



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.

Prepared by: Graduate-School _____

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Amendments

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1	Academic Board	9	22.08.2017
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
11	Governing Board	15	04.04.2022
12	Governing Board	30	19.09.2022
13	Governing Board	39	26.12.2022

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
15	16.09.2019	9	Component Registration
16	16.09.2019	11	Procedures Related to Research Component
17	16.09.2019	13	Program Coordinator
18	16.09.2019	14	Dissertation Board and Dissertation Field Board
19	16.09.2019	16	Submission of the Dissertation for Defense
20	16.09.2019	27	Transitional and Final Provisions
21	15.11.2019	11	Procedures Related to Research Component
22	15.11.2019	12	Supervisor/Co-supervisor of Doctoral Student
23	15.11.2019	13	Program Coordinator
24	15.11.2019	15	Rights and Responsibilities of Disertation Board
25	15.11.2019	16	Submission of the Dissertation for Defense
26	15.11.2019	17	Dissertation Board Secretary
27	15.11.2019	24	Awarding Academic Degree
28	23.12.2019	7	Admission to Program
29	23.12.2019	8	Foreign Language Exemption
30	23.12.2019	16	The language of abstract

31	24.02.2020	7	Admission to Program
32	29.09.2020	4	Doctoral programs structure
33	29.09.2020	7	Admission to the program
34	29.09.2020	16	Submission of the dissertation to defence
35	29.09.2020	27	Transnational and final provisions
36	10.02.2021	12	Supervisor/Co-supervisor of Doctoral Student
37	10.02.2021	14	Dissertation Board and Dissertation Field Board
38	10.02.2021	15	Rights and Responsibilities of the Dissertation Board
39	10.02.2021	17	Experts of Dissertation
40	24.09.2021	7	Admission to Program
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43	04.04.2022	16	Submission of the Dissertation for Defense
44	19.09.2022	4	Doctorate Program Structure
45	19.09.2022	6	Duration of Learning
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56	19.09.2022	24	Awarding of the Academic Degree
57	19.09.2022	25	Document Certifying the Academic Degree of Doctor
58	26.12.2022	3	Planning, Designing and Developing of Doctoral Program
59	26.12.2022	7	Admission to Program
60	26.12.2022	8	Foreign Language Exemption
61	26.12.2022	9	Component Registration
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63	26.12.2022	12	Supervisor/Co-supervisor of Doctoral Student
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69	26.12.2022	27	Transitional and Final Provisions

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:** Main Educational Unit;
- 2.2. **HEI:** Higher Education Institution;
- 2.3. **EQE:** LLP National Center for Educational Quality Enhancement;
- 2.4. **Dissertation Board:** School 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 School 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).

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

Amended by Academic Board Decision – date:26.12.2022, minutes №39

Article 3. Planning, Designing and Developing of Doctoral Program

- 3.1. (Deleted)
- 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:26.12.2022, minutes №39

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

Amended by Academic Board Decision – date:26.12.2022, minutes №39

- 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. The duration of the Doctoral program normally is 3 (three) years and includes not more than 60 ECTs of study components (Professor assistance, research skills, seminar, etc.) and research (preparation of dissertation and defense) component accomplished within at least 2 years. The amount of ECTs assigned to study components can be modified in accordance to each doctoral program’s specifics, competencies, which shall be collaborated as an outcome of the components and considering the necessary requirement, that the total amount of credits shall not exceed 60.

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

Amended by Governing Board Decision – date:19.09.2022, minutes №30

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 is generally 6 (six) semesters.

Amended by Governing Board Decision – date:19.09.2022, minutes №30

- 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 the Head of the Program) 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 the Head of the Program’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 Study Process Management Office.
Amended by Academic Board Decision – date:11.06.2019, minutes №8
Amended by Academic Board Decision – date:16.09.2019, minutes №16
Amended by Academic Board Decision – date:26.12.2022, minutes №39
- 7.6. During the registration period all the required documents are defined by R03F35.
Amended by Academic Board Decision – date:24.02.2020, minutes №4
Amended by Academic Board Decision – date:23.12.2019, minutes №23
Amended by Academic Board Decision – date:26.12.2022, minutes №39
- 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 Head of the Program 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. The applicant is exempted from passing the foreign language exam if he/she has completed an educational program in a foreign language, having achieved the level determined by the prerequisite for admission to the program.

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

Amended by Academic Board Decision – date:26.12.2022, minutes №39

- 8.3. (Deleted)

Amended by Academic Board Decision – date:26.12.2022, minutes №39

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. (Deleted)

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

Amended by Academic Board Decision – date:26.12.2022, minutes №39

- 9.3. For the purposes of this regulation at least 3 (three) students are needed for opening an elective course. Exceptions from this rule can be made by the decision of the School Board.

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

Amended by Academic Board Decision – date:26.12.2022, minutes №39

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. The evaluation of the component is carried out according to several criteria: the mentioned forms for the study component are midterm and final evaluation, the sum of which represents the final evaluation, the scientific-research component must be evaluated as a whole, by final assessment. This includes the formative evaluation stage (assessment of the reviewers, assessment received on the pre-defense) and assessment received at the defense.

Amended by Governing Board Decision – date:19.09.2022, minutes №30

- 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.

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

Amended by Governing Board Decision – date:19.09.2022, minutes №30

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 Head of the Program. 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 School and the relevant contract is concluded between the supervisor, student and IBSU.

Amended by Governing Board Decision – date:19.09.2022, minutes №30

- 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 Office of Theses and Dissertations 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

Amended by Academic Board Decision – date:26.12.2022, minutes №39

- 11.3. Beginning with the research component semester, doctorate student's monitoring report and supervisor's monitoring report (R5F12, R5F10) have to be submitted to the Office of Theses and Dissertations in the end of each semester.

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

Amended by Academic Board Decision – date:26.12.2022, minutes №39

11.4. If a doctoral student applies for changing of the title of the dissertation, upon the positive report of the supervisor, the Dissertation Field Board, based on the nature of the change, in case of necessity defines additional time for the student to submit the dissertation. 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

Amended by Governing Board Decision – date:19.09.2022, minutes №30

11.5. 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 the Head of the Program’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 Office of Theses and Dissertations for changing the supervisor or the supervisor refuses to supervise the doctorate student, s/he addresses the Head of the Program 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

Amended by Governing Board Decision – date:19.09.2022, minutes №30

Amended by Academic Board Decision – date:26.12.2022, minutes №39

- 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. Head of the Program

- 13.1. The Heads of the Programs are the members of the Dissertation Board.

- 13.2. The Head of the Program is in charge of organizing program fulfillment. S/he is responsible to cooperate with the School regarding the educational process and the accompanying documentation related to this process envisaged in this Regulation and other Regulations of IBSU. The Head of the Program 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 School 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

Amended by Academic Board Decision – date:26.12.2022, minutes №39

- 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 School 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, the Head of the Program, relevant supervisor and board secretary.

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

- 14.4. The chairperson of School Dissertation Board is elected by the dissertation board members. The chairperson of Field Dissertation Board is the Head of the Program of the relevant program. The secretary of the School Dissertation Board is an administrative position and is assigned by the Rector. School 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. School 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 Head of the Program, 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:

- The number of dissertation pages shall be at least 110 and not more than 200 (+/- 10%);;
Amended by Governing Board decision – date:04.04.2022, minutes №15
- 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

16.4. In order to check for plagiarism and coincidence, the Office of Theses and Dissertations, with the involvement of the thesis supervisor, with the help of the appropriate program, checks the thesis of the doctoral student. (R5F19).

16.4¹ In the case defined by clause 16.4 of the regulation, if the coincidence ratio exceeds 30/5/30 data, a field specialist is involved in the inspection process.

16.4² In case of detection of plagiarism, the doctoral student will not be admitted to the defense. If, as a result of the involvement of a specialist in the field, the coincidence ratio exceeds the established indicator, the doctoral candidate is given the opportunity to correct the paper. For the same paper, the text matching indicator is checked no more than 2 times after the text matching is detected.

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

Amended by Academic Board Decision – date:26.12.2022, minutes №39

16.5. 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 and the dissertation can be submitted for the final evaluation;
- e) Electronic version on a CD of dissertation and extended abstracts;
- f) Document defining student's active status.

Amended by Governing Board Decision – date:19.09.2022, minutes №30

16.6. 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

16.7. 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.

16.8. (Deleted).

Amended by Governing Board Decision – date:19.09.2022, minutes №30

Article 17. Experts of Dissertation

17.1. After the submission of the dissertation, before the pre-defense, 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

Amended by Governing Board Decision – date:19.09.2022, minutes №30

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. School 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; the doctorate student has the right to revise the dissertation in compliance with the recommendations of the experts.

Amended by Governing Board Decision – date:19.09.2022, minutes №30

- 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. (Deleted).

Amended by Governing Board Decision – date:19.09.2022, minutes №30

- 17.8. (Deleted).

Amended by Governing Board Decision – date:19.09.2022, minutes №30

Article 18. Pre-defense of Dissertation

- 18.1. Pre-defense is appointed by the Dissertation Field Board after receiving the experts’ evaluation.

Amended by Governing Board Decision – date:19.09.2022, minutes №30

- 18.2. Pre-defense has to be attended by the doctorate student, his/her supervisor, experts, the doctorate Head of the Program, chairperson of the Dissertation Field Board, and and at least 1 (one) member of the Dissertation Field Board.

Amended by Academic Board Decision – date:26.12.2022, minutes №39

- 18.3. For one thesis, only one pre-defense can be arranged. Student is entitled to take the recommendations (formative evaluation) of the experts/pre-defense board members before submitting thesis for defense.

Amended by Governing Board Decision – date:19.09.2022, minutes №30

Amended by Academic Board Decision – date:26.12.2022, minutes №39

Article 19. Opponents of Dissertation

19.1. After the submission of the final version of the dissertation², according to the decision of the Dissertation Field Board on proceeding to the next step, 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. Opponents are assigned after the pre-defense.

Amended by Governing Board Decision – date:19.09.2022, minutes №30

Amended by Academic Board Decision – date:26.12.2022, minutes №39

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.

Amended by Governing Board Decision – date:19.09.2022, minutes №30

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 a negative assessment must attend the defense.

Amended by Governing Board Decision – date:19.09.2022, minutes №30

19.9. If the opponent, whose conclusion is negative, fails to appear for the defense, the defense will be extended for a period of no more than 1 (one) month. In case of repeated non-appearance of the opponent, he will be compensated 30% and a new opponent will be appointed, according to the procedures defined in this regulation.

Amended by Governing Board Decision – date:19.09.2022, minutes №30

Amended by Academic Board Decision – date:26.12.2022, minutes №39

² 4 copies of dissertation and extended abstracts bound, printed according to IBSU standards and their electronic version on a CD should be submitted.

- 19.10. If all reviews are positive, at least one opponent must attend the defense.

Amended by Governing Board Decision – date:19.09.2022, minutes №30

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 Head of the Program to the Dissertation Field Board.
- 21.2. The Dissertation Field Board approves the members of the commission.
Amended by Governing Board Decision – date:19.09.2022, minutes №30
- 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 the formative evaluation (reviewer's recommendations and recommendations received on pre-defense), electronic versions of extended abstracts and dissertation and the opponents' reviews.

Amended by Governing Board Decision – date:19.09.2022, minutes №30

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 grant a Doctor's academic degree has the power on condition that the student has undergone the formative evaluation stage and the average grade awarded by the commission is at least 51 (Rite).

Amended by Governing Board Decision – date:19.09.2022, minutes №30

21.11. If commission evaluates the student with 41- 50 (insuffiecienter) the student will need to improve the dissertation and will be able to resubmit it for the final evaluation during one year (after at least one semester). Improved dissertation should be on the same topic.

Amended by Governing Board Decision – date:19.09.2022, minutes №30

21.12. If commission evaluates the student with below 41 (sub omni canone) the student loses right to submit the same dissertation.

Amended by Governing Board Decision – date:19.09.2022, minutes №30

21.13. For the goals of the commission evaluation: excellent (summa cum laude) 91-100, very good (magna cum laude) – 81-90, good (cum laude) – 71-80, satisfactory (bene) – 61-70, enough (rite) – 51-60, insufficient (insuffiecienter) – 41-50, unsatisfactory (sub omni canone) – 40 and less.

Amended by Governing Board Decision – date:19.09.2022, minutes №30

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.

22.1¹. Dissertation should be evaluated no later than the end of the following semester after submitting it for defense.

Amended by Governing Board Decision – date:19.09.2022, minutes №30

22.2. The Secretary of the Board has to inform the doctorate student in written form about the date of the defense and give him/her a copy of opponents' reviews at least 10 work days before the defense.

Amended by Governing Board Decision – date:19.09.2022, minutes №30

Amended by Academic Board Decision – date:26.12.2022, minutes №39

- 22.3. The prerequisite for awarding the academic degree of doctor is to pass the formative evaluation stage and the average of the points assigned by the Defense Commission, not less than 51 points.
- 22.4. If the student is evaluated with 41-50 points, the student is given the opportunity to improve the thesis and submit it for final evaluation within one year (at least after one semester). The improved paper should be on the same topic.
- 22.5. If the commission evaluates the student with less than 41 points, the student loses the right to submit the same thesis.
- 22.6. For the purposes of evaluation of the paper by the commission, excellent means 91-100 points of assessment, very good - 81-90 points of assessment, good - 71-80 points of assessment, average - 61-70 points of assessment, satisfactory - 51-60 points of assessment, unsatisfactory - 41 points of assessment -50 points, completely unsatisfactory - 40 evaluation points and less.
- 22.7. 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.
- 22.8. The defense is public and managed in the language of the program. Information about the defense is published on the university website at least 10 (ten) work days before the defense. The information should also include the extended abstracts submitted for the defense.
- 22.9. The procedure of defense involves:
- a) Doctorate student's presentation (not more than 30 minutes);
 - b) Reading the evaluation received on the evaluation stage and the opponents' commentaries publicly;

Amended by Governing Board Decision – date:19.09.2022, minutes №30

- 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.

22.10. Each session hosts only one dissertation defense.

22.11. 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 a closed session. Based on dissertation and its assessment (including the assessment received on the formative evaluation stage) the Commission decides the final assessment.

Amended by Governing Board Decision – date:19.09.2022, minutes №30

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, (insufficenter) - insufficient work, that does not meet the defined requirements, the student has a right to improve and re-defend the same dissertation during the one-year period.

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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 School Dissertation Board based on the decision of the Commission.
- 24.2. Uploading abstract 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 School Dissertation Board is responsible for publicizing the abstract in time (not later than in two weeks' time after the defense).

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

Amended by Governing Board Decision – date:19.09.2022, minutes №30

- 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 Study Process Management Office on demand of the student.

Amended by Governing Board Decision – date:19.09.2022, minutes №30

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 School 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 Vice-rector for Education and science.
Amended by Academic Board Decision – date:16.09.2019, minutes №16
Amended by Academic Board Decision – date:26.12.2022, minutes №39

*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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