

CONFIRMED  
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## **PROMOTION COUNCIL REGULATION**

The RISEBA University of Applied Sciences (RISEBA) Promotion Council Regulation (hereinafter “Regulation”) has been prepared on the basis of the Law on Scientific Activity, Cabinet of Ministers Regulations No. 1001 of 27.12.2005 “Criteria for awarding a doctoral degree (promotion)” and Cabinet of Ministers Regulations No. 1000 of 27.12.2005 “Regulations on delegation of doctoral degree awarding (promotion) rights to higher education institutions”.

### **I. General information**

1. The Regulation stipulates:
  - 1.1. The procedure for awarding a doctoral degree (hereinafter “promotion”) to persons who have successfully completed the respective doctoral programme before submitting their Promotion Thesis
  - 1.2. Criteria according to which a person’s academic activity is equated to the requirements of an accredited doctoral programme (hereinafter “programme”), when persons who have not studied in the respective programme apply for a doctoral degree (hereinafter “degree”)

### **II. Promotion Thesis**

2. A degree is awarded for a Promotion Thesis independently developed and publicly defended under the supervision of an experienced scientist (hereinafter “Promotion Thesis supervisor”) which contains the results of original research and offers new insight into the relevant branch or sub-branch of science. In case of an application for a second academic degree in another branch of science, a Promotion Thesis may also be developed without a Promotion Thesis supervisor, using the consultations of leading specialists in the branch (hereinafter “consultants”). The main results of the Promotion Thesis must be published in scientific volumes.
3. A Promotion Thesis may be:
  - 3.1. A dissertation
  - 3.2. A thematically unified set of scientific publications. Scientific articles must be published in journals or conference proceedings in internationally accessible databases.
  - 3.3. A monograph – a peer-reviewed scientific book dedicated to one topic, available internationally in repositories of scientific information, containing a bibliography and a summary in a foreign language

4. Requirements for the scope, structure and design of the Promotion Thesis are stipulated by the “Rules on Promotion Thesis Design” of the Joint Doctoral Programme (RISEBA and BA School of Business and Finance) Council (*External and Internal Regulations That Impact the Doctoral Programme*).

### **III. Promotion Council**

5. The Rector approves the composition of the Promotion Council (hereinafter “Council”) in the branch or sub-branch of science in which the promotion rights have been delegated to RISEBA. The Council includes at least five scientists who have Latvian Council of Science expert status in the branch of management science. The Council may also include foreign scientists. In cases where a Promotion Thesis is submitted for defence that is on the border of two branches of science, the Promotion Council invites an expert / experts of the respective branch from another higher education institution with one-time voting rights.

The Promotion Council may include experts on the Promotion Thesis topic with one-time voting rights. The Council secretary may not necessarily be a Council member. The Council’s term of office does not exceed six years. The Council operates in accordance with the Regulation.

6. The Council makes all decisions, except the decision to award a degree, through an open vote by a simple majority. In the event of a tie, the Council chair has the casting vote.
7. Council members may attend meetings remotely, subject to the following conditions:
  - 7.1. The meeting is held to accept a Promotion Thesis for defence (voting takes place openly).
  - 7.2. Council members have access to the agenda and all documents necessary for making a decision.
  - 7.3. Council members have the possibility to follow the course of the Council meeting, express their opinion and participate in decision-making.
8. RISEBA ensures the Council’s operations. The costs of the promotion process are covered by the funds provided for the doctoral programme’s implementation. If the author of the Promotion Thesis (hereinafter “candidate”) has not completed the respective programme at RISEBA or BA School of Business and Finance or completed it more than two full calendar years earlier without obtaining a degree, the promotion costs are covered by the candidate.

### **IV. Promotion Thesis submission**

9. The RISEBA Promotion Council has the right to accept theses for defence from candidates from the Republic of Latvia and other countries. The correspondence of the thesis to the profile of the council is determined by the council that accepts the thesis for defence. The compliance of the thesis design with the requirements set by the Joint Doctoral Programme Council is assessed by the Promotion Council secretary before submission.
10. The candidate submits the following to the Promotion Council secretary:

- 10.1. An application with an endorsement from the Promotion Thesis supervisor or consultant
- 10.2. Three copies of the Promotion Thesis (in Latvian or English) and an electronic version in pdf format
- 10.3. A summary of the Promotion Thesis in Latvian and English – seven copies and an electronic version in pdf format
- 10.4. A certificate from RISEBA, BA or another higher education institution on completion of the doctoral programme or passing examinations in the chosen branch and sub-branch
- 10.5. A curriculum vitae
- 10.6. A list of publications reflecting the results of the thesis and copies of these publications
- 10.7. An excerpt from the minutes of the meeting of the Joint Doctoral Programme Council or other structural unit of the higher education or scientific institution (in which the Promotion Thesis has been developed) that confirms discussion of the Promotion Thesis, its scientific novelty and the candidate's personal contribution (the RISEBA Promotion Council is authorised to determine the procedure for initial examination of the thesis)
- 10.8. A copy of the higher education institution diploma
- 10.9. The agreement concluded with RISEBA on remuneration for the Council's work (if the candidate must cover this)
11. If the Promotion Thesis is a thematically unified set of publications in which the candidate has co-authors, or if it is a collective monograph, it must be accompanied by written consent of the co-authors of all the publications included in the Promotion Thesis to the use of these publications in promotion or by a confirmation from the corresponding (main) author of these publications regarding the candidate's personal contribution to their preparation.
12. Within a week, RISEBA evaluates the formal compliance of the documents with the requirements of these provisions and proceeds as follows:
  - 12.1. If the candidate has completed an appropriate doctoral programme, RISEBA submits the work to the Promotion Council.
  - 12.2. If the candidate has not completed an appropriate doctoral programme, RISEBA transfers the work to the higher education institution implementing the uncompleted doctoral programme, which decides on equating the candidate's academic activity with the requirements of the appropriate programme of this particular higher education institution.
13. If deficiencies are found in the documents, the Promotion Council secretary sends a written request to the candidate to submit the missing or inappropriate documents. The candidate must submit the requested documents within two weeks of the date of receipt of the letter. If the documents submitted do not comply with the requirements of these provisions, RISEBA returns the documents to the candidate, indicating the deficiencies that have been found. In this case, the candidate has the right to resubmit the documents not earlier than three months later.

#### **V. Equating degree candidates' academic activity with doctoral programme requirements**

14. If the degree candidate has not completed an appropriate doctoral programme, the Joint Doctoral Programme Council decides on equating his/her academic activity. The decision must

be made within one month of the date of submission of the documents, taking into account the following criteria:

- 14.1. Thematically unified research has been conducted which offers new scientific insights and on which scientific articles have been published or accepted for publication in the relevant branch or sub-branch of science.
  - 14.2. Examinations in the framework of the programme have been passed.
  - 14.3. Scientific results of the Promotion Thesis have been approbated at three international seminars and/or conferences in the respective branch or sub-branch of science.
15. If a decision has been made to equate academic activity with programme requirements, the Joint Doctoral Programme Council or other higher education institution notifies the candidate of this decision within one week of its adoption and submits the documents for further consideration to the relevant promotion council. If a decision has been made not to equate academic activity with programme requirements, the Joint Doctoral Programme Council or other higher education institution indicates the grounds for the decision and returns the documents to the candidate.
16. The candidate has the right to eliminate the deficiencies indicated and resubmit the documents, but not earlier than three months after the Joint Doctoral Programme Council's decision.

#### **VI. Promotion Thesis evaluation**

17. Within one month of receipt of a Promotion Thesis, the Council decides on whether to accept it for public defence. The Promotion Thesis is accepted for public defence if it complies with the requirements of Cabinet of Ministers Regulations No. 1001 of 27.12.2005 and the present Regulation as follows:
- 17.1. The author of the Promotion Thesis has substantiated the choice of topic, defined the aim and tasks of the research, and discussed the results and findings of the work, summarising them in the conclusions and theses to be defended.
  - 17.2. The Promotion Thesis constitutes completed original research, the results of which are significant for the relevant sub-branch of science.
  - 17.3. The amount of scientific work is sufficient and complies with the requirements specified in the present Regulation.
  - 17.4. Modern methods of analysis and data processing are used in the thesis.
  - 17.5. The results of the thesis have been published in scientific volumes or the respective intellectual property is patented.
  - 17.6. The results of the thesis have been approbated at international scientific conferences or seminars.
  - 17.7. The work is not forged or plagiarised, nor is there any other violation of scientific ethics.
18. In accepting a Promotion Thesis for defence, the Promotion Council:
- 18.1. designates three reviewers, one of whom is an expert of the Council and two of whom are experts on the sub-branch from other scientific institutions or organisations (preferably outside Latvia).

- 18.2. determines in which foreign language and within what term the translation of the Promotion Thesis summary must be prepared and provides the candidate with a list of educational, scientific and professional institutions and leading specialists of the branch approved by the Council where and to whom the Promotion Thesis summary must be sent to ensure its international availability and discussion.
- 18.3. informs the candidate about the composition of the Promotion Council and the reviewers.
- 18.4. sets the time of the promotion meeting not earlier than three months and not later than six months after receipt of the Promotion Thesis.
- 18.5. sends the Promotion Thesis and related documents to the State Scientific Qualification Commission (VZKK) of the Latvian Council of Science within one week.
- 18.6. upon receipt of a positive decision from VZKK, at least one week before the defence of the Promotion Thesis, submits one copy thereof together with a summary to the RISEBA library.
19. The Promotion Council secretary:
  - 19.1. not later than 20 days before the date of defence, coordinates with the degree candidate the list of addressees for sending the Promotion Thesis summary and ensures the public availability of the summary on the internet.
  - 19.2. at least two weeks before the defence, announces it in the newspapers “Latvijas Vēstnesis” and “Zinātnes Vēstnesis” and on the Joint Doctoral Programme website.
20. If the Promotion Thesis contains information classified under the law “On State Secrets”, only the Promotion Thesis summary is placed on the internet and in the university library. In this case, the Council decides on the defence of the Promotion Thesis in a closed meeting with only the Council members, the reviewers, the candidate, the Promotion Thesis supervisor and other persons allowed access to classified information in accordance with the law. That the defence is taking place in a closed meeting is included in the information published in the newspapers “Latvijas Vēstnesis” and “Zinātnes Vēstnesis”.
21. The following persons may not be invited as reviewers of the thesis: the candidate’s relatives, direct subordinates or supervisors at the workplace; co-authors of the candidate’s publications; the Promotion Thesis supervisor and consultant; the staff of the laboratory, department or group where the thesis has been developed.
22. The degree candidate has the right to submit to RISEBA substantiated objections to the Promotion Council’s composition within one month of receipt of the information referred to in Subsection 18.3 of these provisions or to instruct the Council to invite other Promotion Thesis reviewers within one month. If the candidate has objections to the newly established Promotion Council or invited reviewers, he/she may withdraw his/her application for Promotion Thesis defence.
23. If the Council does not accept the Promotion Thesis for public defence, it notifies the candidate in writing of the decision, indicating which requirements referred to in Section 17 of these provisions have not been met. The candidate has the right to resubmit the thesis for defence to RISEBA not earlier than 6 months later.

24. VZKK prepares an opinion within one month of receipt of the documents referred to in Subsection 18.5 of these provisions. If VZKK finds that the thesis does not comply with the generally accepted international standards of the respective branch in terms of content and methodology, the promotion process is suspended. This decision is reported in writing to the relevant council no later than four weeks before the public defence, indicating the requirements which have been breached. In this case, the council notifies the candidate in writing of the decision of VZKK within one week, informing him/her about further actions.
25. The reviewers evaluate the theoretical novelty and practical application perspectives of the Promotion Thesis results, their conformity with the level of international achievements of the relevant branch of science, the correspondence of the analysis and data processing methods used by the candidate with the aim and tasks of the Promotion Thesis, and the appropriateness of the candidate's conclusions and findings with regard to the results.
26. The reviewers have the right to request additional information about the Promotion Thesis from the candidate in writing.
27. The reviewers submit to the Council written references regarding the Promotion Thesis, indicating the compliance of the thesis with the requirements for awarding a degree in the respective branch and sub-branch. The Council presents the candidate with the references not later than three working days before the meeting of the Council.
28. If one reviewer's reference is negative, promotion may take place, but the candidate is entitled to withdraw the Promotion Thesis and supplement or revise it.
29. If two or three reviewers' references are negative, the Promotion Thesis is not considered at the Council meeting but returned to the candidate for revision. The candidate may submit the revised Promotion Thesis to the university not earlier than six months after receiving the negative references.
30. Within one week of receipt of a Promotion Thesis withdrawal, the Council submits a notice regarding such withdrawal prior to the promotion meeting for publication in the newspapers "Latvijas Vēstnesis" and "Zinātnes Vēstnesis".

#### **VII. Public defence of the Promotion Thesis and awarding of the degree**

31. A Council meeting that decides on promotion is open, except for the case referred to in Section 20 of these provisions. All interested persons may participate in the meeting, ask questions of the candidate, the Council and the reviewers, and express their opinion on the Promotion Thesis.
32. At the Council meeting where promotion takes place, the reviewers participate in the thesis defence with decision-making voting rights. A Council meeting has a quorum if not less than half of the number of Council experts entitled to vote and not less than two reviewers take part.
33. One Promotion Thesis may be defended at each Council meeting; only two meetings are permitted in one day. Council members register on the registration form. The Council chair or his/her delegate opens the meeting, announces the quorum and introduces the degree candidate. Before the defence, the meeting chair announces the granting of the status of additional Council members to the Promotion Thesis reviewers. The Council secretary takes detailed minutes of

the meeting. An audio recording of the meeting is also made. In case the meeting is held in a foreign language, the candidate ensures translation into Latvian if necessary.

34. At the promotion meeting:
  - 34.1. The Council secretary reports on the documents submitted by the candidate and all decisions made on promotion and presents the candidate's curriculum vitae.
  - 34.2. Those present have the right to ask questions about the information provided by the Council secretary.
  - 34.3. The candidate, using handouts and, if necessary, other visual materials, reports on the Promotion Thesis and answers the questions of those present about its content and results.
  - 34.4. The Council listens to and discusses the reviewers' references as well as the candidate's academic discussion with the reviewers. If one of the reviewers is unable to attend, the Council secretary presents this reviewer's written reference to the meeting participants. A reviewer may also attend the meeting remotely (without voting rights).
  - 34.5. The Council listens to the supervisor's (consultant's) reference on the candidate's academic activity.
35. The Council makes a decision to award or not award the degree through a simple majority of votes by secret ballot. For this purpose, the Council appoints a counting commission (hereinafter "Commission") consisting of three Council members. It issues ballot papers, the receipt of which is signed for by the Council members on the registration form. After the vote, the Commission evaluates the results, completes the voting minutes and announces the final voting results. If the votes are equally divided, the Council holds a discussion and votes again. If after voting again the votes are equally divided, the Council re-examines the thesis, but not earlier than one month and not later than six months after the promotion meeting at which no decision was made. Until the next meeting of the Council, the candidate has the right to make corrections in the Promotion Thesis after coordinating with the Promotion Council chair. The Promotion Council informs the candidate in writing about the decision made within a week.
36. The Promotion Council's decision regarding the award of the degree is recorded in the minutes, which are signed by the chair and secretary of the meeting of the Council.
37. The RISEBA Vice Rector for Research or VZKK, within one month of the decision referred to in Section 35 of these provisions, has the right to request in writing from the Promotion Council any documents related to the respective promotion and to contest the Council's decision, if non-compliance with the requirements for awarding the degree has been established in the Promotion Thesis or the promotion procedure has not been observed.
38. If VZKK contests the decision referred to in Section 35 of these provisions, RISEBA does not have the right to issue a diploma to the candidate for the award of the degree until the dispute has been resolved in accordance with the procedure specified in Part VIII of these provisions.
39. The candidate may resubmit the Promotion Thesis, but not earlier than after receipt of the objections of VZKK referred to in Section 24 of these provisions. If a formal breach of the promotion procedure has been established, the Promotion Council re-organises the promotion meeting within two months.

40. If VZKK contests the Council's decision on awarding the degree and the reservations regarding the compliance of the Promotion Thesis with the requirements for awarding the degree are recognised as justified, the RISEBA Rector appoints a commission to evaluate the Promotion Council's work.
41. RISEBA issues a diploma for the award of the degree not earlier than six weeks and not later than six months after the Promotion Council's decision to award the degree, if this decision is not contested.

### **VIII. Contesting and appealing the decision**

42. Decisions and actual actions taken by the RISEBA Promotion Council may be challenged by the Latvian Council of Science within one month.
43. The decision of the Latvian Council of Science may be appealed in court in accordance with the procedure specified in the Administrative Procedure Law.

### **IX. Record keeping**

44. To ensure uniform records at RISEBA, the following main procedural documents are used:
  - 44.1. Registration journal for Promotion Thesis submission at RISEBA
  - 44.2. Reviewer registration form
  - 44.3. Decision on acceptance of the thesis for defence
  - 44.4. Council member registration form
  - 44.5. Ballot paper
  - 44.6. Voting minutes
  - 44.7. RISEBA Rector's order on issuing the degree diploma
45. Samples of the relevant documents and forms are published on the RISEBA website.

### **X. After the defence procedure**

46. Based on the Council meeting minutes, the RISEBA academic secretary prepares the Rector's order on issuing the diploma, which is endorsed by the chair of the respective council, and organises the drafting and issuing of the corresponding degree. The doctoral diploma is awarded to the degree holder at the RISEBA Senate meeting.
47. The Promotion Council must have a registration journal in which basic information about the candidate and the promotion process is recorded, indicating the candidate's name, surname, year of birth, place of work and position; the date of submission and acceptance of the thesis; the reviewers' names, surnames, academic degrees, places of work and positions; the date of defence of the thesis; the voting results; the date and number of the RISEBA Rector's order on awarding the degree; and the diploma register number.
48. After each defence, the Promotion Council secretary:
  - 48.1. submits to the National Library of Latvia the necessary mandatory copies of the Promotion Thesis and its summary.
  - 48.2. sends information on the voting results to the newspapers "Latvijas Vēstnesis" and "Zinātnes Vēstnesis" for publication.



49. Calculation of the Council's work expenses for each thesis defence is carried out by the Promotion Council secretary and approved by the Chief Accountant and the Vice Rector for Research.
50. Remuneration of Promotion Council members, reviewers and the Promotion Council secretary for each defended thesis is determined according to the hourly rate set by the Joint Doctoral Programme Council, observing labour consumption norms approved by the Rector's order.

RISEBA Vice Rector for Research

T. Vasiljeva

Accepted:

Chair of the RISEBA Promotion Council

A. Čirjevskis