they vote:

5.8.1. The chairperson of the Board distributes the ballot papers to the participating members. After the voting of the directly participating members of the Board, the members of the Board participating by means of teleconferencing inform the chairperson of the Board about their decision via electronic means of communication; he/she marks the vote of the member participating by means of teleconferencing in a separate ballot and signs it;

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

5.8.3. The members of the Board confirm the voting results under the procedure of the open voting and sign the voting protocol and the Board's decision on the award of the doctoral degree to the candidate.

5.9. The chairperson of the Board reads the Board's decision to the participants of the meeting and announces the end of the meeting.

6. When the meeting is over, the chairperson of the Board returns all the documents of the dissertation defence to the Doctoral School.

7. The chairperson of the Board reviews and signs a protocol of the meeting prepared according to the audio recording of the meeting.

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