

**REGULATIONS
FOR THE PROCEDURE AND CRITERIA FOR AWARDING
A DOCTORAL SCIENTIFIC DEGREE (PROMOTION)
OF THE BALTIC INTERNATIONAL ACADEMY**

APPROVED
at the BIA Senate meeting
on 11.12.2013
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The regulations were developed on the basis of the Law on Scientific Activity of the Republic of Latvia, Law on Higher Education Establishments of the Republic of Latvia, Regulations of the Cabinet of Ministers of the Republic of Latvia No. 1001 "Procedure and criteria for awarding a doctoral scientific degree (promotion)".

Abbreviations used: LCS – Latvian Council of Science; PC – Promotion Council; SSQC– State Scientific Qualification Commission; CM of the Republic of Latvia – Cabinet of Ministers of the Republic of Latvia.

1. GENERAL QUESTION

1.1. These Regulations determine the procedure for formation of the promotion council and promotion.

1.2. The right to award the doctoral scientific degree is delegated to the higher education establishment by the Cabinet of Ministers after receiving the opinion of the Latvian Council of Science.

1.3. The doctoral thesis has the right to be defended by an applicant for a scientific degree, who is a person who has successfully completed the academic part of an accredited doctoral study program and prepared a doctoral thesis for defense, or whose academic activity performed outside of this program is equated to it, following the procedure provided for in these regulations and according to the criteria set by the Cabinet of Ministers, and who has successfully passed the exams in the chosen field of science.

1.4. The regulations determine the procedure for awarding a doctoral scientific degree (hereinafter - promotion) at the Baltic International Academy (hereinafter - the Academy), as well as the criteria according to which a person's academic activity is equated to the requirements of an accredited doctoral

study program (hereinafter - the program), if the doctoral scientific degree (hereinafter - degree) is applied for by a person who has not studied in the relevant program.

2. ESTABLISHMENT OF THE PROMOTION COUNCIL

2.1. The BIA can submit an application to the Latvian Council of Science to delegate to it the right to award a doctoral degree, if an accredited doctoral study program is implemented in it and at least three experts approved by the Latvian Council of Science are involved in the implementation of this program.

2.2. The composition of the PC in the branch of science or sub-branch of science, upon the proposal of the vice-rector of sciences, is approved by the Senate of the BIA. The composition of the PC includes at least five scientists who have the right of an expert of the Latvian Council of Science in the branch of science, at least two of them in the sub-branch of science in which the doctoral thesis is being defended. Foreign scientists may be included in the Council, if the consent of SSQC is received. The council operates in accordance with these regulations.

2.3. The term of office of the Council shall not exceed six years.

3. SUBMISSION OF THE DOCTORAL THESIS

The degree is awarded for a doctoral thesis independently developed and publicly defended under the guidance of an experienced scientist (hereinafter referred to as the supervisor of the doctoral thesis), which contains the results of original scientific research and provides new knowledge in the relevant branch or sub-branch of sciences.

When applying for a second degree in another field of science, it is possible to develop a doctoral thesis without the supervision of a thesis supervisor, using the advice of leading specialists in the field (hereinafter referred to as a consultant). The main results of the doctoral thesis must be published in scientific publications.

2.1. The thesis can be:

2.1.1. dissertation;

2.1.2. a thematically unified set of scientific publications. Publications must be published or accepted for publication in scientific periodicals that are anonymously reviewed, are internationally available in scientific information repositories and are cited in internationally accessible databases;

2.1.3. monograph - a peer-reviewed scientific book dedicated to one topic, is internationally available in scientific information repositories, contains a bibliography and a summary in a foreign language.

2.2. Requirements for the volume, structure and formatting of the doctoral thesis are determined by the relevant program.

2.3. When applying for a second degree in a different field of science, it is possible to develop a doctoral thesis without a thesis supervisor, using appropriate consultations of leading specialists (consultants) of the field.

2.4. The works required for obtaining a scientific degree must be submitted in the state language or in one of the official languages of the European Union, adding a translation of the summary of the thesis in the state language.

2.5. Before submitting the thesis to the PC of the BIA, it is reviewed by the structural unit where the thesis was developed. If necessary, the thesis is initially reviewed by at least one BIA lecturer with a doctoral degree selected by the structural unit, after which the thesis is discussed at an open meeting of the structural unit. Based on the decision of the structural unit (minutes of the meeting), the work of this lecturer can be paid in the amount of no more than 5 (five) hours per doctoral thesis according to the rate of the position of a lecturer within the funding available in the BIA budget (except for cases when a set of publications is submitted instead of doctoral thesis).

3. Promotion Council

3.1. *Due to the restrictions established in the country*, the meeting of the Promotion Council can take place using an online video conference (transmission of image and sound in real time) if the applicant, member of the council or thesis reviewer is in another place and cannot attend the place of the promotion meeting. The Council takes all decisions by open voting, with a simple majority of votes present.

3.2. The work of the Council is provided by the Academy. The costs of the promotion process are covered by the academy from the funds allocated for the implementation of the program. If the author of the doctoral thesis (hereinafter referred to as the applicant) has not completed the appropriate program or completed it more than two full calendar years ago without obtaining a degree, the decision on which means to cover the costs of the doctoral process is made by the Academy.

4. Submission of the doctoral thesis

4.1. To receive the degree, the applicant submits the following documents to the **PC secretary of the Academy**:

4.1.1. an application with a supporting resolution of the thesis supervisor or consultant;

4.1.2. doctoral thesis;

4.1.3. summary of the doctoral thesis in Latvian;

4.1.4. certificate of the academy on the completion of the program or the passing of exams in the chosen branch, sub-branch and foreign language;

4.1.5 Curriculum Vitae (CV);

4.1.6. the list of scientific publications reflecting the results of the doctoral thesis and their copies;

4.1.7. extract from the protocol of the meeting at the academy or other scientific institution's structural unit (in which the doctoral thesis was developed), which confirms the discussion of the doctoral thesis, its scientific novelty and the applicant's personal contribution.

4.2. If the doctoral thesis is a thematically unified set of publications in which the applicant has co-authors, or a collective monograph, written consent of all

co-authors of the publications included in the doctoral thesis for the use of the publication in the promotion or the confirmation of the corresponding (main) author of these publications about the applicant's personal contribution to the preparation of the publications shall be attached to it.

4.3. The PC secretary of the Academy evaluates the formal compliance of the documents with the requirements of these regulations within a week and if the applicant:

4.3.1. has completed an appropriate program, submits the thesis for consideration by the council;

4.3.2. has not completed the appropriate program, submits the thesis for review to the council of the structural unit implementing the relevant program, which equates the applicant's academic activities with the requirements of the program.

4.4. If deficiencies are found in the documents, the PC secretary of the academy requests the applicant in writing to submit the missing or inappropriate documents. The applicant shall submit the requested documents within two weeks. If the submitted documents do not meet the requirements of these regulations, the academy returns the documents to the applicant, indicating what deficiencies have been found. In this case, the applicant has the right to submit the documents again no earlier than after three months.

4.5. the PC secretary forms package of documents, registers the submitted documents and creates the applicant's file, which is handed over to the chairman of the PC together with the thesis.

5. Equalisation of the academic activity of the applicant for scientific degree to the requirements of the doctoral study program

5.1. The program council decides within a month from the date of receipt of the documents from the PC secretary on the equalisation of the academic performance of an applicant who has not completed the appropriate program. In case of ambiguities, the chairman of the program council has the right to request additional documents or their explanation from the applicant. The time for the correspondence with the applicant necessary to eliminate ambiguities is excluded from the total time for processing the application.

The applicant is notified of the decision made and the further progress of the documents to the Council of Science within a week after the decision is made. When making a decision, the following criteria are observed:

5.1.1. independently conducted thematically unified research that provides new scientific knowledge and about which scientific articles have been published or accepted for publication in the corresponding scientific branch or sub-branch;

5.1.2. successfully passed promotion exams provided for in the program;

5.1.3. the scientific results of the doctoral thesis have been reported in at least one international seminar and conference in the relevant branch or sub-branch of science;

5.1.4. the applicant has led a working group, fulfilling a certain section in the scientific project, participated in the organization of at least one international

seminar or conference, or conducted research in cooperation with foreign scientific institutions, other Latvian scientific institutions or companies.

5.2. If a decision is made to equate the academic activity with the requirements of the program, the academy notifies the applicant of the decision within a week after its adoption and submits the documents to the council for further consideration. If a decision is made not to equate the academic activity with the requirements of the program, the academy indicates the reasons for the decision and returns the documents to the applicant.

5.3. The applicant has the right to eliminate the indicated shortcomings and submit the documents again, but not earlier than three months after the Academy's decision.

5.4. The applicant concludes an agreement with the BIA on the promotion process. In case the applicant covers the expenses of the promotion process from the funds of natural or legal persons, the payment for the promotion process must be made to the current account specified by BIA no later than one week **before the defense of the promotion thesis**. The promotion council meeting is convened only in case of payment of the bill.

6. Evaluation of the thesis

6.1. Within a month after receiving the doctoral thesis, the Council decides on its acceptance for public defense. The thesis is accepted for public defense if it meets the following criteria:

6.1.1. the author of the doctoral thesis has justified the choice of the topic, defined the aim and tasks of the research, described the scientific achievements in the research of the topic and the methods used, presented and discussed the results and insights obtained during the work, summarizing them in conclusions and theses to be defended;

6.1.2. the doctoral thesis is a completed original research, the results of which are of significant importance in the relevant sub-sector of science;

6.1.3. the amount of scientific work is sufficient in accordance with the requirements set out in the council's regulations;

6.1.4. modern analysis and data processing methods are used in the thesis;

6.1.5. the results of the work have been published in scientific publications or a monograph or the related intellectual property is patented;

6.1.6. the results of the work have been reported at international scientific conferences or seminars;

6.1.7. the thesis is not a forgery or plagiarism or another violation of scientific ethics has not been committed.

6.2. When accepting thesis for defense, the council:

6.2.1. appoints three reviewers for the thesis, one of whom is an expert of this council in the relevant subbranch of science, and two - sub-branch experts from other scientific institutions or organizations (preferably outside Latvia);

6.2.2. determines in which foreign language and within which time the translation of the summary of the doctoral thesis must be prepared in order to ensure its international availability and discussion;

6.2.5. at least two weeks before the defense of the doctoral thesis, it is announced in the official publication "Latvijas Vēstnesis" and "Zinātnes Vēstnesis". Along with the announcement in the official publication "Latvijas Vēstnesis", the academy ensures the public availability of the doctoral thesis on the Internet and in the library of the academy;

6.2.6. within a week, the doctoral thesis and related documents are sent to the commission.

6.3. The applicant's relatives, direct subordinates or supervisors at the workplace, co-authors of the applicant's publications, supervisor and consultant of the thesis, as well as the staff of the laboratory, department or group in which the thesis was developed may not be invited as thesis reviewers.

6.4. The applicant for a degree has the right to submit justified objections to the composition of the council or reviewers to the academy within one month after receiving the information mentioned in subsection 6.2.3 of these regulations. In this case, the academy can change the composition of the council or instruct the council to invite other reviewers of the thesis within a month. If the applicant has objections to the reconstituted council or invited reviewers, he can withdraw his application for the defense of the doctoral thesis.

6.5. If the council does not accept the doctoral thesis for public defense, it shall notify the applicant of the decision in writing, indicating which requirements mentioned in Clause 6 of these regulations have not been met. The applicant has the right to re-submit the thesis for defense at the academy no earlier than a year later.

6.6. The commission prepares an opinion within a month after receiving the documents mentioned in subsection 6.2.6 of these regulations. If the commission determines that the thesis does not meet the generally accepted international standards of the relevant industry in terms of content and methodology, the promotion process is terminated. This decision shall be notified in writing to the relevant council no later than four weeks before the public defense of the thesis, indicating which requirements have been violated. In such a case, the council shall notify the applicant in writing of the commission's decision within a week and inform the applicant of further action.

6.7. The reviewers evaluate the theoretical novelty and prospects of practical use of the results of the doctoral thesis, compliance with the level of international achievements of the relevant scientific field, the compliance of the analysis and data processing methods used by the applicant with the goals and tasks of the doctoral thesis, as well as the compliance of the applicant's conclusions and findings with the results.

6.8. Reviewers have the right to request additional information about the doctoral thesis from the applicant in writing.

6.9. The reviewers submit a review of the doctoral thesis to the council in writing, indicating the compliance of the doctoral thesis with the requirements for awarding the degree in the specific branch and sub-branch of science. The council presents the applicant with feedback no later than three working days before the promotion meeting.

6.10. If the feedback of one reviewer is negative, the promotion can take place, but the applicant has the right to withdraw the thesis and supplement or revise it.

6.11. If the reviews of two or three reviewers are negative, the thesis is not considered at the council meeting and is returned to the applicant for revision. The applicant can resubmit the reworked thesis to the academy no earlier than six months after receiving the negative reviews.

6.12. SSQC within a month according to the Regulations of the Cabinet of Ministers of the Republic of Latvia No. 1001 prepares an opinion upon receipt of the documents referred to in paragraph 16.6. If SSQC determines that the doctoral thesis does not meet the generally accepted international standards of the relevant branch in terms of content and methodology, the doctoral process is terminated. This decision shall be notified in writing to the relevant Promotion Council no later than four weeks before the public defense of the thesis, indicating which requirements have been violated. In such a case, PC shall notify the applicant in writing of the decision of SSQC within a week and inform the applicant of further action.

6.13. Regarding the withdrawal of the doctoral thesis before the promotion meeting, the council submits a notice for publication in the official publications "Latvijas Vēstnesis" and "Zinātnes Vēstnesis" within a week after receiving the revocation.

6.14. After receiving a positive assessment from the SSQC, the applicant submits

to the PC secretary of the relevant science branch:

6.14.1. doctoral thesis in 6 copies (3 for reviewers, 3 for libraries);

6.14.2. summary of the doctoral thesis in Latvian and in a foreign language (the number of summaries is determined by PC, including 2 copies for the BIA Library);

6.14.3. doctoral thesis in electronic form;

6.15. PC Secretary:

6.15.1. sends the thesis and summary to each reviewer;

6.15.2. not later than two weeks before defending the thesis, submits one copy of the doctoral thesis and two copies of the summary of the doctoral thesis in the BIA Library's open access fund together with the cover letter, as well as sends the doctoral thesis in electronic form and ensures that it is posted on the BIA website two weeks before the defense of doctoral thesis.

7. Public defense of the thesis and awarding of the degree

7.1. The meeting of the Council, which decides on the promotion, is open. All interested persons may participate in the meeting, ask questions to the applicant, the council and reviewers, as well as comment on the doctoral thesis.

7.2. In the council meeting where the promotion is held, thesis reviewers participate with decision-making voting rights. The meeting of the council is decisive if no less than half of the number of voting experts of the council and no less than two reviewers participate in it.

7.3. At the Promotion meeting:

7.3.1. the secretary of the council reports on the documents submitted by the applicant, all decisions that have been made regarding the promotion, and introduces the applicant's biography to those present;

7.3.2. those present have the right to ask questions about the information provided by the secretary of the council;

7.3.3. the applicant reports on the doctoral thesis and answers the questions of those present about the content and results of the doctoral thesis;

7.3.4. the council listens to and discusses the reviews of the reviewers, as well as the applicant's academic discussion with the reviewers;

7.3.5. the council listens to the feedback of the thesis supervisor (consultant) about the applicant's academic activity.

7.4. The decision to award or refuse to award a degree is made by the council by open voting, with a simple majority of votes present. If the votes are equally divided, the council holds a discussion and votes again. If, after repeated voting, the votes are equally divided, the council will review the thesis again, but no earlier than one month and no later than six months after the promotion meeting, in which the decision was not made. Until the next meeting of the council, the applicant has the right to make corrections in the doctoral thesis after coordination with the chairman of the council. The council informs the applicant, the academy and the commission in writing about the decision made within a week.

7.5. Within one month after the adoption of the decision referred to in paragraph 7.4 of these regulations, the commission has the right to request in writing from the council any documents related to the specific promotion and to contest the council's decision, if it is found that the doctoral thesis does not comply with the requirements for awarding the degree or the promotion procedure has not been followed.

7.6. If the commission disputes the decision of the council referred to in Clause 7.4. of these regulations, the academy has no right to issue the applicant a degree award diploma until the dispute has been resolved in accordance with the procedures specified in Chapter VIII of the Regulations No. 1001 of the CM of the Republic of Latvia.

7.7. If objections of the commission mentioned in paragraph 6.6 or 7.5 of these regulations regarding the compliance of the doctoral thesis with the requirements for awarding the degree are recognized as justified, the council returns the doctoral thesis to the applicant for revision. The applicant may resubmit the doctoral thesis after eliminating the indicated deficiencies, but no earlier than one year after receiving objections from the commission mentioned in paragraph 6.6. or 7.5. of these regulations. If a formal violation of the promotion procedure is found, the council will re-organize the promotion meeting within two months.

7.8. If the commission has contested the decision of the council on awarding the degree and the objections of the commission mentioned in paragraph 7.5. regarding the compliance of the doctoral thesis with the requirements for awarding the degree are recognized as justified, the academy removes the

chairman of the council and appoints another member of the council as the chairman of the council.

7.9. After a positive PC assessment, the PC secretary:

7.9.1. no later than six months after the decision of PC to award a doctoral degree transfers the case of awarding a doctoral degree to the archive of the BIA;

7.9.2. no later than five days after the defense of the doctoral thesis, the PC decision on the awarding a scientific degree shall be submitted for publication in "Zinātnes Vēstnesis";

7.9.3. no later than one week after awarding a degree, 2 copies and summaries of the doctoral thesis together with the cover letter are submitted to the Department of Mandatory Copies of the Republic of Latvia;

7.9.4. notifies the BIA Library about awarding or not awarding a degree.

7.10. After awarding the degree, the BIA Library transfers the doctoral thesis and its summaries to the library's permanent collections and adds a link to the electronic full-text version of the doctoral thesis and its summary to the electronic catalog. In case of a negative decision, the thesis is returned to the applicant.

7.11. The BIA issues a degree award diploma no earlier than six weeks and no later than six months after the council's decision to award the degree, if this decision has not been contested.

7.12. With the awarding of a scientific degree, a person acquires the rights of a scientist specified in Article 8 of the Law on Scientific Activity of the Republic of Latvia, as well as the right to apply for academic positions. The scientific degree is awarded for life and the scientist has the right to use it in official correspondence.

8. Challenging and appealing decisions

8.1. The decisions and actual actions taken by the academy, council or commission can be challenged in the Latvian Council of Science within a month.

8.2. The decision of the Latvian Council of Science can be appealed to the court in accordance with the procedures specified in the Law on Administrative Procedure. The given regulations are accepted, amended and canceled by the Senate of the Academy.