



RISEBA

UNIVERSITY
of Business, Arts and Technology

**INTERNAL AND EXTERNAL REGULATIONS
IMPACTING THE DOCTORAL PROGRAMME**



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1. Internal regulations

The Joint Doctoral Programme in Business Management is implemented by two partner universities – RISEBA University of Business, Arts and Technology and BA School of Business and Finance – together with cooperation partners Ventspils University College, the Stockholm School of Economics in Riga (SSE Riga) and the University of Kaiserslautern (Germany).

The programme has been developed on the basis of the Law on Institutions of Higher Education, the Law on Scientific Activity, and Regulations of the Cabinet of Ministers No. 1001 (27 December 2005), Procedures and Criteria for the Conferral of a Doctoral Degree in Science (Promotion).

The programme is accredited until 25 June 2019 (Study Direction Accreditation Page No. 224).

1.1. The Purpose of Doctoral Studies

The purpose of the doctoral programme is to educate students who could make essential contributions in the relevant fields through rigorous academic research that influences practice. Research conducted to obtain a doctoral degree is the highest level of research in academia. Our doctoral programme aims to produce researchers for universities and for employment in non-research industries, including government and the private sector. One widely acknowledged purpose of doctoral research is training students for academic positions. The doctoral degree qualifies the researcher to hold a university professorship or conduct research in academia. Doctoral research gives students the needed skills for developing hypotheses, testing theories by studying, observing or conducting experiments, and modifying those assumptions based on the data collected. While doctoral research is still primarily considered to be the path to academic and research positions, there is a growing interest from the private sector in seeking doctoral degree holders for jobs in non-academic and non-research environments. The secondary purpose of doctoral research is to teach candidates the scientific approach to conducting research, thereby preparing students for research careers beyond academia. The doctoral programme includes intensive training and coursework in research methodologies – recommendations for conducting qualitative research such as structured interviews, quantitative research such as surveys, statistical analysis, etc. These competences and research skills are useful outside of academia for solving relevant social and business problems.

1.2. Key Strengths of the Doctoral Programme

PhD thesis supervisor from an international environment – international professors

The best faculty and visiting professors from partner universities: RISEBA, BA, SSE Riga and the University of Kaiserslautern

Flexible and comfortable course schedule for practising researchers

Individual approach and studies in small groups

Diverse mix of students from various business and research fields

1.3. Doctoral Programme in Details

Duration	Full-time studies – 3 years Studies in Latvian are scheduled every second weekend Studies in English are scheduled by modules three times per study year. Each module lasts 8-10 days. The exact dates are published on the webpages of both universities and on the Joint Doctoral Programme webpage: www.jointphd.eu
Study language	English, Latvian
Study courses and credits: Year 1 and Year 2	Theoretical Courses 32 CP (48 ECTS)
Study courses and credits: Year 3	PhD thesis 88 CP (132 ECTS)
Research and teaching activities	During their study years doctoral students should participate in: <ul style="list-style-type: none">• Teaching activity• International scientific conferences, seminars, etc. are strongly recommended• Research papers published in research journals are greatly appreciated for doctoral students

1.4. Doctoral programme tasks

- Training in theoretical study courses
- Research plan development and implementation
- Discussion of research results, including participation at scientific conferences and seminars
- PhD thesis development and defence

1.5. Study programme description

The study programme's mandatory and elective study courses comprise the main theoretical areas of business management: strategic management, financial management, marketing management, risk management, crisis management, quality management, managerial economics and other study subjects. In the content of the study courses great importance is attached to the research presentation skills, analytical skills and research methodology. The majority of the programme (80 credit points) consists of students' research work (publications, participation in international conferences and seminars, preparation and defence of the Promotion Thesis).

The study programme's educational concept is rooted in the development of new personal knowledge based on in-depth research of management problems in problem-oriented study courses and on interactive collaboration.

With the goal of integrating international best practice into the programme, on 21 March 2017, at the Joint Doctoral Programme Committee Meeting (Protocol No. 17/5-18/3) several changes in the programme were approved. The changes were introduced on the basis of the EQUAL GUIDELINES FOR DOCTORAL PROGRAMMES IN BUSINESS AND MANAGEMENT (EQUAL Improving Business Education).

The balance of credit points between theoretical study courses and research work has been changed in favour of the latter:

1. The theoretical part was reduced from 40 credit points to 32 credit points:
2. Part A was reduced from 25 credit points to 22 credit points (Research Design from 5 credit points to 4 credit points; Theoretical Aspects of Research from 4 credit points to 3 credit points; the study course Financial Management (4 credit points) was replaced by Contemporary Research in Financial Management (3 credit points)).
3. Parts B and C were reduced from 15 credit points to 10 credit points (the Part B courses Marketing Management (4 credit points) and Project Management (3 credit points) were removed from the programme).
4. The Part C study course English for Specific Purposes was replaced by Academic Writing in English.
5. Part D was expanded from 80 to 88 credit points; the study course Doctoral Student Seminars (4 credit points) was introduced.
6. 88 credit points were allocated to the preparation, completion and defence of the Promotion Thesis.

As of 2017 the English track will comprise 3 modules (October, February and May).

To ensure the uniformity and transparency of the study process, the Guidelines for Developing, Completing and Defending the Promotion Thesis were developed and an outline for Promotion Thesis assessments was developed and approved. The Joint Doctoral Programme incorporates the practice of two academic supervisors and a perfected system of yearly reviews of doctoral students.

The website www.jointphd.eu is updated regularly to inform the public about the Joint Doctoral Programme's activities, promote the programme and recruit international students.

6. Anticipated results of the study programme

The Joint Doctoral Programme's anticipated study results are oriented toward preparing doctors of science and correspond to the current demands of societal and economic development in Latvia:

1. In the business management subfield of the field of business administration it is necessary to prepare suitable researchers who have already developed their research capacity at the level of doctoral education, on the basis of Latvian and international business principles, needs and current problems.
2. Students of the programme should be able to demonstrate that they know and understand current theories and insights and should master contemporary research methods in the field of business administration or in the professional sphere and the connections among various spheres.
3. They should be able to independently evaluate and select methods suitable for scientific studies; they should make a contribution to expanding the boundaries of knowledge or offer a new understanding of existing knowledge and its use in practice, conducting large-scale original research, part of which is on the level of internationally cited publications.
4. They should be able to increase their academic qualifications independently, carrying out scientific projects and attaining success according to the given criteria, and lead research or development activities at companies, institutions and organisations where broad research knowledge and competence are required.
5. They should be able to carry out independent, critical analysis, synthesis and evaluation, fulfil important research or innovation tasks, and propose a research idea independently, planning, structuring and leading large-scale scientific projects, including in an international context.
6. Every student in the doctoral programme can, as an individual, express their creative and innovative potential, which will be their key added value as emerging researchers and/or business and financial professionals.

7. Requirements at the start of the study programme

Prerequisite for the study programme: a master's degree in social sciences, the humanities or technical sciences. Candidates should have at least 2 years of work experience in business, institutional or educational management and sufficient knowledge of management studies.

At the beginning of studies in the programme, students' previous work experience in business management, institutional management or education is assessed along with adequate knowledge in business management studies. Competence and knowledge in business management allows a doctoral student to quickly determine the topic of their research work and effectively begin research activity in their chosen field. The students' scientific research work is related to the main areas of business administration studies and to the basic questions of business management – the flow of finances in an organisation – or to strategic questions of business leadership.

8. Evaluation of knowledge

Knowledge is evaluated according to two fundamental principles:

1. the openness of knowledge and competence evaluation;
2. the principle of evaluation as mandatory.

Exams and acquisition of the programme are evaluated on a 10-point scale:

very high level of acquisition (10 – “outstanding”, 9 – “excellent”),

high level of acquisition (8 – “very good”, 7 – “good”),

middle level of acquisition (6 – “almost good”, 5 – “mediocre”, 4 – “almost mediocre”),

low level of acquisition (3 – “poor”, 2 – “very poor”, 1 – “extremely poor”).

RISEBA uses the University of Salford (UK) evaluation system, converting percentages to grades as follows:

Percentage	Grade
40% to 49%	4
50% to 59%	5
60% to 69%	6
70% to 79%	7
80% to 89%	8
90% to 95%	9
96% and higher	10

(detailed explanation in Appendix 1)

9. Compliance of the study programme with regulatory acts

The doctoral study programme complies with and is implemented in accordance with the following regulatory acts:

- Doctoral studies take place in accordance with the Law on Institutions of Higher Education, Article 55: Study Programmes.
- The doctoral programme ensures students further acquisition of theoretical knowledge and research skills, preparing them for independent scientific research activity in their chosen scientific field or subfield.
- The structure and content of the doctoral programme promotes the acquisition of in-depth competence in using the knowledge attained, including scientific insights and conclusions.
- The scope of studies complies with the Law on Institutions of Higher Education, Article 57: Duration of Studies. Each year of doctoral studies comprises 40 credits points (60 ECTS) of full-time studies and 30 credit points (45 ECTS) of part-time studies. In total, the programme comprises 120 credit points (180 ECTS).
- Doctoral diplomas are issued in accordance with Regulations of the Cabinet of Ministers No. 202 (16 April 2013), Procedure for Issuing State-Recognised Documents Certifying Higher Education.

APPROVED

Meeting of the Senate

17 June 2015, Protocol No. 15/1.1-07/06

Joint Doctoral Programme in Business Management STUDY PROVISIONS

1. General provisions

1.1. The accredited Joint Doctoral Programme in Business Management (hereinafter "Doctoral Programme") is implemented in accordance with the regulatory acts of the Republic of Latvia, international contracts, the Charter of RISEBA University of Business, Arts and Technology (hereinafter "RISEBA University") and the present provisions.

1.2. The Doctoral Programme is implemented by two institutions of higher education: RISEBA University and BA School of Business and Finance.

1.3. These provisions regulate the implementation of the Doctoral Programme at RISEBA University.

1.4. The aim of the Doctoral Programme is to prepare international-level scientists for scientific research and academic work as well as scientific and managerial work at government and private institutions.

1.5. At RISEBA University the Doctoral Programme is led by the Doctoral Programme Director and managed by the Doctoral Programme Manager.

1.6. The rights and obligations of doctoral students are stipulated by the regulatory acts of the Republic of Latvia, the RISEBA University Charter, the Code of Ethics for Scientists developed by the Latvian Academy of Sciences and the Latvian Council of Science, and the study contract for the Doctoral Programme.

1.7. Admission to the full-time and part-time Doctoral Programme takes place in accordance with RISEBA University's admissions provisions.

2. Matriculation

2.1. The Doctoral Programme accepts candidates with a master's degree in social sciences, the humanities or technical sciences. Candidates should have at least 2 years of work experience in business, institutional or educational management and sufficient knowledge of management studies. They must provide an essay on the topic of their Promotion Thesis. Business management experience needs to be attested by a suitable reference. The documents submitted are evaluated by the Doctoral Programme Director and the Vice Rector for Research and, if necessary, they may recommend supplementary studies.

2.2. International candidates should have an education equivalent to a Latvian master's degree. The foreign diploma's suitability must be certified by the Academic Information Centre.

2.3. Candidates who wish to begin doctoral studies at RISEBA University by transferring from other institutions of higher education must, in addition to the requirements mentioned in RISEBA University's admissions provisions, provide an academic transcript from their previous institution. It should be the original transcript with a signature from the relevant official and the institution's seal. International candidates must submit a certified translation of the academic transcript along with the certificate from the Academic Information Centre regarding the education's recognition and equivalence to Latvian education. International candidates (except citizens of EU and EEA countries) must also present a temporary residence permit for the Republic of Latvia.

2.4. The Doctoral Programme Director compares subjects and credit points received, and the Joint Doctoral Programme Committee decides on matriculation possibilities. Credit points are only transferred for study subjects that correspond to the Doctoral Programme.

- 2.5. The doctoral student should fulfil any missing credit points in the course of the current study year.
- 2.6. The doctoral student must pay a study fee for acquisition of missing credit points according to the cost per credit point stipulated for doctoral studies.
- 2.7. The duration of studies in the Doctoral Programme is three years for full-time students and four years for part-time students.
- 2.8. Candidates are matriculated into the Doctoral Programme by the Rector's order. Within one year of the order, the Doctoral Programme Director and relevant RISEBA University department head, working together with the doctoral student, submit a proposal to the RISEBA University Scientific Committee regarding the supervisor of the student's Promotion Thesis.
- 2.9. The supervisor of the doctoral student's Promotion Thesis may be a person with a scientific doctoral degree who conducts research in the corresponding scientific field (subfield), publishes research in this field, and presents at international conferences. The RISEBA University Scientific Committee approves the supervisor of the Promotion Thesis and the doctoral student's chosen topic.
- 2.10. Within one year of admission to doctoral studies the doctoral student develops a study plan, which is signed by the supervisor of the Promotion Thesis and submitted to the Director of the Doctoral Programme. Once the Director's signature is attained, the doctoral student submits the plan to the RISEBA University Scientific Committee for review and approval. Upon the Scientific Committee's approval, the student resubmits the plan to the Joint Doctoral Programme Committee for approval.
- 2.11. The submitted plan is reviewed and accepted by the relevant RISEBA University professors and associate professors. The doctoral student submits the accepted plan to the RISEBA University Scientific Committee for approval.

3. Implementing the study plan

- 3.1. At the beginning of each semester, the doctoral student receives a study schedule with mandatory and elective study courses offered in the semester.
- 3.2. Doctoral students are offered elective study courses for a given semester through a survey. According to their research interests, they sign up for the electives offered. An elective is implemented if at least 10 doctoral students sign up.
- 3.3. The doctoral student coordinates their research work (academic publications, participation at international conferences and seminars, the research work as a whole) with the supervisor of their Promotion Thesis.
- 3.4. Once a year the doctoral student must report on the implementation of their study plan and develop the plan for the following year. The report and plan are signed by the supervisor of the Promotion Thesis and the student submits them to the Director of the Doctoral Programme.

4. Rights of the Doctoral Student

- 4.1. In the course of studies, the doctoral student has the right to request a pause in studies (academic leave) of up to two years in total. During the pause, the doctoral student's status and study format in the programme is preserved.
- 4.2. The reason for a pause in studies may be health, social or family issues, a more than three-month-long period of research work abroad, or the necessity to consolidate and analyse research results. Academic leave is granted by the Rector's order on the basis of the doctoral student's application, which is supported by the Director of the Doctoral Programme.

4.3. In the course of studies, the doctoral student has the right to transfer from one study format to another, taking into consideration that in accordance with the accredited programme the total duration of studies is 3 years for full-time students and 4 years for part-time students. Periods of academic leave are not included in the total duration of studies.

4.4. The doctoral student has the right to change their study format from full-time to part-time and vice versa, coordinating this with the supervisor of their Promotion Thesis and the Director of the Doctoral Programme.

5. The Promotion Thesis and study provisions

5.1. In successfully completing the Doctoral Programme, the doctoral student completes the theoretical part, conducts research work and prepares a Promotion Thesis that reflects original research results which must be published.

5.2. After successfully completing the theoretical part of the Doctoral Programme, the doctoral student receives an academic transcript with a summary of the credit points acquired in the course of studies.

5.3. The Promotion Thesis is reviewed and accepted by the Doctoral Study Programme and sent for review to the RISEBA University Scientific Committee. If the Scientific Committee approves it, it is submitted for review to the Joint Doctoral Programme Committee. Upon approval by the latter, it is submitted to the Promotion Committee. If the doctoral student successfully defends their Promotion Thesis at the Promotion Committee, the doctoral student is granted a doctoral degree.

Vice Rector of Teaching and Learning

Ilmārs Kreituss

Vice Rector for Research

Tatjana Vasiljeva

ACCEPTED

at the meeting of the Joint Doctoral Programme Committee

_____, 201____, Protocol No. _____

CONFIRMED

Professor V. Kozlinskis

Director of the Doctoral Programme in Business Management

*Approved
at the Meeting of the Joint Doctoral Programme Committee)
7 March 2008*

OBLIGATIONS OF THE ACADEMIC SUPERVISOR

Joint Doctoral Programme in Business Management

1. The academic supervisor (hereinafter "supervisor") is responsible for supporting the doctoral student in the student's research and maintaining research standards in the student's work.
2. Together with the doctoral student the supervisor reviews the student's implementation of the yearly study plan and plans the tasks for the following study year. According to the deadlines, the doctoral student submits a report on work completed in the study year to the Joint Doctoral Programme Committee for review. The report is coordinated with the supervisor.
3. According to the deadlines, the doctoral student submits a study plan for the next period to the Joint Doctoral Programme Committee for review. The plan is coordinated with the supervisor.
4. The supervisor facilitates the doctoral student's insights regarding important issues in the theoretical development of the chosen research area.
5. The supervisor advises the doctoral student on the planning of the Promotion Thesis's development and regularly reviews the course of the work's development and its correspondence to time planning.
6. The supervisor advises the doctoral student on the sequential development of the research component of the Promotion Thesis in such a way that the work can be submitted according to the deadlines.
7. The supervisor is available to the doctoral student for three hours per month and carries out any other consulting commitments agreed on with the student.
8. The supervisor facilitates the doctoral student's participation at doctoral seminars as well as broader conferences so that the student may present and discuss the results of research work.
9. The supervisor regularly examines the doctoral student's Promotion Thesis as it develops, analysing its parts and following their formation into a complete work of appropriate content and size.
10. The supervisor reads, analyses and submits a review to the doctoral student regarding the student's publications and reports regularly on the completion of these publications.

Chairman of the Doctoral Study Programme
V. Kozlinskis

Preparation and formatting of a doctoral thesis¹

Content and volume of a doctoral thesis

A thesis for the Joint Doctoral Programme in Business Management is prepared in the field of business administration, in the subfield of business management. The dissertation paper can be in one of three formats:

- a dissertation
- a thematic collection of academic publications
- a monograph

The recommended length of a **dissertation** is 140 to 190 pages, not including annexes (with 12-point font size and 1.5 line spacing). The results must be published in at least three academic papers that are published or have been accepted for publication in publications included in the SCI.

A **thematic collection of academic publications** consists of the author's academic articles published in peer-reviewed scholarly publications, offering a unified view of the main results of the work. At least one of these articles must be published or accepted for publication in a publication on the SCI list. The applicant must be the only author of at least one article. The total volume of these academic articles must be no less than 90 pages (with font size 12 and 1.5 line spacing).

A **monograph** is a reviewed academic book dedicated to one topic in the field of management that is available internationally in repositories of academic information and contains a bibliography and a summary in a foreign language. The minimum length of a monograph is 150 pages (with font size 12 and 1.5 line spacing).

A summary is required for both a doctoral thesis and a thematic collection of academic publications. This summary must be added to the dissertation in both Latvian and English, and its length must be between 40,000 and 80,000 characters.

Dissertation

Structure of the dissertation:

- Title page
- Second page
- Table of contents
- List of abbreviations (if necessary)
- Introduction
- Body with description of the topic, divided into chapters and subchapters
- Conclusions and recommendations
- List of literature and sources used (references)
- Acknowledgements (doctoral candidate's choice)
- Appendices (if required)

The dissertation should contain three to four chapters, which can then be divided into sub-chapters. Generally, the first chapter provides the theoretical basis for the research problem as well as foreign experience; the second chapter describes the existing research on the subject, analysing statistical data obtained through surveys, interviews, other research methods and other activities necessary for the research; and the third chapter offers a solution to the research problem by providing arguments, conclusions and recommendations.

The structure of the dissertation may vary depending on the topic and the doctoral student's intentions.

¹ In developing this section, the methodological materials of the University of Latvia and Riga Technical University were used.

Technical requirements

In the text, the first line of a new paragraph must be indented 1 cm. Each chapter should start on a new page. Chapter headings should be written in capital letters, while subheadings should be in bold and in lowercase. For each chapter and subchapter the chapter number, including the serial number of the subdivision (for example, 1.1, 1.2, 1.3, etc.), must be indicated before the name.

Tables, images and formulas should also be numbered within chapters.

The heading's distance from preceding and subsequent text should be one line. Pages should be numbered in the middle of the page with Arabic numerals.

The dissertation text should be presented in a computer layout on standard-sized pages (A4-210-297 format), printed single-sided and also presented in an electronic version.

The font should be Times New Roman with font size 12 for body text, font size 14 for chapter titles, and 1.5 line spacing. Page margins must be 3 cm left and 2 cm right, top and bottom.

Quotation and reference design

The following author-oriented reference (referencing) method must be used for literature:

Parentheses should be used to indicate the author's surname(s) (surname), followed by the year of publication of the source and the number of the page from which it is quoted. Authors' surnames should be written in the original language (for example, Хазин М. would be written in Cyrillic). If one author has a number of literary sources in the same year that are referenced, then a, b, c, etc. should be written after the year, e.g. Lyons et al., 2012a, 140; Lyons et al., 2012b, 337–338.

Information about companies or organisations should be presented in parentheses.

Illustrations

Use the same term, i.e. "image", to mark all illustrations of work such as photos, sketches, diagrams, graphs, etc. Images should be numbered within each chapter, and each image should have its own name. The image number and title should be written symmetrically below the illustration. The title should be written in title style at the end of the paragraph name. For example:



Fig. 1.3. Image Name

If an image requires an explanation, it should be written underneath the name in lower case (font size 10). In the text used to illustrate an image, reference should be made to the image, e.g. "Fig. 1.3. provides the schema..."

Tables

Tables in the dissertation should be numbered, and each should have its own name. The name of the table should be written symmetrically above the table in title style at the end of the item name. Tables should be numbered by chapter with Arabic numerals. The table number should be written on the right side of the table name, e.g.:

Name of the table Table 1.3

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A reference to the table should be made in the text in the appropriate place; for example: "As shown in Table 1.3, the data..."

Formulas

Mathematical formulas included in the dissertation should be provided in the text, but each one should be written on a separate line. The symbols used in the formula provide explanation behind the formula. The formulas should be numbered within each chapter with Arabic numerals placed to the right of the formula. The number should be enclosed in parentheses, e.g.:

$$Q_g = q \cdot N_g, \quad (1.1)$$

where Q_g – amount of material required per year, kg;
 q – material consumption rate, kg/unit;
 N_g – annual production volume

If a formula takes several lines, the number should be written on the right-hand side of the last line. When referring to a formula in the text, its number should be written in the same way as the formula in parentheses.

Formatting the List of References

The references should be arranged in accordance with the requirements of standard LVS ISO 690:2010 "Information and documentation. Guidelines for bibliography and referencing of information resources". The name and publishing date system should be used, i.e. the Harvard system.

References are arranged according to the author's last name in alphabetical order. The source descriptions should be in the same language in which they are written (if the source is used in English, it must be formatted in English). At first all sources in Latin characters should be listed in alphabetical order – only after that any sources in Cyrillic characters.

Examples of references can be seen in Appendix 2.

Appendices

Various items that do not fit into the main body of the work should be added to the work at the end with the common title APPENDICES on a single separate page.

Each appendix should start with a new page, with its page number in the upper right corner; for example: Appendix 1, Appendix 2, etc. Below this, the title of the appendix should be centred on the next line.

If the dissertation has only one appendix, then a common title is not written and an appendix number is not given.

Reference should be made to the appendix in the text of the dissertation; for example: "in Appendix 1, details of..."

The summary should include:

- A title page on which the title of the work is written, the format of the work (promotion work, collection of publications), the name and surname of the author, the academic field and subfield, the degree to be awarded, the name of the institution of higher education (RISEBA, BA) and the year of submission
- A second page indicating the place and time of the development and approval of the doctoral thesis, the name and academic degree of the academic supervisor and reviewers and the time and place of defence of the doctoral thesis
- Annotations (not more than one page)
- The importance of the chosen topic and justification of the choice
- Hypotheses

- Goals and tasks of the doctoral thesis
- Research limitations
- Theoretical and methodological basis of the work
- Methods used in the study
- Novelty of the study
- Theses for defence
- Volume and structure of the doctoral thesis
- Focused presentation of the doctoral thesis
- Theoretical and practical importance of the doctoral thesis and probation of the research results
- Main conclusions and proposals
- List of academic publications related to the doctoral thesis
- Information on academic seminars and conferences outlining the results of the research and a list of published theses
- Data on academic projects that the work is related to
- Main sources of academic literature used in the work and in the summary
- Acknowledgements to the individuals and organisations that have contributed to the work (optional)

Presentation of the doctoral thesis

The presentation of the doctoral thesis takes 20 to 25 minutes.

The presentation should include information from the summary paper and doctoral work:

- the importance of the chosen topic and justification of the choice
- hypothesis
- goals and tasks of the doctoral thesis
- research limitations
- theoretical and methodological basis of the work
- methods used in the study
- novelty of the study
- theses for defence
- volume and structure of the work
- a focused presentation of the dissertation paper
- the theoretical and practical importance of the doctoral thesis and the probation of research results
- main conclusions and proposals
- list of academic publications related to the doctoral thesis
- probation at academic seminars and conferences outlining the results of the research and a list of published theses
- information on academic projects that the work is related to.

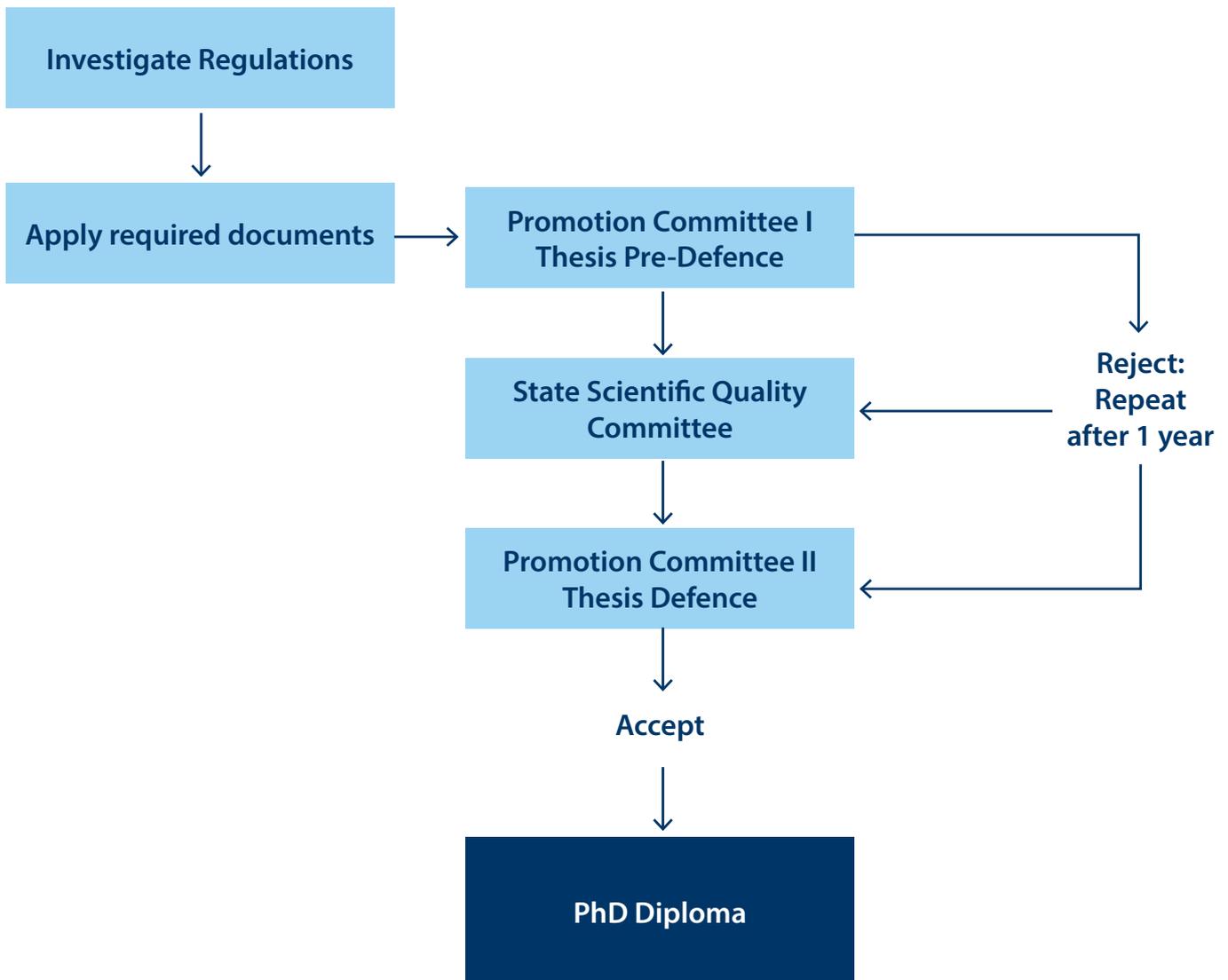
Recommended schedule for the doctoral thesis and stages of supervision

	Activity	Time (from the beginning of doctoral studies)	Supervision
1	Submission of doctoral thesis proposal	Up to 6 months (months 0–6)	Decision of the Joint Doctoral Programme Committee
2	Theoretical courses in the doctoral programme	Up to 18 months (months 0–18)	Examinations for theoretical courses in the doctoral programme (29 CP)
3	Preparing the theoretical part of the doctoral thesis	Up to 24 months (months 12–24)	Test on the study course Theoretical Aspects of Research (3 CP)
4	Research part of the doctoral thesis	Up to 36 months (months 24–36)	Conclusion of the supervisor and opinion of the institution of higher education
5	Seminars for third and fourth-year doctoral students	Up to 40 months (months 24–40)	Presentation of the dissertation paper in seminars (4 CP)
6	Draft of the doctoral thesis	Up to 42 months (months 37–42)	Assessment of the scientific supervisor and opinion of the institution of higher education

Assessment of Doctoral Thesis (4th or 5th Year)

	Type of Assessment	Time Required	Assessing Agent
1	Discussion of doctoral thesis	1–2 months	Institution of higher education
2	Second discussion of doctoral thesis	1–2 months	Joint Doctoral Committee
3	Acceptance of doctoral thesis for defence	1–2 months	Promotion Committee
4	Examination of doctoral thesis by the State Scientific Quality Committee	Up to 3 months	Scientific Council
5	Defence of doctoral thesis	1–2 months	Promotion Committee (secret ballot)

Promotion Committee PhD Thesis defence



2. External regulations

LATVIAN ACADEMY OF SCIENCES REQUIREMENTS FOR SCIENTIFIC PUBLICATIONS

Introduction

Scientific research is considered completed when its results have been published.

The right of the author of the research to choose the format and edition to publish the results in is not questionable.

Classification of scientific publications according to format is provided below. Scientific publications within each format have been grouped according to their availability.

The classification of scientific publications does not provide a qualitative assessment of scientific publications.

Classification of scientific publications²

1. Articles in scientific journals

1.1. Scientific articles indexed in the Web of Science and/or SCOPUS databases and/or included in ERIH (*European Reference Index of the Humanities*) database journals of the INT1 or INT2 category.

1.2. Reviewed scientific articles published in other international and Latvian scientific journals with an ISSN code, an international editorial board, distributed internationally and including articles by various scientists from different countries, as well as articles in ERIH database NAT category journals.

2. Scientific books

2.1. Reviewed scientific monographs or collective monographs with an ISBN code, published by publishing houses that comply with criteria referred to in the appendix or included in the *Web of Science Book Citation Index*;

2.2. Scientific monographs or collective monographs with an ISBN code, published by Latvian publishing houses that comply with criteria referred to in the appendix;

2.3. Theses (not including their manuscripts).

3. Reviewed editions and publications

3.1. Scientific journals, editions or collected articles that comply with the requirements of Clause 1.1, 1.2, 2.1 or 2.2.

4. Publications in conference proceedings / article or section in collected articles / scientific books

Articles or sections in collected articles / scientific books with an ISBN code published by publishing houses that comply with requirements referred to in the appendix, including publications in conference proceedings indexed in the *Web of Science Conference Proceedings Citation Index* and/or SCOPUS.

² Scientific publications published in paper or electronic form (CD-ROM, DVD or published on websites).

5. Published conference abstracts

5.1. Conference abstracts indexed in the *Web of Science* and/or SCOPUS databases.

6. Other publications

6.1. Research overviews and reports (commissioned by state institutions or municipalities or on the level of EU and ERA (*European Research Area*) policy)³.

Criteria for publishing scientific monographs and collective monographs

1. A scientific monograph is a scientific book written by one to three authors and published in a separate edition dedicated to one scientific theme / issue; it has been reviewed and is available internationally at libraries of scientific information and includes a bibliography and a summary in a foreign language. A scientific monograph reveals the results of fundamental or applied research obtained using scientific methods recognized in the respective sphere and includes elements of theoretical or practical novelty. The volume of a scientific monograph significantly exceeds the volume of a scientific article.

2. A collective monograph (book) is a set of articles by a group of authors dedicated to one scientific topic / issue, where the authors of the articles are indicated and the edition has one or two scientific editors as well as an analytical introductory article that, regardless of what language the collective monograph (book) is written in, is also available in a foreign language. The authors of a collective monograph are its scientific editor / editors.

3. A scientific monograph, collective monograph or collection of articles (hereinafter "monograph") has a high quality standard if the following criteria are complied with when publishing it with a Latvian or foreign publishing house:

3.1. the decision to publish the monograph with a Latvian publishing house has been taken by the council of science of the scientific institution represented by the author / authors and is verified by a statement issued by the respective council of science;

3.2. a monograph published in Latvian includes a summary in a foreign language;

3.3. the monograph is reviewed by at least two independent reviewers, one of whom is preferably a foreign reviewer;

3.4. the experts reviewing the monograph do not represent the workplace of the author / authors of the scientific monograph;

3.5. the names of the reviewers of the monograph are given on the title page of the scientific monograph;

3.6. a summary of the monograph has been published in the database of scientific publications of the Latvian Council of Science.

³ Published and available in paper or electronic form (CD-ROM, DVD, flash memory or websites).

CM Regulations 1001

Regulations of the Cabinet of Ministers No. 1001

Riga, 27 December 2005 (minutes no. 77, §2)

Procedures and Criteria for the Conferral of a Doctoral Degree in Science (Promotion)

*Issued pursuant to the first and second part of Section 11 of the
Law on Scientific Activity*

I. General Provision

1. These Regulations prescribe the procedures for the conferral of the doctoral degree in science (hereinafter "Promotion") and the criteria by which the holder's academic performance conforms to the requirements of an accredited doctoral programme (hereinafter "programme") if the doctoral degree (hereinafter "degree") is claimed by persons who have not studied in the respective programme.

II. Promotion Thesis

2. The Degree is conferred for a doctoral thesis that is independently developed under the supervision of an experienced scientist (hereinafter "Thesis Supervisor"), publicly defended, and contains original scientific research results and new insights into the respective scientific field or subfield. To qualify for a second degree in another discipline, it is possible to develop a thesis without a Thesis Supervisor using the industry's leading experts' (hereinafter "Consultant") advice. The main results of a Promotion Thesis must be published in scientific journals.

3. A Promotion Thesis may be:

3.1. A thesis;

3.2. A thematically unified set of scientific publications. Publications must be published or accepted for publication in research editions which are anonymously reviewed, internationally available from repositories of scientific information and quoted in internationally available databases;

3.3. A monograph – a reviewed scientific paper devoted to a single theme which is internationally available from scientific information repositories and contains a bibliography and a summary in a foreign language.

4. Requirements for the volume, structure and design of the Promotion Thesis are established by the respective programme.

III. Promotion Council

5. The composition of the Promotion Council (hereinafter "Council") in the scientific field or subfield is determined by the relevant institution of higher education. The Council must consist of at least five scientists who are experts of the Latvian Council of Science in the scientific field, two of whom are experts in the subfield of science in which the Promotion Thesis is defended. The Council may include foreign scientists if consent from the State Scientific Qualification Commission (hereinafter "Commission") is received. The term of office of the Council may not exceed six years. The Council acts in accordance with regulations approved by the institution of higher education.

6. All decisions of the Council, with the exception of the decision regarding the conferral of an academic degree, are taken by open ballot with a simple majority vote. In the event of an equal vote, the Chairperson of the Council has the deciding vote.

7. The institution of higher education ensures the operation of the Council. It also covers the costs of the defence from the funds provided for the implementation of the doctoral programme. If the Promotion Thesis author (hereinafter "Applicant") has not acquired the appropriate programme or has acquired it more than two full calendar years earlier without being conferred a degree, the decision on covering the costs of the Promotion proceedings will be adopted by the institution of higher education.

IV. Doctoral Thesis Submission

8. In order to obtain a degree the Applicant must submit the following documents to the institution of higher education delegated promotion rights in the respective scientific sector:

8.1. An application with the corresponding approval from the Thesis Supervisor or a Consultant;

8.2. The Promotion Thesis;

8.3. A summary of the Promotion Thesis in Latvian;

8.4. A statement from an institution of higher education on the implementation of the programme or examinations passed in the chosen field, subfield and foreign language;

8.5. Curriculum vitae;

8.6. A list and copies of scientific publications reflecting the results of the Promotion Thesis;

8.7. An excerpt from the minutes of the meeting of an institution of higher education or other research institution's department (where the doctoral thesis has been developed), confirming discussions of the Promotion Thesis, its scientific novelty and the Applicant's personal contribution.

9. If the Promotion Thesis is a set of thematic publications where the Applicant has co-authors or if it is a collective monograph, it must be accompanied by written consent from all the co-authors of publications included in the Promotion Thesis to use these publications for Promotion or acknowledgement from the corresponding (leading) author about the Applicant's personal contribution to the preparation of the publication.

10. The institution of higher education where the Applicant submits his or her documents for Promotion reviews formal compliance of the documents with these regulations within one week and if the Applicant:

10.1. Has acquired the respective programme, the Promotion Thesis will be passed on to the Council for review;

10.2. Has not acquired the respective programme, the Promotion Thesis will be passed on for review to the board of the department implementing the respective programme or to the scientific council which compares the academic activities of the Applicant to the requirements of the programme.

11. If there are deficiencies in the documents, the institution of higher education requests in writing that the Applicant should submit the missing or inadequate documents. The Applicant must submit the requested documents within two weeks. If the submitted documents do not comply with the requirements of these Regulations, the institution of higher education returns the documents to the Applicant, indicating the failure detected. In this case, the Applicant has the right to submit the documents again, but not sooner than after three months.

V. Conformity of the Applicant's Academic Activity to the Requirements of the Doctoral Study Programme

12. Within one month of the day of submission of the documents, the department of the institution of higher education or the scientific council decides on the conformity of the academic activities of an Applicant who has not acquired the respective programme. Upon making a decision, the following criteria must be observed:

- 12.1. An independently conducted, thematically unified study that provides new scientific insights and which is published or accepted for publication in scientific articles in the relevant field or subfield of science;
 - 12.2. Successfully passed Promotion exams of the programme;
 - 12.3. Scientific results of the Promotion Thesis have been presented at least at one international seminar and conference of the respective scientific field or subfield;
 - 12.4. The Applicant has supervised at least one student's study course thesis, qualification thesis, diploma paper (diploma project), bachelor thesis or master's thesis or has delivered lectures in the amount of at least one credit point at the institution of higher education or has supervised at least three students' practical activities;
 - 12.5. The Applicant has led a working group contributing to a specific part of the scientific project, participated in organising at least one international seminar or conference or has done research in cooperation with foreign scientific institutions, other scientific institutions of Latvia or enterprises.
13. If a decision on the conformity of the academic activity to the programme requirements is taken, the institution of higher education informs the Applicant within a week and forwards the documents for further consideration by the Council. If a decision is taken that the academic activities do not conform to the requirements of the programme, the institution of higher education indicates the justification and the documentation is returned to the Applicant.
14. The Applicant has the right to rectify the deficiencies and to resubmit documents, but not sooner than three months after the adoption of the decision by the institution of higher education.

VI. Evaluation of the Promotion Thesis

15. Within one month of receipt of the Promotion Thesis, the Council decides on its acceptance for public defence. The Promotion Thesis is accepted for public defence if it meets the following criteria:
- 15.1. The author of the Promotion Thesis has justified the choice of subject, has defined the objectives and tasks of the scientific research, has described scientific achievements in the subject research and the methods used, and has set out as well as discussed the results and insights obtained, summarising them in conclusions and theses to defend;
 - 15.2. The Promotion Thesis is a completed study, the results of which are essential to the relevant scientific subfield;
 - 15.3. The volume of the scientific thesis is in accordance with the requirements specified in the regulations of the Council;
 - 15.4. Modern methods of analysis and data processing have been used in the Thesis;
 - 15.5. The results of the Thesis have been published in scientific journals or a monograph or the related intellectual property has been patented;
 - 15.6. The results have been reported at international scientific conferences or seminars;
 - 15.7. The Thesis is not a fake or plagiarized, and no violation of other scientific ethics has been committed.
16. In accepting the Thesis for defence, the Council:
- 16.1. Nominates three reviewers, one of whom is an expert in the relevant scientific subfield of this Council, while the other two are subfield experts from other scientific institutions or organisations (preferably outside of Latvia);
 - 16.2. Determines the foreign language and the period in which to prepare the Promotion Thesis summary translation in order to ensure its international availability and discussion;
 - 16.3. Informs the Applicant in writing of the composition of the Council and reviewers;

16.4. Sets the Promotion meeting, which is not sooner than three months and not later than six months after the receipt of the Promotion Thesis;

16.5. At least two weeks prior to the Promotion's defence, announces it in the official newspaper "Latvijas Vēstnesis" (Latvian Journal) and "Zinātnes Vēstnesis" (Journal of Science). At the moment of announcement in "Latvijas Vēstnesis" the institution of higher education ensures public availability of the Promotion Thesis on the internet and at the library of the institution of higher education;

16.6. Sends the Promotion Thesis and the related documents to the Commission within one week.

17. If the Promotion Thesis contains classified information under the Law "On State Secrets", only a summary of the Promotion Thesis is made available on the Internet and at the library. In this case, the Council decides on the defence of the Promotion Thesis in a closed session in which there are only members of the Council, reviewers, the Applicant, the supervisor of the Promotion Thesis and other persons who in accordance with the procedures prescribed by law are allowed access to classified information. The defence in a closed meeting will be announced in the information published by the journals "Latvijas Vēstnesis" and "Zinātnes Vēstnesis".

18. Reviewers of the Promotion Thesis should not be relatives, direct subordinates or managers at work, co-authors of the publication, supervisors and consultants of the Promotion Thesis, or staff of the laboratory, department or group where the Thesis has been developed.

19. The Applicant for the degree is entitled to submit to the institution of higher education grounded objections to the composition of the Council or reviewers within one month after receipt of the information referred to in sub-article 16.3 of these regulations. If the Applicant has objections to the newly formed Council or to the invited reviewers, he or she can withdraw the application for Promotion Thesis defence.

20. If the Council does not accept the Promotion Thesis for public defence, it will notify the Applicant of the decision, stating which of the provisions of Article 15 have not been met. The Applicant has the right to resubmit the Thesis for defence with the institution of higher education not sooner than in one year.

21. The Commission prepares a conclusion within one month after the receipt of the documents mentioned in sub-article 16.6. If the Commission determines that the content and methodology of the Thesis are inconsistent with generally accepted international standards, the Promotion process is interrupted. This decision will be made known in writing to the respective Council not later than four weeks before the public defence; the requirements that have been violated will be indicated. In this case, the Council notifies the Applicant in writing of the decision and informs the Applicant of any further action.

22. The Reviewers evaluate the theoretical novelty and practical application perspective of the Promotion Thesis's results, their compliance with international scientific achievement levels in the respective scientific field; the compliance of the Applicant's analysis and data processing methods with the Promotion Thesis's objectives and tasks; and the compliance of the Applicant's conclusions and insights with the results.

23. Reviewers have the right to request additional information about the Promotion Thesis from the Applicant.

24. Reviewers submit their reference on the Promotion Thesis in writing to the Council stating its compliance with the requirements of degree conferral in the specific scientific field or subfield. The Council presents the Applicant with the reference no later than three working days before the Promotion meeting.

25. If one reviewer has a negative reference, the Promotion may take place, but the Applicant has the right to withdraw the Promotion Thesis and supplement or revise it.

26. If two or three reviewers' references are negative, the Promotion Thesis will not be considered at the Council meeting and will be returned to the Applicant for revision. The Applicant may submit the revised Promotion Thesis to the institution of higher education no sooner than six months after the negative references.

27. The Council submits a notice on the revocation of the Promotion Thesis before the Promotion meeting for publication in the journals "Latvijas Vēstnesis" and "Zinātnes Vēstnesis" within one week of the receipt of the revocation notice.

VII. Public Defence of the Promotion Thesis and Conferral of the Degree

28. The Meeting of the Council, which decides on the Promotion, is public, except for the cases referred to in Article 17. All interested parties may participate in the meeting, ask questions of the Applicant, the Council and reviewers, and comment on the Promotion Thesis.

29. Reviewers of the Promotion Thesis participate in the Promotion meeting with voting rights. The Council meeting has a quorum if at least half of the Council's experts with voting rights and at least two reviewers are present.

30. At the Promotion meeting:

30.1. The Council Secretary elucidates on the documents submitted by the Applicant and all the decisions taken on the Promotion and presents the Applicant's curriculum vitae;

30.2. The audience has the right to ask questions about the information provided by the Secretary of the Council;

30.3. The Applicant reports on the Promotion Thesis and answers questions on the content and results of the Promotion Thesis;

30.4. The Council hears and discusses the reviewers' references as well as the Applicant's academic discussions with the reviewers;

30.5. The Council hears the Promotion Thesis supervisor's (consultant's) reference on the Applicant's academic activities.

31. The decision on conferral of the degree or refusal to confer the degree is taken by a simple majority vote in a secret ballot. In case of an equal vote, the Council holds a debate and votes again. If after voting again there is an equal vote, the Council re-examines the Thesis, but not sooner than one month and not later than six months after the Promotion meeting at which the decision was not taken. Until the next Council meeting, the Applicant, in agreement with the Chair of the Council, has the right to make amendments to the Promotion Thesis. The Council informs the Applicant, the institution of higher education and the Commission of the decision in writing within one week.

32. Within one month of the decision referred to in Article 31, the institution of higher education or the Commission has the right to request from the Council in writing any documents pertaining to the Promotion and to challenge the decision of the Council if non-compliance of the Promotion Thesis with the requirements for conferral of the degree has been detected or if the Promotion procedure has not been observed.

33. If the Commission challenges the Council decision referred to in Article 31 of these Regulations, the institution of higher education has no right to issue a diploma on conferral of a degree to the Applicant until the dispute is resolved in accordance with the procedure referred to in Chapter VIII of these Regulations.

34. If the Commission's objections referred to in Article 21 and 32 on compliance of the Promotion Thesis with the requirements of conferral of the degree are recognized as well-founded, the Council returns the Promotion Thesis to the Applicant for revision. The Applicant may resubmit the Thesis after the rectification of deficiencies, but not sooner than one year after receipt of the Commission's objections referred to in Article 21 or 32. If a violation of formal Promotion policy is found, the Council summons another Promotion meeting within two months.

35. If the Commission has challenged the decision of the Council on the conferral of the degree and the Commission's objections referred to in Article 31 on compliance of the Promotion Thesis with the requirements for conferral of the degree are recognized as well-grounded, the institution of higher education withdraws the Chair of the Council and designates another member of the Council as the Chair.

36. Upon conferral of the degree, the diploma is issued no sooner than six weeks and no later than six months after the Council's decision on conferral of the degree, if the decision has not been challenged.

VIII. Challenge and Appeal of Decisions

37. The institution of higher education's, Council's or Commission's decisions and actions can be challenged within one month.

38. The Latvian Council of Science's decision may be appealed before the Court observing the procedure of the Administrative Procedure Law.

IX. Final Provisions

39. Councils formed before adoption of these Regulations may continue their operations, but no longer than three months after the entry into force of these Regulations.

40. Institutions of higher education which have been delegated the right to Promotion establish Councils and approve their regulations within three months after the entry into force of these Regulations.

Prime Minister **A. Kalvītis**

Minister of Education and Science **I. Druviete**

State Language Law Article 15

State Regulations, State Language Law Article 15

*The Law was adopted by the Saeima on 9 December 1999.
The President of the State: V. Vīke-Freiberga
Riga, 21 December 1999*

Article 15

Research papers qualifying for a scientific degree shall be submitted in the state language or in a foreign language accompanied by a translation of a comprehensive summary in the state language. Research papers may be publicly presented in the state language or in a foreign language if the author agrees and if the relevant council that confers scientific degrees approves.

Scientific Activity Law Article 11

*Text consolidated by Valsts valodas centrs (State Language Centre) with amendments of:
21 June 2007 [shall come into force from 20 July 2007];
12 December 2008 [shall come into force from 1 January 2009];
16 June 2009 [shall come into force from 1 July 2009];
4 March 2010 [shall come into force from 7 April 2010];
22 April 2010 [shall come into force from 30 April 2010];
29 April 2010 [shall come into force from 13 May 2010];
16 December 2010 [shall come into force from 1 January 2011].*

If a whole or part of a section has been amended, the date of the amendment appears in square brackets at the end of the section. If a whole section, paragraph or clause has been deleted, the date of the deletion appears in square brackets beside the deleted section, paragraph or clause.

The Saeima¹ has adopted and the President has proclaimed the following Law:

Law On Scientific Activity

Section 11. Procedures for the Conferral of a Doctoral Degree in Science

(1) A doctoral degree in science shall be conferred to a person after the successful defence of a promotion thesis in a Promotion Council. The Cabinet shall determine the procedures for the conferral of a doctoral degree in science (promotion).

(2) An applicant for an academic degree shall certify with a promotion thesis that he or she has independently conducted original scientific research, knows how to independently plan research, has acquired the research methodology and the methods necessary for work in the area of specialisation, and is capable of independently analysing the acquired results and drawing conclusions corresponding thereto. An applicant for a scientific degree has the right to defend a promotion thesis if he/she has successfully acquired the academic part of an accredited doctoral study programme and has prepared a promotion thesis for defence or if his/her academic activity performed outside of such programme is equivalent thereto taking into account the procedures provided for in such programme and in accordance with the criteria specified by the Cabinet, and if he/she has successfully passed examinations in the selected scientific field.

(3) The Cabinet shall delegate the right to confer a doctoral degree in science (promotion) to an institution of higher education on the basis of an opinion of the Latvian Council of Science. An institution of higher education may submit to the Latvian Council of Science an application to delegate to such institution the rights to confer a doctoral degree in science, if the relevant accredited doctoral study programme is implemented therein and at least three experts approved by the Latvian Council of Science are involved in the implementation of this programme.

(4) The State Scientific Qualification Committee established by the Cabinet shall supervise the conferral of an academic degree. Such Committee shall operate in accordance with the procedures specified by the Cabinet.

(5) A promotion thesis may be submitted in the official language or in any of the official languages of the European Union, attaching thereto a translation of an extended summary of the promotion thesis in the official language. The public defence may take place in the state language or in any of the official languages of the European Union – upon agreement of the author and with the approval of the relevant Council for the Conferral of a Doctoral Degree in Science. The submission and public defence of a promotion thesis for the acquisition of the doctoral degree in philology may also take place in a foreign language, if the thesis is dedicated precisely to the research of the relevant language.

[4 March 2010; 29 April 2010]

