

APPROVED BY  
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Senate of Kaunas University of  
Technology of 29 November 2023  
(Version of Decision No. V3-S-27  
of the Senate of Kaunas University  
of Technology of 19 June 2024)

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

### **CHAPTER I GENERAL PROVISIONS**

1. The Regulation on Research Doctoral Studies (hereinafter – Regulation) of Kaunas University of Technology (hereinafter – University) is prepared following the Regulations on Research Doctoral Studies (hereinafter – Regulations), approved by Order No. V-739 of the Minister of Education, Science and Sport of the Republic of Lithuania *On the Approval of the Regulations on Research Doctoral Studies* of 18 May 2020. The Regulation is applied to the research doctoral studies (hereinafter – doctoral studies) in the science fields to which Kaunas University of Technology (hereinafter – 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 selection of research doctoral dissertation (hereinafter – dissertation) thematics and research supervisors (hereinafter – Supervisor) of research doctoral students (hereinafter – doctoral student), the supervision of doctoral students, the preparation and approval of a doctoral student's work plan, the assessment of doctoral studies, a doctoral student's knowledge, abilities and skills, the performance of a doctoral student's research, the preparation, examination and defence of a dissertation, the issuing of the doctorate diploma, the postponement of a doctoral student's attestation and assessment deadlines, the review of a doctoral candidate'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 resolutions of the doctoral committee of the science field (hereinafter – Committee), the quality assurance procedure in doctoral studies, the requirements for the members of the Committees and defence boards (hereinafter – Board), the Supervisors, the research consultants of the doctoral students (hereinafter – Consultant), the reviewers and teachers, as well as the functions and work procedures for the persons, departments or specifically assembled structures involved in the process of doctoral studies.

3. The University Senate approves the Regulation and amendments thereof, the Rector of the University, in agreement with the Research Council of Lithuania, assembles and approves the composition of the Committee and amendments thereof, and appoints the Committee chairperson elected from the members proposed by the Committee.

4. The purpose of doctoral studies is the preparation of scientists capable of independent performance of research and experimental development works, solving scientific problems, as well as working in academic and non-academic environments. The duration of doctoral studies is 4 years (full-time studies). The doctoral studies include studies, target research, preparation and defence of a dissertation.

5. The process of doctoral studies is controlled by the Vice-Rector for Research of the University, administered and related documents are managed by the University Doctoral School by following the Law of the Republic of Lithuania on Higher Education and Research, the Statute of

Kaunas University of Technology, the Academic Regulations of Kaunas University of Technology, the Regulations and the Regulation.

6. Doctoral studies and research are coordinated by the Committee. The Committee conducts the selection and approves dissertation topics, Supervisors and doctoral candidates, appoints the doctoral student's academic department and Consultants, approves doctoral students' work plans and amendments thereof, carries out the recognition of the doctoral study modules completed at foreign higher education institutions, and provides conclusions on the level of research of academic departments participating in the process of doctoral studies, the publication of doctoral studies, research and research results, and the doctoral studies and research plans and their implementation, decides on the language used for writing the dissertation, certifies doctoral students and doctoral study modules, ensures the quality of doctoral studies and the improvement of the quality of doctoral studies, evaluates the prepared dissertations, and assembles Boards. The Doctoral School annually assesses the compliance of the Committee members with the requirements set out in the Regulations. Amendments in the composition of the Committee can be initiated by the Committee or the heads of the first-level academic departments involved in the organisation of doctoral studies in the relevant science field. The Committee formalises all its proposals, suggestions and decisions in the protocols signed by the chairperson of the Committee (or a substituting member of the Committee) and the secretary. The protocol of the Committee is submitted to the Doctoral School after the meeting of the Committee, which, based on the decisions made by the Committee, prepares the relevant material for the Rector, the Vice-Rector for Research, and the Senate of the University.

7. The Committee is composed of at least 9 scientists who conduct high-level research. Membership of the Committee is open to scientists who are employed at the doctoral institution(s) that hold the right to doctoral studies, where they took the job position at the institution(s) under the procedure of competition, or who are employed at the institution(s) for at least 0.5 FTE for the last three years. The requirement to take a job position under the procedure of competition is not applied to scientists from foreign research and educational institutions. If the right to doctoral studies is granted with the participation of (a) foreign research and educational institution(s), the Committee must include more than half of the scientists from Lithuanian institution(s). The scientists with experience in supervising/consulting doctoral students can be the members of the Committee. The members of the Committee must include at least two-thirds of the members of the science field in which the right to doctoral studies is granted. A member of the Committee can serve as chairperson of the Committee for a maximum of two consecutive 5-year terms. The composition of the Committee is reviewed and updated by the University at least every 5 years. A scientist can be a member of no more than two Committees. At least half of the members and the chairperson of the Committee have to meet the minimum qualification requirements (to the extent related to scientific papers) set out by the University for the persons applying for the position of chief researcher. The remaining members of the Committee have to meet at least the requirements set out in the Regulations for Supervisors and Consultants.

*Amendment of paragraph  
V3-S-27, 19-06-2024*

8. The following requirements are set out for other participants of the process of doctoral studies:

8.1. Membership of the Board is open to scientists who meet the minimum qualification requirements (to the extent related to scientific papers) set by the University for the persons applying for the position of a senior researcher and who have published at least five scientific papers in the last five years: scientific monographs or parts thereof published by internationally recognised publishers; scientific papers in international scientific journals with the impact factor in the *Clarivate Analytics Web of Science* (CA WoS) (in the areas of humanities, social sciences, natural and technological sciences) and/or *Elsevier Scopus* (Scopus) databases (in the areas of humanities and social sciences);

8.2. The positions of Supervisors and Consultants can be taken by scientists meeting the minimum qualification requirements (to the extent related to scientific papers) set by the University for persons applying for the position of a senior researcher and who have published at least 3 scientific

papers in the last five years in international scientific journals which, at the time of the publication of the paper, were in the Q1–Q2 quartiles and have the impact factor in the *Clarivate Analytics Web of Science* (CA WoS) (in the areas of humanities, social sciences, natural and technological sciences) and/or *Elsevier Scopus* (Scopus) databases (in the areas of humanities and social sciences), or at least 1 scientific paper in an international scientific journal which, at the time of publication, was in the Q1–Q2 quartiles, and has the citation index in the *Clarivate Analytics Web of Science* (CA WoS) (in the areas of humanities, social sciences, natural and technological sciences) and/or *Elsevier Scopus* (Scopus) databases (in the areas of humanities and social sciences) and a scientific monograph or part thereof published by an internationally recognised scientific publisher;

8.3. Those scientists who are conducting research on the topic of the reviewed dissertation and who hold at least the position of an associate professor or a senior researcher may be dissertation reviewers (hereinafter – reviewers);

8.4. Scientists holding at least the position of an associate professor or a senior researcher may serve as the teachers of the University doctoral study modules;

8.5. All participants of the process of doctoral studies have to comply with the principles and norms of ethical behaviour set out in the Code of Academic Ethics of Kaunas University of Technology.

9. A dissertation is defended and a doctoral degree is awarded by the Board, assembled for the defence of a specific dissertation after the dissertation has been completed and recommended for defence by the Committee. The Committee assembles the Board of at least five members, at least one of whom represents a foreign research and/or educational institution, and one of whom is appointed the chairperson. The composition and the chairperson of the Board are approved by the Rector of the University or his/her authorised person, at the proposal of the Committee.

10. A doctoral degree is awarded to the person who has accomplished the requirements of Doctoral studies laid down in the Regulation, whose dissertation and research works have demonstrated his/her capability of independent and critical application of research methods, along with the capacity of conducting the research and solving scientific problems, and who has successfully defended a dissertation; or to the person who has defended an externally prepared dissertation.

11. Double-degree doctoral studies can be provided with foreign research and educational institutions for the sake of the enhancement of internationality and quality of doctoral studies. In this case, contracts on double-degree doctoral studies are signed with foreign research and educational institutions, and formal agreements are made regarding the conditions and obligations related to the studies of doctoral students.

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

12. The students are admitted to doctoral studies under the procedure of the open competition stipulated by the Regulation. The individuals who have a Master's qualification degree or an equivalent higher education degree can participate in the open competition for admission to doctoral studies. The additional requirements for the applicants with regard to the suggestions of the Committees are stipulated by the Regulations on Admission to Doctoral Studies, annually approved by the Senate of the University.

13. The doctoral students who terminate their studies on their own will, do not return after interrupted studies, 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 place of doctoral studies.

14. At least one month before the announcement of the open competition for admission to doctoral studies, the Vice-Rector for Research, upon the proposal of the Committee, announces a competition for dissertation thematics and Supervisors. The competition is organised by the Doctoral School and implemented by the Committee. The dissertation thematics (along with the research supervisors of doctoral students) selected by the Committee are finalised in the protocol of the

Committee which is submitted to the Doctoral School. The Doctoral School submits the selected dissertation thematic and Supervisors for the approval of the Vice-Rector for Research and announces this information on the University website.

15. An open competition for the admission to doctoral studies along with the admission conditions are announced by the Rector, upon the proposal of the Committee.

16. A candidate submits an application for participation in the open competition for the admission to doctoral studies addressed to the Rector in the University admission system. The application shall indicate the field(s) (no more than two) and form of studies, the source of financing, as well as the preferred dissertation thematic(s) in the order of priority (no more than two). It is submitted by a candidate. The application is supported with the following documents:

16.1. A copy of the Master's (or equivalent higher education) diploma along with the diploma supplement (a certificate of the recognition of the qualification of higher education acquired abroad if the qualification of higher education has been acquired abroad which is to be issued by the Centre for Quality Assessment in Higher Education or the University holding the right to conduct the academic recognition of education and qualifications);

16.2. A *curriculum vitae*;

16.3. A recommendation by two scientists of the relevant science field (preferably, one of the recommendations should be written by the supervisor of the thematic/topic for which the application is being submitted);

16.4. A list of the candidate's research works and copies thereof; in the absence of such works, a research paper on the topic selected according to the dissertation thematic which the candidate intends to study;

16.5. Other documents specified in the Regulations on Admission to Doctoral Studies.

17. The candidates are separately admitted to full-time state-funded and state non-funded doctoral studies under the competition procedure. The individuals invited to study in doctoral studies sign a learning agreement in the specified format.

18. The selection criteria for the admission to doctoral studies are as follows:

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

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

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

19. The selection criteria, its weighting coefficients, the procedure for the competition score calculation and the minimum competition score are approved for each academic year in the Regulations on Admission to Doctoral Studies, upon the proposal of the Committee.

20. According to the criteria for the selection of applicants to doctoral studies, the Committee evaluates the candidates in grades and derives the priority ranking for the thematic(s) on the basis of the highest competition score. The lists of candidates and the decision regarding the offer to admit (or not to admit) a specific candidate to doctoral studies are finalised in the protocol of the Committee.

21. If the Committee determines that a candidate has attended an insufficient volume of modules in the relevant science field or that some of his/her knowledge is insufficient, the Committee may assign additional modules to be completed by the doctoral student during the years of doctoral studies. The doctoral student has to pay a fee determined by the University for the additional credits of the modules.

22. In case not all available state-funded positions of doctoral studies are occupied after the signing of the learning agreements based on the quotas of the University, an additional cycle of the competition may be held by the Doctoral School under the procedure indicated in Paragraphs 15–21 of the Regulation.

23. An individual is admitted to doctoral studies by the order of the Rector. The order is drafted by the Doctoral School on the basis of the protocol of the Committee and the signed learning agreement.

24. During the admission meeting or within the first two weeks of doctoral studies at the latest, the Committee appoints Supervisors, plans dissertation topics and assigns academic departments to the newly admitted doctoral students. The Supervisor and the academic department are approved by the decree of the University Vice-Rector for Research.

25. The applicants who have not been admitted to the state-funded places under the procedure of competition can choose the non-state-funded doctoral studies at the proposal of the Committee, thus paying a tuition fee for their doctoral studies established by the University.

26. The non-EU citizens admitted to doctoral studies have to obtain a residence permit to reside in the Republic of Lithuania under the procedure established by the legislation.

27. An individual who has applied for admission to doctoral studies and has not been admitted to study can lodge a reasoned appeal under the procedure set out in the Regulations on Admission to Doctoral Studies.

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

28. The studies and research of a doctoral student are supervised by the Supervisor. The Supervisor is required to be an active scientist conducting research in the science field to which a doctoral student has been admitted. The Supervisor can supervise the studies of no more than five doctoral students simultaneously. For the doctoral studies with companies, institutions or organisations, two Supervisors are assigned to the doctoral student: one representing the institution, and the other Supervisor representing the company, institution or organisation. The Supervisor representing the company, institution or organisation is required to be a scientist in the same science field as the doctoral student; this Supervisor is not subjected to the requirements set out in the Regulation.

29. Upon the proposal of the Supervisor, Consultants (no more than two) can be appointed to a doctoral student; they can be scientists of a different science field. The Consultants cannot be appointed earlier than in the second year of the doctoral student's studies or later than the beginning of the final semester of the doctoral student's studies. A scientist from a foreign institution can also be appointed as a Supervisor or a Consultant. If the Supervisor is from the foreign institution, it is advisable to appoint a scientist from the Lithuanian institution as the Consultant.

30. The Doctoral School submits the lists of Supervisors and academic departments of doctoral students for the approval of the University Vice-Rector for Research within the first two weeks of doctoral studies at the latest. The procedure for the approval of the Consultants is equivalent to the procedure for the approval of the Supervisors.

31. The Supervisor:

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

31.2. Proposes the Consultant candidates, if necessary;

31.3. Provides methodical 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;

31.4. Helps the doctoral student solve the organisational issues related to the studies, conducting research, and the preparation of the dissertation;

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

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

31.7. Prepares a detailed review of the prepared dissertation before the end of the doctoral student's studies.

32. The Consultant:

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

32.2. Organises the conduction of research and experiments at other departments of the University or other institutions;

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

33. The academic department to which the doctoral student is assigned:

33.1. Provides the doctoral student with conditions for successful implementation of the work plan, provides the appropriate conditions for studies and research, gives access to the department's research infrastructure and offers a physical workplace;

33.2. Monitors the doctoral student's progress in the course of the doctoral studies;

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

33.4. Helps the doctoral student who chooses the path of an academic career to gain pedagogical experience;

33.5. Helps to develop excellence in research throughout the entire period of the doctoral studies;

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

33.7. Upon the preparation of a dissertation, organises the initial discussion on the dissertation under the procedure set out by the University, presents the Committee with conclusions on the compliance of the doctoral dissertation with the applicable requirements and the fulfilment of the conditions set out in Paragraph 62 of the Regulation.

34. In case there is a need to replace the Supervisor or Consultant due to important reasons, this replacement is coordinated at the Committee and approved by a decree of the University Vice-Rector for Research.

35. A doctoral student has a right to submit a reasoned application in the University's Academic Information System (hereinafter – AIS) requesting the 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 application is forwarded to the Committee; a decision has to be discussed and made during its meeting within one month (except for July and August) after the receipt of the application. If a doctoral student's application is granted, the Committee takes into consideration the topic of the doctoral dissertation and offers a candidacy of the new Supervisor for approval of the University Vice-Rector for Research. If the application is rejected by the Committee, the Supervisor continues the supervision.

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

36. The Supervisor, in cooperation with the doctoral student, prepares the doctoral student's draft work plan including doctoral studies and research plans within two weeks from the beginning of the doctoral studies at the latest. The deadlines for all works have to be scheduled and listed in the work plan. The targeted research has to begin with the beginning of the doctoral studies.

37. The volume of doctoral studies is 30 ECTS credits, of which, at least 5 ECTS credits are recommended for the study modules of the development of general competencies, for example, the preparation of project proposals, issues of ethics and procedures, copyrights, communication skills, etc. Each doctoral student is required to study at least 4 study modules. Doctoral students can also complete study modules that are not included in the study programme of the science field as electives which are approved at the level of the doctoral studies by the University or other higher education institutions if they correspond to the topic of the dissertation prepared by the doctoral student, or if they are intended to develop general competencies. At least one study module (the recommended volume is from 1 to 6 ECTS credits) must be completed at a higher education institution abroad, or

credits must be obtained at international summer/winter schools organised by foreign higher education institutions (otherwise, the doctoral student must complete a research fellowship of at least 3 months abroad during the period of the doctoral studies, which can be completed in shorter non-consecutive periods). The Committee decides on the recognition of credits obtained at foreign higher education institutions or in summer/winter schools organised by them. Upon the agreement with the Supervisor and the Committee, the doctoral student includes the planned study modules into the individual study plan which is an integral part of the doctoral student's work plan. Each doctoral student coordinates this plan within the first month of doctoral studies. The timetables of the classes of individual modules are prepared at the academic departments of the University based on the individual study plans.

38. A doctoral study programme in the science field can only consist of the modules approved by the Committee under the procedure set out by the University. Study modules are approved under the procedure approved by the University, with the study module's maximum approval period of 3 years. The Committee annually reviews, updates (if necessary), and approves the study programme of the science field and the composition of the examination committees (consisting of at least 3 members, with the teacher coordinating the module being appointed as the chairperson) for the following academic year. The Doctoral School controls that only the approved study modules should be included in the individual study plans of the doctoral students.

39. A doctoral student's research plan consists of the analysis of scientific literature, the 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, the preparation of a dissertation, planned research fellowships abroad, etc.

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

41. Each doctoral student conducts research according to the approved work plan. The content, quality, scope and deadlines of the conducted research are evaluated during the doctoral student's performance assessment.

42. A doctoral student is provided with access to any equipment which is available at the University's academic departments required for the research scheduled in his/her research plan. If some 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 RESEARCH DOCTORAL STUDENT'S KNOWLEDGE, ABILITIES AND SKILLS, AND PERFORMANCE EVALUATION**

43. The lectures of doctoral studies are organised by the heads of the first-level academic departments whose employees coordinate the doctoral study modules. The lectures of doctoral study modules are organised for groups of doctoral students in the autumn and spring semesters. If, during the first year of a doctoral student's studies, the module does not gather the necessary number of doctoral students to organise the lectures of the module, the module can be postponed once to the following academic year. The timetable of classes of doctoral study modules is published on the University AIS.

44. The attendance of doctoral students in the laboratory work classes of their study modules included in the study timetable is compulsory, while their duty to attend other types of classes (theoretical lectures, practice classes, field visits, consultation seminars, etc.) is defined according to the requirements for attendance in the module's classes, as outlined by the teacher coordinating the study module.

45. The studies of each module end with an examination. The examination for the doctoral study module is conducted by an examination committee. It is recommended to organise the examinations for students during the regular examination sessions. The examinations can be conducted both orally and in writing. Written examinations are conducted under the procedure set out by the University. The evaluated works of written examinations are submitted to the Doctoral School

together with the examination protocols within two weeks after the examination at the latest. The examination results are entered and stored in the databases of the AIS and the doctoral student's file.

46. At the doctoral student's request, the credits for the previously taken examinations in the study modules studied under doctoral study programmes may be included by the Committee.

47. A doctoral student is assessed at the academic department and the Committee at the end of the autumn and spring semesters of each academic year. The academic department, with the 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 evaluation (thereby approving the continuation of doctoral studies and the specified work plan for the next academic year) or the negative evaluation (thereby suggesting the termination of the doctoral studies). The Committee can postpone a doctoral student's performance evaluation for a maximum period of 3 months if the doctoral student is slightly behind in his/her work plan, with the requirement that he/she completes the scheduled activities by the date of the postponed performance evaluation. The Committee transfers the protocol of performance evaluation and the documents submitted by the doctoral student to the Doctoral School. Upon receiving the negative evaluation, a doctoral student is expelled from the Doctoral studies by the order of the University Rector. In case a doctoral student obviously fails to implement a work plan, an extraordinary performance evaluation may be initiated upon the proposal of the Supervisor or the head of the doctoral student's department, as well as the Committee.

48. The University Vice-Rector for Research can postpone the deadlines for doctoral studies, research, examinations, preparation of a dissertation or other assessments due to important reasons (illness, pregnancy and childbirth, etc.) for a period not exceeding 3 months. The requests of doctoral students for the postponement of the deadlines with supporting documents are submitted to the University AIS within three working days of the cause under consideration. It does not influence the duration of the 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 been given the positive assessment for the scheduled activities.

## **CHAPTER VI VACATIONS, TRIPS, APPEALS, OTHER CONDITIONS**

49. Doctoral students are granted a continuous (uninterrupted) vacation of at least one month each academic year (up to a maximum of two months in total), the date of which is agreed in advance by the doctoral student with the Supervisor.

50. Given important personal and other reasons, after coordinating the issue with the Supervisor, the head of the academic department, and the Doctoral School, the doctoral student may be allowed to interrupt studies temporarily for a total period not exceeding one year under the procedure set out by the University.

51. 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. A request has to be coordinated with the Supervisor, the head of the academic department, and the Doctoral School, and then submitted to the University AIS with the supporting documents.

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

53. A doctoral student can conduct research or complete part of their studies at other local or foreign institutions. This period is included in the total period of the doctoral studies, and the doctoral student receives the full scholarship (support for studies). Doctoral students make such trips under the procedure set out by the University, under the decree of the Vice-Rector for Research, based on the submitted application in a specified format, approved by the Supervisor of the doctoral student,



the head of the academic department, and the Doctoral School. The expenses of the trip may be financed under the projects and programmes administered by the Research Council of Lithuania, the relevant department of the University, or the University funds for students, the host institution, or other funds. If the funding is allocated by the University, the documents supporting the incurred expenses are required to be submitted by the doctoral student to the Accountancy Department of the University within three working days after the return from the trip.

54. Doctoral students can be employed at the academic departments of the University as full-time or part-time employees with the consent of their Supervisor. Each year, doctoral students are allowed to have a pedagogical workload if the doctoral student agrees, and if it complies with the needs and capacities of the academic department. The doctoral student receives remuneration for the pedagogical workload under the procedure set out by the University.

55. A doctoral student (doctoral 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, in the course of the assessment of the learning outcomes, or the performance evaluation) includes a possible violation of the academic ethics, procedures and errors as well as a possible violation of the doctoral student's rights and legitimate interests, the non-award of a doctoral degree, the rejection of the doctoral candidate's or doctoral student's application for dissertation defence and any other issues related to the provision of doctoral studies. The appeals and complaints of doctoral students are examined with the participation of the representative delegated by doctoral students.

56. Any employee of the University or any other interested person can submit a reasoned appeal or complaint to the Rector regarding any alleged violations or decisions made during the process of doctoral studies. A reasoned appeal or complaint is registered at the Document Management Office of the University and forwarded to the Rector. Any appeal or complaint received from a University employee or another interested person is referred by the Rector to the Committee, the respective department of the University, or to specially created structures, depending on the issue. The appeal or complaint from a University employee or another interested person has to be considered, investigated and given a response within 15 calendar days of receiving the document.

57. Issues of academic ethics are discussed, and decisions are made by the Board of Academic Ethics following the Code of Academic Ethics of Kaunas University of Technology.

## **CHAPTER VII PREPARATION AND EXAMINATION OF THE DOCTORAL DISSERTATION**

58. A dissertation, as a coherent monograph (except for the case indicated in Paragraph 59), consists of a 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, i.e., in the language different than the dissertation language). The dissertation includes a list of scientific papers and scientific conferences which presented the dissertation's research results, along with a description of the personal life, research and creative activities of the person submitting the dissertation for defence (hereinafter – doctoral candidate) – that is, *curriculum vitae*. Copies or references of the doctoral candidate's scientific publications on the dissertation topic, or references thereof, are attached separately (i.e., they are not included in the dissertation). A scientific monograph prepared by the doctoral candidate without cooperation with any co-authors can also be submitted for defence as a dissertation. The abstract of a monograph shall also be submitted. In this case, other scientific publications are submitted if they are necessary for the elaboration on the dissertation topic.

59. A dissertation based on a set of scientific papers can also be submitted for defence as a dissertation. In this case, a dissertation has to include a review of the published scientific papers in the volume of at least 1 quire, an abstract of approximately 0.5 quires in the Lithuanian language or a foreign language (in the Lithuanian language or in the English language, i.e., in a language which is *not* the review language) along with copies of the doctoral candidate's scientific papers on the dissertation topic which are the basis for the dissertation being defended, while also indicating the specific contribution of the author. The main parts of the dissertation are set out in the dissertation

preparation requirements approved by the University. The key research results have to be published by the doctoral candidate at least in four scientific papers (specifically, the doctoral candidate is the sole author or the lead co-author at least in two of them), published or accepted for publishing (with a *digital object identifier* (hereinafter – DOI) or another justification for acceptance for publication) in international scientific journals in the Q1 or Q2 quartiles at the time of the publishing of the paper:

59.1. For doctoral students in the areas of humanities and social sciences: in international scientific publications with the impact factor in the *Clarivate Analytics Web of Science* (CA WoS) and/or *Elsevier Scopus* (Scopus) databases;

59.2. For doctoral students in the areas of natural sciences and technologies: in international scientific publications with an impact factor in the *Clarivate Analytics Web of Science* (CA WoS) database.

The author of the dissertation is required to submit the written consent of the publishers of the papers holding the copyrights to the papers and the consent of each of the main co-authors and authors of the papers listed as the corresponding authors to upload the copies of the papers in the dissertation to the Doctoral School (in individual cases, the Committee decides regarding the consent of the co-authors).

60. A dissertation must be an original research work including an introduction with a substantiated scientific problem, the defined relevance of the work, its objective and tasks to be solved, the novelty of the work, summary of the research conducted in the world on the dissertation topic and its results/outcomes; the introduction must provide the methodology or methods of the work, discuss the credibility of the obtained research results and their relation to the data obtained by other scientists, conclusions and other aspects which are considered important by the doctoral student. The main parts of the dissertation are set out in the dissertation preparation requirements approved by the University. A dissertation should indicate the scientific papers published on the topic of the dissertation of which the doctoral candidate is the lead co-author. The text of the dissertation is written either in the Lithuanian language, or in the English language; if the Committee agrees, it can be written in a language other than Lithuanian or English. The volume of the dissertation (except for a dissertation based on a set of scientific papers) is 4–10 quires (the volume of one quire is 40 000 characters with spaces). The dissertation abstract is required 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 results and the conclusions based on the results defended by the doctoral student, and brief information about the doctoral candidate. The dissertation abstract (its recommended volume is in-between 0.5 and 1 quire; the volume of the abstract is included in the total determined volume of the dissertation) is prepared in the Lithuanian language or in the English language (i.e., in the language other than the language of the main body of the dissertation). If a dissertation is written in a language other than Lithuanian or English, two abstracts shall be prepared (in the Lithuanian language *and* in the English language). The text of a dissertation and its abstract must conform to the requirements of in the appropriate quality of language.

#### *Amendment of paragraph*

*V3-S-27, 19-06-2024*

61. The Supervisor and the Consultant (if appointed to a doctoral student) have to be indicated in the dissertation. In case of the replacement of the Supervisor, the previous Supervisor and the period 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.

62. A doctoral student can submit a prepared dissertation for defence if he/she:

62.1. Has passed all the examinations and obtained assessments for all other works scheduled in the doctoral student's work plan (which contains at least 30 ECTS credits);

62.2. While preparing the dissertation specified in Paragraph 58 of the Regulation, the doctoral student has published key research results at least in two scientific papers (i.e., where the doctoral student is the sole author or the lead co-author of at least one of these papers) published or

with DOI or another justification for acceptance for publication in peer-reviewed scientific journals or a scientific monograph. The doctoral student's research results are published:

62.2.1. In the areas of humanities and social sciences: at least in two papers in international peer-reviewed scientific journals with more than half of the members of its editorial board being representatives of the country other than the one the publication is published in, or scientific publications with the impact factor in the *Clarivate Analytics Web of Science* (CA WoS) or *Elsevier Scopus* (Scopus) databases and in the Q1–Q3 quartiles at the time of the publishing of the papers or a scientific monograph;

62.2.2. In the areas of physical sciences and technologies: at least in two papers in the international scientific journals with the impact factor in the *Clarivate Analytics Web of Science* (CA WoS) database and in the Q1–Q3 quartiles at the time of the publishing of the papers;

62.3. Has presented his/her research results at least in two international scientific conferences (with at least one of them being held abroad);

62.4. Has completed at least a three-month fellowship at foreign research and educational institution(s) (recommended; if a doctoral student does not complete at least one study module at a higher education institution abroad, a research fellowship is compulsory).

63. During doctoral studies with companies, a doctoral student's co-authorship of the invention patent related to the dissertation topic (or a patent application after the positive evaluation of an expert) at the *European Patent Office* (EPO), the *United States Patent and Trademark Office* (USPTO), the *Japanese Patent Office* (JPO), the *Korean Intellectual Property Office* (KIPO), or the *China National Intellectual Property Administration* (CNIPA) can be considered equivalent to one of the papers indicated in Subparagraph 62.2. In the event of the positive evaluation of a patent application in the same inventive formula by patent organisations in several countries, they are included as a single application (patent).

64. A doctoral student shall be considered the lead co-author of the scientific paper as follows:

64.1. In the areas of humanities and social sciences, when the doctoral student is the first author of the paper, unless otherwise specified in the publication of the paper. All authors of a paper are considered lead co-authors of the paper if the paper indicates that their contribution is equal. The Committee decides whether the doctoral student's personal contribution meets the requirements regarding the dissertation;

64.2. In the areas of natural sciences and technologies, when the doctoral student is the first author of the paper, unless otherwise specified in the publication of the paper or in the article itself. The Committee decides whether the doctoral student's personal contribution meets the requirements regarding the dissertation.

65. A doctoral student presents the prepared dissertation during the meeting of the academic department, with the participation of the Supervisor and the Consultant (if appointed). The dissertation and the published scientific papers, the participation in international scientific conferences presenting the research results, the competences of the doctoral student, and the achieved scientific qualification of the doctoral student, while taking into consideration the requirements indicated in Paragraph 62, 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 by 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 completion of the term of doctoral studies. If a dissertation is not defended during this period, it is defended externally following the requirements of Chapter X of the Regulation.

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

66.1. Copies of the Master's (or equivalent higher education) diploma and its supplements (if the Master's qualification degree was obtained abroad, a certificate of the recognition in Lithuania of the higher education qualification obtained abroad must be submitted);

66.2. A description of the doctoral candidate's life, his/her scientific and creative activities, i.e., *curriculum vitae*;

66.3. A certificate on the completed doctoral study modules, or certified copies of the protocols on the examinations passed according to the study programme of the 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. The 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 papers related to the dissertation topic and copies thereof (if the paper has not been published yet, it is required to include a version of the paper specifying DOI or a certification from the editorial office confirming that the publication is pending);

66.6. A digital copy of the dissertation;

66.7. The reviews by the doctoral student's Supervisor and the Consultant (if appointed) (if the reviews have been submitted to the Doctoral School, there is no need to submit any further copies);

66.8. The protocol of the evaluation of a dissertation, including the conclusion in the format stipulated by Paragraph 65, by the academic department at which the dissertation has been prepared, along with the feedback from the reviewers assigned by the academic department with the acknowledgement of any corrections that have been made (if the protocol and feedback with acknowledgements have already been 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 a doctoral student who is not a student of the University, the dissertation's evaluation protocol from the institution at which the dissertation has been prepared, feedback with acknowledgements, and a proposal for defence, signed by the head of the institution where the dissertation has been prepared, has to be submitted;

66.9. Written consent from the publishers of the papers to whom the copyrights of the papers have been transferred and from the lead co-authors and the corresponding authors of the papers regarding the inclusion of copies of the papers in the dissertation (applicable only if a dissertation has been prepared as stipulated in Paragraph 59 of the Regulation).

67. The Doctoral School verifies the compliance of the submitted documents with the established requirements and submits the application with the supporting documents to the Rector.

68. The Rector forwards a doctoral student's application along with the submitted documents listed in Paragraph 66 to the Committee of the relevant science field. The doctoral student (the doctoral 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 receiving the documents at the latest, except for July and August; during this meeting, two dissertation reviewers, who are competent in the dissertation topic, shall be appointed. It is recommended that scientists other than those appointed at the time of the dissertation review at the academic department should be appointed as the reviewers.

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

71. By providing objective reasoning, the Committee assesses the aim and tasks of the dissertation, its scientific novelty, the 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 results, the validity of the statements of the

defended conclusions and their compliance with the key points of the research, the compliance of the published scientific papers with the requirements of the Regulation and the provided research results with the key statements of the defended dissertation, and the doctoral student's contribution to the scientific publications on the dissertation topic.

72. The Committee may conclude that:

72.1. The presented dissertation has been prepared correctly, it complies with the requirements of Chapter IV of the Regulations; the doctoral student (the doctoral candidate) has met the requirements of Paragraph 62 of the Regulation, and the dissertation may be submitted for defence while taking into consideration the remarks of the reviewers and the members of the Committee;

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

72.3. The presented dissertation does not meet the requirements.

73. If the Committee decides that the presented 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 (e.g., when the dissertation analyses issues related to the provisions of the Law on the Legal Protection of Trade Secrets or the Law on the Fundamentals of National Security, etc.);

73.2. Prepares a draft of the composition of the Board complying with the requirements of the Regulation. The Board consists of at least five scientists, and one of its members is appointed as the chairperson;

73.3. Collects the agreements of the intended members of the Board (with the help of the doctoral candidate, his/her Supervisor, and the Doctoral School) along with the data proving their compliance with the qualification requirements for the members of the process of doctoral studies (lists, certificates, etc.);

73.4. Validates a date for the dissertation defence and the language of the defence (if any foreign scientists are members of the Board, it is recommended that the language of the defence should be English).

## **CHAPTER VIII PUBLIC DEFENCE OF THE RESEARCH DOCTORAL DISSERTATION AND AWARD OF THE DIPLOMA**

74. A dissertation is defended in the open meeting of the Board (except for the cases stipulated in Paragraph **Error! Reference source not found.**) following the Regulation of the Board (Appendix 3 to the Regulation). A dissertation defence can be held in the Lithuanian language or in another language. The chairperson of the Board conducts the meeting. The meeting is legitimate if more than a half of the members of the Board 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 out during the meeting.

75. The doctoral candidate presents the key results and the conclusions of his/her work, and specifies his/her input into the scientific articles presented in the dissertation. The members of the Board provide a well-reasoned assessment of the scientific level of the dissertation, the novelty and originality of its results, the reliability and validity of the conclusions. They also indicate the weaknesses and inaccuracies of the work and evaluate the doctoral candidate's scientific competence during the defence. The doctoral candidate answers the provided questions and comments on the presented remarks. In the course of the discussion, the doctoral candidate must defend the results of his/her scientific work and demonstrate his/her scientific competence.

76. After concluding the academic discussion with the doctoral candidate, the members of the Board decide by voting on the award of the doctoral degree to the student. Those members of the Board who participate via teleconferencing cast their votes as well. The decision to award a doctoral

degree is made if more than a half of all the members of the Board vote for it. If the decision *not* to award the doctoral degree is made, the arguments for such a decision are specified in the voting protocol. The voting protocol is signed by all the members of the Board directly participating in the meeting.

77. Only those scientists who have no shared scientific publications with the doctoral candidate can be members of the Board. *No* conflict of interest is allowed between/among the members of the Board and the doctoral candidate or his/her Supervisor (or the Consultant, if a dissertation is defended externally) and the Consultant (if appointed). No more than a half of the members of the Board can have shared scientific publications with the doctoral student's Supervisor (or the Consultant, if a dissertation is defended externally) and the Consultant within the last five years. It is required that at least two members of the Board should be scientists representing other institutions (at least one member of the Board must represent a foreign research and educational institution). The doctoral candidate's Supervisor and Consultant (the Consultant if a dissertation is defended externally) cannot be members of the Board. A maximum of 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. In the reviews, each member of the Board has the duty to analyse the submitted dissertation comprehensively and indicate its positive and negative aspects. The scientific novelty, the relevance and originality of the dissertation have to be evaluated; the opinion on the compliance of the defended work with the requirements for the dissertation has to be stated. Each member of the Board has to submit their written dissertation review to the Doctoral School five working days before the defence at the latest. The doctoral candidate has a right to get acquainted with the submitted reviews.

79. A dissertation containing information which constitutes a State-level, 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 by the University Rector which approves the Board and sets the date of the dissertation defence.

81. After the University Rector has signed the order which approves the structure of the Board and sets the date of the dissertation defence, the Doctoral School:

81.1. Organises the publishing of the required number of copies of the dissertation;

81.2. At least one month before the dissertation defence, sends one copy of the dissertation to each member of the Board, the Supervisor, and the Consultant (if appointed);

81.3. At least one month before the dissertation defence, announces the fact of the dissertation defence on the University website and the dissertation database administered by the Research Council of Lithuania. The announcement includes the name and surname of the doctoral candidate, the institution at which the 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. The dissertation database administered by the Research Council of Lithuania provides a link to the website where the prepared dissertation has been published (except for dissertations to be defended in closed meetings);

81.4. Transfers one copy of the dissertation to the library of the University.

82. The documents of the Board are managed by the Doctoral School. All the defence documents, including the meeting protocol featuring the audio recording of the meeting along with the decision of the Board stating whether a doctoral candidate is to be awarded his/her doctoral degree, are forwarded to the Doctoral School after the dissertation defence. Based on this protocol, the Doctoral School prepares a doctoral diploma. The diploma is prepared, registered and issued under the procedure approved by the University.

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

84. If the Board decides that a doctoral degree is *not* to be awarded, an amended and/or supplemented dissertation can be submitted for defence no earlier than one year after the Board decision. In such a case, a doctoral degree is awarded externally according to the requirements of

Chapter IX of the Regulation. In case a fact of scientific dishonesty (plagiarism or other violation(s) of the academic ethics and procedures) has been detected, this dissertation cannot be defended.

85. A registered doctoral diploma is awarded to the individual who has successfully defended the dissertation after the dissertation has been published at the Lithuanian Academic Electronic Library (hereinafter – eLABa) repository.

86. The University informs the Research Council of Lithuania about the outcome of the defence of a dissertation within 20 working days after the dissertation defence meeting. If appropriate, the notification specifies the reasons why the dissertation was not or could not be defended. The data about the defended dissertation are submitted to the dissertation database administered by the Research Council of Lithuania under its established procedure. Within two weeks after the defence of the dissertation, one copy of the defended dissertation (except for the dissertations defended in closed meetings) is submitted to Martynas Mažvydas National Library of Lithuania, and the dissertation is published at the eLABa repository.

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

87.1. A fact of academic dishonesty has been detected;

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

87.3. The Ombudsman for Academic Ethics and Procedures of the Republic of Lithuania 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 which had been made before the Regulations came into force.

88. In the cases specified in Paragraphs 87.1 and 87.2 of the Regulation, the University Senate is contacted, and it sets up a panel of experts in the respective science field and entrusts the panel with the task of assessing the extent of academic dishonesty and/or the violations of the Regulations or other legislation, and of taking a decision regarding the voiding/repealing of the results of the dissertation defence and the revocation of the doctoral degree.

89. The decision on the revocation of the awarded doctoral degree is formalised with an order of the University Rector.

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

90. Any individual who meets the requirements listed in Chapter V of the Regulations may acquire a doctoral degree externally.

91. An application for the dissertation defence externally addressed to the Rector of the University is submitted to the Doctoral School along with the documents listed in Chapter V of the Regulations. If the Doctoral School establishes that the submitted documents comply with the requirements of the Regulations, it submits the application with the supporting documents to the University Rector.

92. The University Rector forwards the application with its supporting documents to the Committee which appoints at least two reviewers for the assessment of the manuscript of the dissertation. The Committee assembles a meeting with the participation of the doctoral candidate and the appointed reviewers 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 or the published scientific monograph meets the requirements for the dissertation according to the requirements of Paragraph 71 of the Regulation.

93. If the Committee decides that the dissertation submitted or corrected by the doctoral candidate may be recommended for defence, the Committee:

93.1. Assigns the doctoral candidate to an academic department of the University;

93.2. Proposes a Consultant for the doctoral candidate for the approval by the University Vice-Rector for Research (a scientist of the same science field can serve as a Consultant); the Consultant shall perform the functions of the doctoral candidate's Supervisor; if a person who has already studied

in the doctoral studies but has not submitted a dissertation aims to obtain a doctoral degree externally, the Committee may appoint the former Supervisor or another person as the Consultant;

93.3. Makes a decision regarding the inclusion of the examinations passed by the doctoral candidate during his/her doctoral studies; establishes the doctoral study modules to be studied and the deadlines for their examinations;

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

94. The examinations of the doctoral candidate are organised following the requirements of Chapter V of the Regulation, and the dissertation is examined and defended following the requirements of Chapters VII and VIII (Paragraph 69 and the subsequent sections) of the Regulation.

95. If the Committee decides that the dissertation manuscript or the published scientific monograph does not meet the requirements applied to the dissertation and cannot be prepared for defence within one year after the submission of the application, the doctoral candidate may submit an appeal which is investigated under the procedure stipulated by Paragraph 55 of the Regulation. In case the Committee's negative decision is confirmed, the doctoral candidate may submit an application for the dissertation defence once more, but no sooner than one year after the date of the Committee's decision.

96. The doctoral candidate covers only the expenses of the University directly related to the acquisition of the doctoral degree.

## **CHAPTER X PROCEDURE OF THE WORK OF THE RESEARCH DOCTORAL COMMITTEE**

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

98. The meetings of the Committee are convened, and the work of the Committee is organised by the chairperson of the Committee, or, in his/her absence, by a temporarily substituting member of the Committee appointed by the chairperson of the Committee.

99. The documents of the Committee meetings are managed, and the meeting protocols are signed by the Committee secretary, elected by the Committee from the members of the Committee, or by another employee of the University, with his/her consent.

100. The Committee chairperson:

100.1. Draws up the agenda for the meeting, or delegates this duty to the secretary of the Committee;

100.2. Examines in advance the received documents, or delegates this duty to another member of the Committee;

100.3. Chairs the meeting of the Committee;

100.4. Signs the protocol of the Committee meeting.

101. The Committee secretary:

101.1. Assists the chairperson of the Committee in drawing up the agenda for the meeting;

101.2. Gets acquainted in advance with the received documents;

101.3. Prepares and signs the protocol of the meeting together with the chairperson of the Committee;

101.4. Carries out other assignments delegated by the chairperson of the Committee.

102. The Committee member:

102.1. Gets acquainted in advance with the received documents;

102.2. Expresses his/her personal opinion on the matter under discussion during the meeting;

102.3. Carries out any other assignments delegated by the chairperson of the Committee.

103. The Committee's decisions are legitimate if at least 2/3 of all members of the Committee have voted for them. A meeting for the Committee's discussion on a certain issue can be organised via telecommunication. The Committee members express their opinions on the discussed issue and vote via email or other means of telecommunication. The Committee makes the final decision by



voting: if the votes are distributed equally, the chairperson of the Committee has the casting vote. The chairperson of the Committee is entitled to abstain from discussions and decisions regarding the issues related to the chairperson of the Committee.

104. The signed protocol of the Committee meeting is prepared in two copies, one of which is delivered to the Doctoral School within 5 working days after the Committee meeting. One copy of the protocol of the Committee meeting is stored at the Doctoral School for 6 years, whereas the other copy is stored at the Committee; afterwards, it is stored under the procedure set out by the University.

105. If foreign scientists are members of the Committee, or if doctoral students representing foreign countries are present at the meeting, the need for the translation to Lithuanian or another language shall be determined by the Committee. If the translation is required, it is organised by the chairperson of the Committee.

106. Should any issues arise not explicitly stipulated in the Regulation and the other applicable legislation, the decisions related to the process of Doctoral studies shall be made by the Committee.

## **CHAPTER XI PROCEDURE FOR THE STORAGE OF THE DOCUMENTS OF RESEARCH DOCTORAL STUDIES**

107. 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 more years after the graduation or termination of studies; afterwards, it is transferred to the Archive of the University under the established procedure. The file is required to include the following documents:

107.1. The application for the admission to doctoral studies, including the supporting documents specified in the Regulations on the Admission to Doctoral studies;

107.2. The documents of the admission to doctoral studies;

107.3. The documents of the appointment/replacement of the Supervisor and the Consultant;

107.4. The doctoral student's study and research plan;

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

107.6. The documents of the postponement of the deadlines of the doctoral student's study and research plan, the documents of the interruption of studies/provision of an academic leave of absence;

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

107.8. The documents of the graduation from or termination of doctoral studies.

108. A personal file of the individual who has defended his/her 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:

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

108.2. The documents of the assembly of the Board;

108.3. The protocol of the dissertation defence meeting or an audio recording of the meeting on electronic media;

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

108.5. A copy of the doctoral diploma.

109. If an individual has completed doctoral studies and has acquired a doctoral degree at the University, the documents listed in Paragraphs 107 and 1108 of the Regulation may be stored in one file.

110. The application documents in the electronic form of a person who has not been admitted to the doctoral studies are stored at the Doctoral School for one year and then destroyed.

**CHAPTER XII**  
**PROCEDURE FOR THE FINANCING OF RESEARCH DOCTORAL STUDIES**  
**AND THE USE OF FUNDS**

111. Doctoral studies are financed by the State treasury allocations, the tuition fees of the doctoral students paying for their studies, targeted funding, and other funds.

112. Funds for financing doctoral studies are distributed following the provisions of the Description of the Procedure for Calculating the Standard Prices of Studies in a Study Field or a Group of Study Programmes and Allocating the Funds of the State Budget of the Republic of Lithuania for the Payment of the Price of Studies in State-Funded Positions of Studies approved by Resolution No. 149 of the Government of the Republic of Lithuania *On the Implementation of the Law of the Republic of Lithuania on Higher Education and Research* of 1 March 2017, while taking into consideration the pricing of studies approved by the University Senate.

113. The University's income and expenditure estimate is approved each year and shall contain planning of the funds for financing doctoral studies.

114. The following funds are allocated for doctoral studies at the University:

114.1. For scholarships (support for studies) of the doctoral students. The individuals admitted to the state-funded positions in full-time doctoral studies are paid a scholarship (support for studies) in the amount established by the Government of the Republic of Lithuania during the period of studies. If studies are temporarily interrupted, and the student returns to resume his/her doctoral studies *not* on the last or first day of the month, the calendar days of the part of the month are included in the duration of the doctoral studies, and the corresponding part of the scholarship (support for studies) is paid to the doctoral student;

114.2. For the remuneration of the pedagogical work of the supervisors and consultants of doctoral students and teachers delivering doctoral modules;

114.3. For the dissertation defence process (for those doctoral students who publicly defend their dissertations before the end of their doctoral studies, or within a period of no more than one year after the end of their studies, for the payment of the fees of the members of the Board, for the travel and accommodation expenses of the foreign members of the Board, and for the financing of the costs of the editing and publishing of the dissertation, postage fees, and other related costs);

114.4. For funding the costs of the doctoral students' study modules at other higher education institutions;

114.5. For the creation of the funds aimed to finance the acquisition of materials, goods and services (including open access services) to meet the research needs of doctoral students, the preparation of publications and dissertations, and the international mobility of doctoral students (studies at higher education institutions abroad, participation in international scientific conferences and other events);

114.6. For the financing of the development of the general competencies of the doctoral students (organisation of doctoral summer schools, language courses, academic writing consultations, modules of general competencies, etc.);

114.7. For the acquisition and maintenance of the infrastructure necessary for the research, for setting up the doctoral student's workplace, for the access to various subscription databases, licensed software, library resources and publications;

114.8. For the implementation of initiatives of the Committees to improve doctoral studies;

114.9. For the incentives aimed at doctoral students (one-off incentive scholarships);

114.10. For covering the costs of the departments administering doctoral studies (the Doctoral School);

114.11. For financing other activities related to doctoral studies.

### CHAPTER XIII

#### PROCEDURE FOR THE QUALITY ASSURANCE IN THE PROCESS OF RESEARCH DOCTORAL STUDIES

115. The quality assurance in the process of doctoral studies is regulated by the Law of the Republic of Lithuania on Higher Education and Research, the Regulations, the resolutions of the Research Council of Lithuania, this Regulation, and other applicable legislation of the Republic of Lithuania and of the University regulating the third cycle studies.

116. The responsibility for the quality assurance in the process of doctoral studies is distributed throughout the University through the coordinating teachers of the study modules, the Committees, the Vice-Deans for Research, and the Deans of the faculties who are accountable to the Rector and the Vice-Rector for Research.

117. The quality of the process of doctoral studies in the respective science field at the University is the responsibility of the Committee for the relevant science field together with the Vice-Rector for Research.

118. The quality of doctoral studies is ensured at the University and faculty/research institute levels; it covering all activities through **planning** (scheduling the necessary actions and resources, taking into account the trends in higher education, the development prospects, the strategy of the University and its activity plan, the changing regulations of studies and the relevant developments in the context of the studies), **implementation** (ensuring the implementation of the actions stipulated in the plans within the scheduled deadlines), **evaluation** (assessing the achievement of the planned objectives), and **improvement** (assessing the achieved results and planning further actions for the improvement of the studies).

119. To maintain the proper organisation of the University activities and the timely implementation of the strategic objectives of the University, systematic planning of activities in the short term is ensured. In light of the University strategy and the long-term activity plan of the University, the annual activity plans for the first-level academic departments, the annual activity plans for the Committees, and the annual activity plan for the Doctoral School are drawn up each year, which, amongst other things, include the planning of the performance criteria, the values of the criteria, and the deadlines for the achievement of the performance criteria related to the process of doctoral studies.

120. The progress of the implementation of the activity plans of academic and non-academic departments, Committees and employees is monitored each year to ensure that the implementation of the budgets of the departments, and the analysis of research activities shall be monitored and controlled.

121. The University organises annual surveys of doctoral students with the objective to assess the quality of the doctoral studies, the quality of the doctoral study modules and teaching, and, if necessary, to assess the quality of the implementation of specific processes of the doctoral studies. The University also collects quantitative data to analyse and assess the quality of the doctoral studies. The results of the surveys and the evaluations of the quality of doctoral studies, as well as the quantitative data and changes thereof, are presented annually to the Committees and the individuals responsible for the performance of research activities at the academic departments. The summarised results of the surveys are published on the student intranet of the University regarding the information of doctoral students.

122. To ensure the internal quality of the doctoral studies in a specific science field, the Committee carries out an internal evaluation of the quality of the doctoral studies in its science field at least once every three years, while taking into account the following indicators:

122.1. The scientific resources indicator. The following criteria shall be assessed: the compliance of the qualifications of the scientists involved in the training of the doctoral students (Supervisors, Consultants, teachers, reviewers, members of the Committee) with the requirements set out in the Regulation;

122.2. The efficiency and effectiveness indicator. The following criteria shall be assessed: scientific papers published by doctoral students during the period of doctoral studies, their level, contribution by the doctoral students; the ratio of the number of the doctoral students in the science field to the number of the scientific papers they have prepared; the participation of the doctoral students in research projects and their employment in other job positions at the University; the incentivisation of the doctoral students; the ratio of the doctoral students admitted to the doctoral studies to the doctoral students who have defended their dissertations; the reasons for the failure to defend dissertations, and for dissertations which were not attempted to be defended; the reasons for withdrawing from doctoral studies/negative performance evaluation of doctoral students; the employment of the doctoral students who have defended their dissertations and their future careers;

122.3. The internationalisation indicator. The following criteria shall be assessed: the study modules completed by doctoral students at higher education institutions abroad, the attendance at summer/winter schools organised by foreign higher education institutions; participation in scientific conferences and fellowships abroad; involvement of foreign scientists in the process of the doctoral studies (Supervisors, Consultants, members of the Board, members of the Committee, teachers, etc.), the signed cooperation agreements with foreign higher education institutions;

122.4. The indicator of the organisation and infrastructure of studies. The following criteria shall be assessed: the available infrastructure and its accessibility, the available resources (e.g., computer facilities, libraries), and the conditions needed to carry out high-quality research at the University; the provision of physical workplaces for the doctoral students at the academic departments; the use by the doctoral students of the support from the internal funds of the University;

122.5. The feedback indicator. The following criteria shall be assessed: data from the surveys of doctoral students on the quality of their doctoral studies, study modules and teaching, along with the data from other surveys organised by the University which are related to the processes of doctoral studies.

123. The Committee conducts the internal evaluation of the doctoral studies under the following procedure:

123.1. The Committee initiates the internal evaluation of the science field, and the Doctoral School, along with other departments involved in the organisation of the process of doctoral studies (academic and other administrative departments of doctoral students), submits the necessary data to the Committee according to the criteria specified in Paragraph 122 of the Regulation;

123.2. Gets acquainted with the data provided by the responsible departments;

123.3. Organises a discussion with the employees and scientists responsible for the process of doctoral studies (the discussion is expected to cover the following issues: the process of admission to doctoral studies, the study process, the procedures for completing the doctoral studies, the most common problems, and the areas for improvement);

123.4. Organises a discussion with the doctoral students of the field (the discussion covers the following issues: motives for applying for doctoral studies, the progress of doctoral studies, supervision of doctoral students, the organisation of studies and the material support of the studies, the most common problems, and the areas for improvement);

123.5. On the grounds of the obtained qualitative and quantitative information, the Committee evaluates the scientific resources, efficiency and effectiveness, internationalisation, organisation, infrastructure, etc. of the process of the doctoral studies at the University.

123.6. The doctoral Committee submits summarised conclusions and recommendations for improving the quality of doctoral studies to the Rector and the Vice-Rector for Research of the University.

124. The processes of doctoral studies are constantly improved, by taking into account the results of external evaluations of the quality and efficiency of doctoral studies and comparative expert evaluations, the results of annual surveys of the doctoral students on the evaluation of the quality of their studies, and the evaluation of the quality of the study modules and teaching, along with the suggestions made by the Committees, academic departments and representatives of doctoral students.

125. The quality of the process of doctoral studies is also assessed through external evaluation of the quality and effectiveness of doctoral studies provided by the University, external comparative expert evaluation, and annual evaluation of research and experimental development and artistic activities, external institutional evaluation and/or accreditation, and the establishment of the minimum qualification and attestation requirements for academic employees. The summarised conclusions of the evaluation of the quality and effectiveness of the doctoral studies of the University are published on the University website.

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**EXAMPLES OF THE TITLE AND SECOND PAGES 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 has been prepared at the (title of the academic department) of the (title of the faculty/institute) of Kaunas University of Technology in 20xx-20xx. The research has been sponsored by (for example, the Research Council of Lithuania if a scholarship was awarded for academic achievements, if there was no sponsorship – the sentence is not included).

In case the dissertation is defended by a doctoral candidate, the entry *Dissertation is defended externally* is provided.

**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 (title of the institution, science area, science field, code of the science field).

Edited by: English language editor Name Surname (title of the enterprise providing the editing services), Lithuanian language editor Name Surname (title of the enterprise providing the editing services).

**Dissertation Defence Board 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 (hours) 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: K. Donelaičio g. 73-(number of the hall), LT-44249 Kaunas, Lithuania.

Tel. (+370) 608 28 527; email [doktorantura@ktu.lt](mailto:doktorantura@ktu.lt)

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

The dissertation is available on <http://ktu.edu> and at the Library of Kaunas University of Technology (Gedimino g. 50, LT-44239 Kaunas, Lithuania).

*(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 titled

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(title of the research doctoral dissertation)

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

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

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

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

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(name, surname)

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(signature)

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(date)

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

1. The Regulation on the Board for Defence of the Dissertation of the Science Field sets out the work procedures for the Board for Defence of the Dissertation of the Science Field (hereinafter – Board), assembled following the Regulations on Research Doctoral Studies (hereinafter – Regulations) approved by Order No. V-739 of the Minister of Education, Science and Sport of the Republic of Lithuania *On the Approval of the Regulations on Research Doctoral Studies* 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 (hereinafter – University).

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

3.1. Examines in advance the personal file of the person who will defend the dissertation and makes sure that the file and all the documents of the meeting (ballot papers, a blank of the voting protocol, etc.) have been prepared;

3.2. Examines the received reviews which are required to be presented during the meeting of the Board, or assigns this work to a 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 visual material, and the translation of the meeting, if needed);

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

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

4. A member of the Board (including the chairperson of the Board):

4.1. Examines in advance the research doctoral dissertation submitted for defence (hereinafter – dissertation) 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 the other requirements applied to a dissertation;

4.2. Assesses whether the doctoral candidate's scientific publications have been published in scientific journals complying with the requirements set out in the Regulations on Research Doctoral Studies of Kaunas University of Technology, and whether the key research results have been presented in these publications.

5. The meeting of the Board is public (in the case of a closed meeting, the participants only include the members of the Board, the doctoral candidate, his/her supervisor, and the consultant (if appointed); all 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, and 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 regarding the quorum, and presents the file of the doctoral candidate;

5.2. The doctoral candidate introduces the problem of the dissertation, its aim, tasks, the obtained research data, the key results, and the conclusions of his/her work. Approximately 20 minutes are given for the presentation;

5.3. The chairperson of the Board announces a scientific discussion which is started by the members of the Board. They have to provide a well-grounded assessment of the scientific level of the

dissertation and the validity of the obtained results, to estimate whether the dissertation and the publications of the doctoral candidate conform to the requirements of the Regulations. The members of the Board are required to pose questions to the doctoral candidate;

5.4. The chairperson or his/her appointed member of the Board publicly reads the additional reviews on the dissertation or, upon agreement of the members of the Board, introduces the remarks and conclusions formulated in the reviews, and the doctoral candidate is required to provide a reasoned response to the remarks;

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

5.6. The supervisor of the doctoral candidate and his/her consultant (if appointed) are provided with the opportunity to speak;

5.7. The doctoral candidate 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 are left alone on the premises, they cast their votes:

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; the chairperson marks the vote(s) of the member(s) of the Board participating by means of teleconferencing in a separate ballot, and signs it;

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

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

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

6. When the meeting has been concluded, 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 the protocol of the meeting prepared according to the audio recording of the meeting (if an audio recording of the meeting is stored in the file of the person who defended his/her doctoral dissertation at the University, the protocol of the meeting need not be prepared).

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