



IBSU

INTERNATIONAL BLACK SEA UNIVERSITY, LLC
QUALITY MANAGEMENT SYSTEM DOCUMENTS

REGULATION for DOCTORAL STUDIES and DISSERTATION BOARD

Approved on 23/08/2016 by Academic Board - Minutes №14 (appendix #7)

Approvals

The signatures below certify that this quality manual has been reviewed and accepted, and demonstrates that the signatories are aware of all the requirements contained herein and are committed to ensuring their provision.

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Amendments

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| 2 | Academic Board | 8 | 11.06.2019 |
| 3 | Academic Board | 16 | 16.09.2019 |
| 4 | Academic Board | 21 | 15.11.2019 |
| 5 | Academic Board | 23 | 23.12.2019 |
| 6 | Academic Board | 4 | 24.02.2020 |
| 7 | Academic Board | 17 | 29.09.2020 |
| 8 | Academic Board | 2 | 10.02.2021 |
| 9 | Academic Board | 18 | 24.09.2021 |
| 10 | Governing Board ¹ | 1 | 01.11.2021 |

Primary version: 23.08.2016

¹ By Rectors' order 25.10.2021, from 01.11.2021 Governing Board was given the authority to amend the present document.

Revision List

| # | Date | Article | Remarks |
|----|------------|---------|--|
| 1 | 22.08.2017 | 7 | Admission to Doctoral Program |
| 2 | 22.08.2017 | 8 | Foreign Language Exemption |
| 3 | 22.08.2017 | 10 | Evaluation of the Component |
| 4 | 22.08.2017 | 11 | Approval of the Title |
| 5 | 22.08.2017 | 12 | Co-supervisor |
| 6 | 22.08.2017 | 16 | Submission Dissertation for Defense |
| 7 | 22.08.2017 | 27 | Transitional Provisions |
| 8 | 11.06.2019 | 3 | Planning, Designing and Developing Doctoral Program. |
| 9 | 11.06.2019 | 5 | Language of Instruction |
| 10 | 11.06.2019 | 7 | Admission to Doctoral Program |
| 11 | 11.06.2019 | 8 | Foreign Language Exemption |
| 12 | 16.09.2019 | 2 | Abbreviations/Definitions |
| 13 | 16.09.2019 | 3 | Planning, Designing and Developing of Doctoral Program |
| 14 | 16.09.2019 | 7 | Admission to Program |
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Article 1. Aim and Scope

- 1.1. This document regulates the Doctorate studies and functioning of the Dissertation Board according to the Georgian law on “Higher Education” and the regulations of the International Black Sea University.
- 1.2. Doctorate program is the third level of higher education which represents the combination of study and research components aimed at preparing research and academic personnel and is concluded by awarding the academic degree of a “doctor”.

Article 2. Abbreviations/Definitions

- 2.1. **School - Graduate School;**
Amended by Academic Board Decision – date:16.09.2019, minutes №16
- 2.2. **HEI:** Higher Education Institution;
- 2.3. **EQE:** LLP National Center for Educational Quality Enhancement;
- 2.4. **Dissertation Board:** Faculty Dissertation Board, that is created in accordance to the rules envisaged in this Regulation;
- 2.5. **Dissertation Field Board – Board,** that is approved by the Faculty Dissertation Board from its members;
- 2.6. **Foreign language:** The language defined as a criterion for admission to the program;
- 2.7. **Secretary:** Scientific Secretary of the Dissertation Board;
- 2.8. **University:** higher educational institution, that carries out doctoral programs, authorized according to the Georgian legislation or foreign higher educational institution recognized under the legislation of the corresponding country;
- 2.9. **IBSU:** International Black Sea University, LLC;
- 2.10. **Dissertation:** Doctoral thesis (long formal piece of writing for the degree)

Article 3. Planning, Designing and Developing of Doctoral Program

- 3.1. An Associate Professor or a Professor (initiator) of the University creates a Doctoral program and becomes the program coordinator if the program is approved.
- 3.2. The minimum number of students required to open a Doctoral program is 4 (four). Exceptions shall be decided by the School Board.
Amended by Academic Board Decision – date:16.09.2019, minutes №16
- 3.3. All other issues related to the planning, designing and developing of academic programs are regulated by the “Instruction for Planning, Designing and Developing of Educational Programs” (R3.I2).

Amended by Academic Board Decision – date:11.06.2019, minutes №8

Article 4. Doctorate Program Structure

- 4.1. Doctorate program includes not more than 60 ECTs of study component (Professor assistance, research methods, seminar, etc.) and research (dissertation preparation and defense) component spread on at least 2 years. The amount of ECTs assigned to study component can be modified in accordance to each doctorate program’s specifics, competencies, which shall be collaborated as an outcome of the component and considering the inevitable requirement, that the total amount of shall not be more than 60 ETCs.

Amended by Academic Board Decision – date:29.09.2020, minutes №17

Article 5. Language of Instruction

- 5.1. Instruction languages in the doctorate programs can be Georgian or English depending on the program.

Amended by Academic Board Decision – date:11.06.2019, minutes №8

Article 6. Duration of Learning

- 6.1. The duration of the Doctoral program usually is 6 (six) semesters.
- 6.2. Those students who did not complete the program in 6 semesters can continue their educational process on self-financing in accordance to the requirements defined by “Rules and Regulations on Educational Process” and “Regulation for Tuition Fees”.

Article 7. Admission to Program

- 7.1. Applicants, who acquired master degree or degree equal to this according to the Georgian legislation or who acquired foreign degree which is recognized under the Georgian legislation and who meets the admission requirements defined in the doctorate program can be enrolled in IBSU doctoral programs according to Georgian legislation on the grounds of the internal assessment as defined by the program (such as language exam, interview, research proposal, etc.).
- 7.2. An agreement is concluded with doctorate program candidate, who has successfully passed admission requirements and the Act of the Rector is issued regarding student’s enrolment.
- 7.3. Applicant has to submit research proposal (at least five pages) dealing with the area of its future research. The assessment of the research proposal is done by the admission commission, created by the relevant Dissertation (Field) Board, which consists of at least 3 (three) members of the dissertation (field) board (including program coordinator) and at least 2 (two) members from the relevant field.

- 7.4. The assessment of the research proposal is done in two stages. On the first stage the commission evaluates the proposal, on the second stage – conducts interview, the results of which are formed in the minutes, signed by the members of the admission commission.
- 7.5. The proposal and the interview are assessed according to the rubric which is defined by the doctorate program. At this stage, a potential supervisor is assigned for the goals of the research component that shall be carried out after the study component, based on program coordinator’s proposal and students’ consent. The potential supervisor is responsible for guidance during study component for the goals of the further research component.
Amended by Academic Board Decision – date:22.08.2017, minutes №9
- 7.5¹ Admission exams are organized by the School.
Amended by Academic Board Decision – date:11.06.2019, minutes №8
Amended by Academic Board Decision – date:16.09.2019, minutes №16
- 7.6. During the registration period all the required documents will be announced by the IPS. The following documents are normally appended to the application:
- a) Information about education and practical experience of the applicant (CV);
 - b) A copy of a Master’s or equivalent diploma certified by a notary office (for foreign diplomas – notary-approved translation and recognition letter from the competent body) or certificate of MA program completion (diploma must be presented during a year period);
 - b¹) If the applicant submits a diploma obtained as a result of the completion of a one-level - at least five-year educational programme within the time period defined by Georgian law “On Higher Education” is obliged to submit recognition document of equivalency with the relevant cycle, issued in compliance with Georgian legislation.
Amended by Academic Board Decision – date:24.02.2020, minutes №4
 - c) A copy of ID card or passport (for foreign passports – notary-approved translation);
 - d) An international certificate of a foreign language, the level of which is defined by each program and/or a diploma of Master’s education received in a foreign language acquired during last three years. (if any).
Amended by Academic Board Decision – date:23.12.2019, minutes №23
- 7.7. The organizational issues related to the admission to the doctorate program are regulated by the “Rules and Regulations for Educational Process” (R3), considering the exceptions envisaged in this Regulation.
- 7.8. When the student is enrolled on the Doctoral Program via mobility, the potential supervisor is assigned to the student in compliance with the present regulation. The dissertation field board defines study/research component(s) which should be recognized and to be taken in order to complete the requirements of the doctoral

program of IBSU. The decision on the case is made by the dissertation (field) board proceeding from the proposal of the program coordinator and the report of the student. The position of potential supervisor is also taken into consideration during the decision-making process.

Amended by Academic Board Decision – date:29.09.2020, minutes №17

Amended by Academic Board Decision – date:24.09.2021, minutes №18

Article 8. Foreign Language Exemption

8.1. Those candidates who have an international foreign language (required by the program) certificate will be exempt from foreign language requirement. Program admission language level exam level is defined by R3L5.

Amended by Academic Board Decision – date:22.08.2017, minutes №9

Amended by Academic Board Decision – date:11.06.2019, minutes №8

8.2. Those candidates who have graduated from an educational program within the last three years in which the instruction language is foreign language of the doctoral program and their GPA is at least 75 (out of 100) or 3 (out of 4), will be exempt from the foreign language requirement.

Amended by Academic Board Decision – date:23.12.2019, minutes №23

8.3. If the candidate is a citizen of a country, where an official language is the relevant foreign language, is exempted from passing the foreign language exam.

Article 9. Component Registration

9.1. The registration process on doctorate program is defined by the “Rules and Regulations Educational Process” considering the exceptions envisaged in this Regulation.

9.2. For the purposes of this regulation, the approval of the School Board is needed for the identification of the excuses for late registration of the components.

Amended by Academic Board Decision – date:16.09.2019, minutes №16

9.3. For the purposes of this regulation at least three students are needed for opening an elective course. Exceptions from this rule can be made by the decision of the IPS Board.

Amended by Academic Board Decision – date:16.09.2019, minutes №16

Article 10. Component Assessment

10.1. Assessment is done according to the results of study and scientific-research components. However, the assessment requirements differ for study and scientific-research components.

10.2. The method of the assessment is determined according to the syllabus which is announced at the beginning of the semester.

10.3. Components are assessed by several forms: for study components those forms are midterm and final assessments, the sum of which is the final evaluation; the scientific-research component must be evaluated once, by final assessment.

- 10.4. All issues related to assessment of study and scientific-research components are defined in “Rules and Regulations for Educational Process”.
- 10.5. All the issues related to exams are defined in “Rules and Regulations for Educational Process” and “Examination Instructions.
- 10.6. Before starting research component, student has to register in the beginning of the semester. In the end of each semester student shall present to the dissertation field board the work that s/he has completed during the semester. Student has to consider the recommendations given by the dissertation field board. Those recommendations are considered during pre-defense as well. Presentation can be done via skype.

Amended by Academic Board decision – date:22.08.2017, minutes №9

Article 11. Procedures Related to Research Component

- 11.1. To approve the research topic:
- a) The doctoral student chooses the title of dissertation and prepares an individual research plan together with his/her potential scientific supervisor/co-supervisor and the doctorate program coordinator. Individual research plan should state the goals of research, the structure of the work and the approximate schedule of research;
 - b) After completing the study component, the doctorate student submits the suggested title and the individual research plan to the Dissertation Field Board;
 - c) The title and the plan are viewed and approved at the meeting of the Dissertation Field Board. At the meeting the doctorate student makes a short presentation. The supervisor may, if necessary, attend on-line. If the title and/or the research plan are not approved by the Dissertation field board, the doctorate student can be allowed to change the title/research plan;
 - d) After the approval of the Dissertation Field Board, the research topic is registered by the IPS and the relevant contract is concluded between the supervisor, student and IBSU.

Amended by Academic Board Decision – date:16.09.2019, minutes №16

- 11.2. All the procedures defined in paragraph 11.1 must be completed within 5 (five) weeks from the beginning of the semester and minutes concerning the research topic and individual research plan is preserved in the School till the doctorate student’s defense.

Amended by Academic Board decision – date:22.08.2017, minutes №9

Amended by Academic Board Decision – date:16.09.2019, minutes №16

- 11.3. Beginning with the research component semester, doctorate student’s monitoring report and supervisor’s monitoring report have to be submitted to the School Board in the end of each semester.

Amended by Academic Board Decision – date:16.09.2019, minutes №16

11.4. If the doctoral student applies for changing of the title of the dissertation in the last semester of the program, Dissertation Field Board based on the nature of the change defines additional time for the student to submit the dissertation to predefense. The minimum timeline sets are as follows:

- a) In case of technical modification – minimum two weeks;
- b) In case of conceptual modification – minimum one semester;

The decision on these issues is made by the 2/3 of the Dissertation Field Board members.

Amended by Academic Board decision – date:22.08.2017, minutes №9
Amended by Academic Board decision – date:15.11.2019, minutes №21

11.4. If the doctoral student’s status is suspended for more than 2 semesters, the Dissertation Board may make a decision to leave the title and research plan unchanged and/or reapprove them after restoration of student status.

Amended by Academic Board decision – date:22.08.2017, minutes №9

Article 12. Supervisor/Co-supervisor of Doctoral Student

12.1. The supervisor should be an Associate Professor or Professor with an academic degree of Doctor of IBSU or another HEI. If in the fifth/six semester of the program, the supervisor, leaves his/her academic position at IBSU/other HEI and does not obtain academic position at any HEI, he/she continues his/her job as supervisor and is invited as a Field Dissertation Board member

Amended by Academic Board decision – date:15.11.2019, minutes №21
Amended by Academic Board decision – date:10.02.2021, minutes №2

12.2. On student’s or field Board’s demand, a co-supervisor may be appointed, the co-supervisor of the dissertation may be a person with a doctor’s degree in corresponding field, an international specialist, actively involved in a scientific work of a corresponding field. The co-supervisor is approved, in case of necessity, no later than the beginning of the last semester.

Amended by Academic Board decision – date:22.08.2017, minutes №9

12.3. After the completion of study component, Dissertation Field Board approves the potential supervisor as the supervisor of the thesis, if he/she is entitled to take relevant load within the limits set by “Regulation for Academic Workload and Salary Determination”. Otherwise, based on program coordinator’s proposal and student’s consent, Dissertation Field Board approves other individual as a supervisor, who is entitled to supervise in compliance with the requirements set by paragraph 12.1.

Amended by Academic Board decision – date:22.08.2017, minutes №9

12.4. If the doctorate student applies for changing the supervisor or the supervisor refuses to supervise the doctorate student, s/he addresses the program coordinator who

decides whether to bring this issue in front of the Dissertation (Field) Board. If the supervisor is changed in the last semester of the program, one month is given to new supervisor to review the dissertation. Based on the new supervisor's review, Dissertation (Field) Board defines the period for submitting the dissertation to predefence.

If after changing the supervisor research topic is changed as well, dissertation shall be defended in the terms envisaged in article 11.]

Amended by Academic Board decision – date:15.11.2019, minutes №21

12.5. After the doctorate student submits to the supervisor the final draft of dissertation and abstract, the supervisor has maximum one month to write his/her conclusion. For submission of dissertation to the Dissertation Field Board, the supervisor has to confirm:

- a) The relevance of the publications to the dissertation
- b) The relevance to the dissertation of the extended abstract;
- c) The fact that the doctorate student has completed his/her work on the dissertation (it means that it is characterized by novelty, scientific/theoretical and practical value, contains a literature review and research part, corresponds to IBSU dissertation format (template and guidelines) and is fulfilled in clear and good language)

Article 13. Program Coordinator

13.1. Program coordinators are the members of the Dissertation Board.

13.2. The program coordinator is in charge of organizing program fulfillment. S/he is responsible to cooperate with the IPS regarding the educational process and the accompanying documentation related to this process envisaged in this Regulation and other Regulations of IBSU. Program coordinator informs doctoral student regarding the availability of indexed journals considered by relevant doctoral program.

Amended by Academic Board Decision – date:16.09.2019, minutes №16

Amended by Academic Board decision – date:15.11.2019, minutes №21

Article 14. Dissertation Board and Dissertation Field Board

14.1. Dissertation Board consists of all associate professors and professors at the faculty with the academic degree of Doctor and is approved by the Governing Board. Dissertation Board members can be associate professor(s) or professor(s) from other HEI with the academic degree of Doctor. (The photocopy of the document certifying

their academic position in an authorized HEI, and the list of publications are required).

Amended by Academic Board decision – date:10.02.2021, minutes №2

Amended by Governing Board decision – date:01.11.2021, minutes №1

- 14.2. The Dissertation Board approves the corresponding Dissertation Field Board(s) Chair(s) and Vice-Chair(s) of those Board(s) mostly from its own members for each doctorate program. Dissertation Board is empowered to invite field specialist in the Dissertation Field Board, who has PhD degree in the field and publications and at least one-year practical experience in the field during the recent 5 years.

Amended by Academic Board decision – date:10.02.2021, minutes №2

- 14.3. There should be at least 5 members of the corresponding program in Dissertation Field Board. IBSU academic staff should constitute more than half of the members. Each professor/associate professor can simultaneously be a member of two Field Boards (independent whether they belong to one or different Faculty Dissertation Boards).

- 14.3¹. For the purposes of assigning experts and determining the date for preference/defense, reduced composition of field dissertation board is created by the Chairperson of the field dissertation board, program coordinator, relevant supervisor and board secretary.

Amended by Academic Board decision – date:10.02.2021, minutes №2

- 14.4. The chairperson of Faculty Dissertation Board is elected by the dissertation board members. The chairperson of Field Dissertation Board is the program coordinator of the relevant program. The secretary of the Faculty Dissertation Board is an administrative position and is assigned by the Rector. Faculty Dissertation Board secretary can be the secretary of the Dissertation Field Board.

Amended by Academic Board Decision – date:16.09.2019, minutes №16

Amended by Governing Board decision – date:01.11.2021, minutes №1

- 14.5. Dissertation Board/Dissertation Field Board meeting can be held if it is attended by the simple majority of its members. For the decisions to be approved, it is necessary that at least the simple majority of attending members support it, except article 11, paragraph 11.5.

- 14.6. The Board meetings are recorded in the minutes and signed by the Chairperson, Secretary and all attending members.

- 14.7. The Chairperson of the Board can call meetings of the Board. If the Board members would like to call a meeting, the simple majority of the members should apply for it, then the Chairperson has to call a meeting.

- 14.8. During the absence of the Chairperson, Vice-Chair leads the meetings.

Article 15. Rights and Responsibilities of the Dissertation Board

15.1. Faculty Dissertation Board awards academic degree of Doctor, on the basis of the decision by the Defense Commission.

15.2. If there is a Field Dissertation Board, the further responsibilities belong to it. If not, they are fulfilled by the Dissertation Board, which:

a) For the enrollment of the candidates, creates admission commission, reviews how important the submitted dissertation theme is, participates in formulation of the dissertation title, approves the titles of dissertations;

b) Approves the assignment and changing of the supervisor suggested by the program coordinator, decides the issue related to the termination of the supervisory;

c) Reviews doctorate students' individual research plans;

d) Approves opponents;

Amended by Academic Board decision – date:10.02.2021, minutes №2

e) Approves the defense commission members;

f) (Deleted)

Amended by Academic Board decision – date:10.02.2021, minutes №2

g) Proposes to Governing Board changes to the criteria of assessment of dissertation.

Amended by Governing Board decision – date:01.11.2021, minutes №1

15.2¹. Reduced composition of field dissertation board:

a) Approves experts;

b) Approves the predefense/defense date.

Amended by Academic Board decision – date:10.02.2021, minutes №2

15.3. The Chair of the Dissertation Board (when s/he is not presented – Vice-Chair):

a) Organizes Board activities according to this Regulation;

b) Calls and runs the meetings of the Dissertation Board;

c) Organizes the defense procedure;

15.4. Rights and responsibilities of Secretary of the Dissertation Board:

- a) Is responsible for the compiling and keeping the minutes of the Dissertation (field) Board;
- b) Receives the documents necessary for defense according to this regulation and keeps these documents in the archives. If the documents are incomplete, the Secretary has the right to reject to receive them;
- c) Consults the doctoral students on documentation issues before and after the defense;
- d) Provides the doctoral students with the information regarding relevant documents before dissertation defense, as well as after it;
- e) Provides experts and opponents with copies of dissertation, extended abstracts and publications (on-paper and/or electronic, on their request);
- f) Provides the students with the information about assessment criteria and recommends regarding technical format of the dissertation;
- g) Provides the doctoral student and experts with the information about the timeline of predefense.

Amended by Academic Board decision – date:15.11.2019, minutes №21

Article 16. Submission of the Dissertation for Defense

16.1. Dissertation is a scientific work defended by a doctoral student for the purpose of obtaining Doctor's academic degree. It is the result of independent scientific research of a doctorate student which is based on newly acquired knowledge and which should contribute to the development of the corresponding field. If the doctorate student is a member of a research group, his/her personal contribution should be emphasized in the dissertation.

16.2. Dissertation is written in the corresponding instruction language of the program. The doctorate student should also submit a shortened variant of dissertation – its extended abstract (15-20 pages) in Georgian and English languages for the programs where instruction language is English,

Amended by Academic Board Decision – date:23.12.2019, minutes №23

16.3. Dissertation volume, format and style:

- 110-150 printed pages (+/- 10%);
- Font size 12 (titles in font size 14);

- The fonts should be Times New Roman for English and Sylfaen for Georgian text;
- 1.5 lines of intervals.;
- Left margin – 3 cm.;
- Right margin – 1.5 cm.;
- Top and bottom margins – 2.5 cm.;

The volume may differ from this envisaged in this paragraph, according to specialty. Other parameters for extended abstract are the same as for dissertation. In the dissertation format APA style should be observed, unless different style is defined by the relevant doctoral program. The requirements are described in R03I11 - “Guidelines for Master’s Thesis and Dissertation” in detail]

Amended by Academic Board decision – date:22.08.2017, minutes №9

Amended by Academic Board decision – date:15.11.2019, minutes №21

- 16.3. To check for plagiarism, a team will be created by the Dissertation Field Board decision which will involve program coordinator, one of experts and School representative to check the academic honesty with the help of corresponding software.

Amended by Academic Board Decision – date:16.09.2019, minutes №16

- 16.4. To be admitted to pre-defense the doctorate student has to submit the following to the Secretary of the Dissertation Field Board:

- a) Application concerning the completion of work on the dissertation;
- b) Transcript, certifying the ECTS credits necessary for the study component of doctorate program;
- c) The publications dealing with the doctoral dissertation results as defined by the relevant doctoral program;

Amended by Academic Board decision – date:22.08.2017, minutes №9

Amended by Academic Board decision – date:15.11.2019, minutes №21

- d) A confirmation from the supervisor that the publications and the abstract reflect the dissertation and that the doctorate student has really completed his/her work on the dissertation;
- e) 4 copies of dissertation and extended abstracts bound, printed according to IBSU standards and their electronic version on a CD;

- f) Document defining student’s active status from Student’s Affairs Office.

- 16.5. Articles, mentioned in paragraph 16.5, accepted for publication should be submitted as a photocopy (title page of the Journal, content page and an article). Articles, presented for publication shall be considered only on pre-defense (a corresponding paper certifying acceptance for publishing and the text of the article should be

submitted). The decision concerning the defense date cannot be taken unless these articles have been published.

- 16.5¹. For pre defence, doctoral student should have performed 3 presentations, conducted in compliance with paragraph 10.6.

Amended by Academic Board decision – date:29.09.2020, minutes №17

- 16.6. After the submission of the dissertation, abstract, and the documents to the Dissertation Field Board approves at least two experts, no more than in the term of 5 (five) working days.

- 16.7. If the dissertation passes the pre-defense and gets positive reviews from all experts, the student has the right to defend in the current or next semester; if the defense is arranged in the next semester, the student is freed from additional payment.

Article 17. Experts of Dissertation

- 17.1. After the submission of the dissertation, it is assessed by at least two experts nominated according to the article 16 by the reduced composition of field dissertation board.

Amended by Academic Board decision – date:10.02.2021, minutes №2

- 17.2. Experts should be a member of the corresponding/related Dissertation Field Board. The doctoral student's co-author of publications cannot be his/her expert.

- 17.3. If the dissertation topic is cross-disciplinary, one of the experts may be appointed from another field board within the university.

- 17.4. Faculty Dissertation Board Secretary submits the copy of dissertation, extended abstract and publications (electronic and/or material version as required by the addressee) to the experts within one-week period from the day of submission the dissertation.

Amended by Academic Board decision – date:15.11.2019, minutes №21

- 17.5. Experts have to submit their reviews to the secretary of Dissertation Board within one month from the day of acceptance of these responsibilities. The expert has to pay a special attention to the dissertation format and style, their correspondence to this regulation; If the experts require some corrections in the dissertation, the doctorate student has to apply them in the terms envisaged paragraphs 17.7 and 17.8. After the application of corrections by the doctorate student, the expert is obliged to write final review within 5 (five) working days. The copy of those reviews are sent to the doctorate student by the Secretary of the Dissertation Board.

- 17.6. The review of the experts should include evaluation on the issues as follows:

- a) How the urgency, novelty, scientific and practical importance are presented in the thesis;
- b) Structure (should involve an introduction, a literature review, a discussion section and research proper, with data treated statistically and a conclusion);
- c) Expert's recommendation (for technical improvement, substantial improvement or approval/rejection);
- d) Requirements envisaged in article 20 of this Regulation.

17.7. If one of the experts assesses the dissertation positively (recommendation on technical improvement) student is given a term to apply recommendations. If one of the experts negatively assesses the dissertation (recommendation for substantial improvement or rejection) and the doctoral student agrees to the assessment, he/she is given an additional one semester for making improvements. Otherwise, an additional expert will be appointed by the Dissertation Field Board. Finally, if two experts' reviews are positive and one negative, the doctoral student is admitted to the pre-defense.

17.8. If two experts give a negative review, the dissertation has to be returned to the student for improvement for at least one semester. In this case, the student goes on paying for tuition and the supervisor is paid for his/her additional job.

Article 18. Pre-defense of Dissertation

18.1. Pre-defense is appointed by the Dissertation Field Board after the receiving the experts' evaluation, according to the article 17 of this Regulation.

18.2. Pre-defense has to be attended by the doctorate student, his/her supervisor, chairperson of the Dissertation Field Board, experts and the doctorate program coordinator.

18.3. If during the pre-defense it is decided that the dissertation needs improvement, after the improvement the second pre-defense will be arranged. More than two pre-defenses of the same dissertation cannot be held. In this case a new title with a new research plan has to be approved in accordance with this Regulation. Student cannot submit the dissertation earlier than one semester.

Article 19. Opponents of Dissertation

19.1. After the pre-defense according to the decision of the Dissertation Field Board on proceeding to the next step is issued, dissertation is assessed by two approved opponents. Opponents should hold Doctor's academic degree and their scientific

activities and publications shall correspond to the specialty/field of the dissertation. Opponents should be from another (including foreign) university – an associate professor or professor and/or a researcher of a scientific-research center. Dissertation field board approves the opponents as soon as dissertation is approved by the experts.

- 19.2. Opponents have to submit the review within one month's time since they accept to be opponents. The review should contain an evaluation on the issues as follows: the urgency, novelty, scientific and practical importance are presented in the thesis and structure. The opponent should express the opinion whether the doctoral student deserves to be awarded the academic degree. The review should specify an evaluation regarding requirements envisaged in article 20.
- 19.3. The doctorate student's co-author of publications cannot be his/her opponent. Neither can be a person who is a member of the same scientific group where the research was fulfilled.
- 19.4. A person who depends on the doctoral student by his/her job position cannot be his/her opponent.
- 19.5. Opponents cannot work in the same structural unit of one organization.
- 19.6. Copies of dissertation, abstracts and publications (on-paper and/or electronic, on opponents' request) should be provided to the opponents by the Dissertation Board Secretary.
- 19.7. The Dissertation Board Secretary has to pass copies of these reviews to the doctorate student.
- 19.8. The opponent with negative opinion must attend the defense. In case of international opponent s/he must attend online.
- 19.9. If opponent, who assessed negatively, refuses to attend dissertation defense, s/he shall be paid 30% and new opponent shall be appointed, according to the procedures envisaged in this Regulation.
- 19.10. If all reviews are positive, at least one opponent must attend the defense.

Article 20. Assessment of Dissertation by Experts and Opponents

- 20.1. To be assessed positively, a dissertation has to be an original and independent work. It should involve a literature review, desirably with the history of the issue and its contemporary state, a discussion section and research proper (survey, case study, experiment, etc., carried out by the researcher him/herself, or software developed by

the doctoral student) with data treated statistically. Definitions of all essential (especially, new) concepts should be provided. The dissertation should possess the following features: innovation (novelty), significance (topicality), scientific/theoretical and practical value, etc. Research problem(s), questions and/or hypothesis should be defined properly. The suggested conclusions and recommendations should be based on (ensured from) the analysis in the dissertation.

20.2. The dissertation should be written in a clear language and in a logical way. Norms of professional ethics should be followed. All the formalities dealing with citation, referencing and printing format should be observed.

20.3. The publications should reflect the basic materials of the dissertation.

Article 21. Defense Commission

21.1. The candidates for Defense Commission members are suggested by the Program Coordinator to the Dissertation Field Board.

21.2. The Dissertation Field Board approves the members of the commission simultaneously with the approval of the opponents.

21.3. The Commission should consist of at least 7 (seven) members. All experts and opponents are Commission members. IBSU academic staff should constitute more than half of the number of members.

21.4. Commission elects its Chairperson from its members by simple majority in the beginning of defense procedure.

21.5. Dissertation Board secretary serves as Commission Secretary during the defense without voting right, unless he/she is a member of the field board.

21.6. The Dissertation Field Board settles the defense date and informs the doctorate student about it. An announcement about the defense should be placed on university website after the opponents submit their reviews on the dissertation, but not later than 10 working days before the defense day.

21.7. The supervisor of the doctorate student is not the Commission member but he/she attends the defense.

21.8. 10 work days before the defense all Commission members should be provided with electronic versions of extended abstracts. During the defense all members of Commission should get acquainted with the opponents' reviews and any written assessment that is sent to the Commission.

- 21.9. The decision of the Commission is in power if the defense is attended by 2/3 of the members, but not less than 5 people.
- 21.10. The decision to award Doctor's academic degree has the power on condition that the average grade is at least 51 (Rite). If commission evaluates the student with 41- 50 (insuffiecienter) the student will need to improve the dissertation and will be able to resubmit it during one year (after at least one semester). If commission evaluates the student with below 41 (sub omni canone) the student loses right to submit the same dissertation. Herewith, for the goals of the commission evaluation, excellent means 91-100, very good – 81-90, good – 71-80, satisfactory (bene) – 61-70, enough (rite) – 51-60, insufficient (insuffiecienter) – 41-50, unsatisfactory (sub omni canone) – 40 and less.

Article 22. Preparation for Defense and the Defense Process

- 22.1. The defense date is settled by the Dissertation Field Board according to the article 21 paragraph 21.6 of this Regulation.
- 22.2. The Secretary of the Board has to inform the doctorate student in written form about the decision of the Board to admit him/her to defense and give him/her a copy of opponents' reviews in 10 work days before the defense. The information should also include the defense date.
- 22.3. The documentation concerning the doctorate student is kept in Dissertation Board archives. The doctorate student has the right to get acquainted with documentation concerning him/her.
- 22.4. The defense is public. Announcement about it is put to the university's web page at least 10 work days before the defense.
- 22.5. The procedure of defense involves:
- a) Doctorate student's presentation (not more than 30 minutes);
 - b) Reading the opponents' reviews publicly;
 - c) Doctorate student's answers to discussion questions in reviews;
 - d) Scientific discussion;
 - e) Supervisor's word;
 - f) Opinions of the attendees from public;
 - g) Closed session for assessment of dissertation;

- h) Public announcement of dissertation assessment results;
- i) Concluding words of the doctorate student.

22.6. Each session hosts only one dissertation defense.

22.7. If the defense cannot occur timely due to unforeseen reasons, on demand of the student or defense commission, it can be delayed by at least two weeks, but no more than one month. The relevant information shall be published on IBSU web-page.

Article 23. Assessment of Dissertation during Defense

23.1. The assessment is done based on the criteria defined by this Regulation.

23.2. The defense is assessed by the Commission during its closed session on completion of defense. Based on dissertation and its defense assessment (calculation done as average points) the Commission decides the final assessment.

23.3. The assessment is of two types: defended (51-100 points) or failed to defend (0-50 points).

23.4. The final assessment is done according to the following system:

- a) If the student is assessed with
 - excellent (summa cum laude) – excellent dissertation;
 - very good (magna cum laude) – result that exceeds to the defined requirements in all aspects;
 - good (cum laude) – result that exceeds to the defined requirements;
 - satisfactory (bene) – satisfactory dissertation, that mainly meets the defined requirements;
 - enough (rite) – result, that despite its gaps meets the defined requirements; -
S/he is awarded academic degree of Doctor;
- b) If the student is assessed with – insufficient can be revised (insufficenter) – insufficient dissertation, that does not meet the defined requirements due to its significant gaps - the student has a right to improve and re-defend the same dissertation thesis during the one-year period.
- c) If student is assessed with - unsatisfactory (sub omni canone), result that does not meet at any requirement - the student has no right to re-defend the same dissertation.

- 23.5. The Chairperson of the Commission announces the result.

Article 24. Awarding of the Academic Degree

- 24.1. The academic degree of Doctor is awarded by the Faculty Dissertation Board based on the decision of the Commission.

- 24.2. Uploading abstract of the dissertation and the full text of the dissertation on the IBSU website is obligatory after the defense; the full text of the on-paper dissertation and its electronic version will be available at the university library. The Secretary of the Faculty Dissertation Board is responsible for publicizing the abstract and the full text in time (not later than in two weeks' time after the defense).

Amended by Academic Board decision – date:15.11.2019, minutes №21

- 24.3. Two copies of dissertation and abstracts are returned to the doctorate student, while two copies remain in IBSU library and one electronic version in Dissertation Board archives.

Article 25. Document Certifying the Academic Degree of Doctor

- 25.1. After issuing Rector's order on student graduation, until the Diploma is issued, certificate on academic degree award shall be issued by Students' Affair on demand of the student.

Article 26. Cancellation of Dissertation

- 26.1. The diploma certifying doctor's academic degree may not be issued or the issued diploma may be cancelled if falsified research data are presented or academic honesty is not realized (in case of plagiarism). These decisions are made by the Faculty Dissertation Board.

Article 27. Transitional and Final Provisions

- 27.1. Doctoral program student's financial responsibilities are defined in "Financial Regulation".
- 27.2. Issues not mentioned in this Regulation are defined in the Law on Higher Education, "Rules and Regulations for Educational Process" and other internal regulations of IBSU.
- 27.3. Amendments to the regulation are made in the same way as it is approved.
- 27.4. This regulation is valid from the approval date by the Academic Board and is enacted from 2016-2017 Academic Year.

- 27.4¹ Amendment made to paragraph 16.5 (“c”) applies to the students, who shall have to submit the dissertation to the dissertation field board for pre-defense, by the time of enacting the amendment.
Amended by Academic Board decisions – date:22.08.2017, minutes №9
- 27.4² Considering paragraph 16.5 (“c”) of article 16 and paragraph 27.2 of this article, before the spring semester of 2017-2018 academic year, IPS (with present edition Graduate School) has to perform necessary activities for the relevant amendments of the doctorate programs, in cooperation with the responsible structural units of IBSU.
Amended by Academic Board decisions – date:22.08.2017, minutes №9
Amended by Academic Board Decision – date:16.09.2019, minutes №16
- 27.4³ Those doctoral students, who have not performed presentation (or have performed partially) in compliance with paragraph 10.6 and have active status during fall semester 2020-2021 or will restore the status in the following semesters, are obliged to conduct presentation in compliance with paragraph 10.6 of this regulation. Herewith, field dissertation board evaluates the work performed by the doctoral student and makes equivalence to the total number of presentations to be performed.
Amended by Academic Board Decision – date:29.09.2020 minutes №17
- 27.5. Fulfillment of this Regulation is controlled by the Graduate School.
Amended by Academic Board Decision – date:16.09.2019, minutes №16

*Ignorance of rules of the university shall not be a defence to anyone.
All are therefore required to familiarise themselves with the rules and regulations as outlined in the
related IBSU documentation.*

*IBSU is an equal opportunity institution. It does not discriminate against any member of its
community on the basis of gender, race, nationality, ancestry, creed, marital or parental status, or
physical, mental, emotional, or learning disabilities in its educational programmes and activities.*

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