

# **LEPL - Georgian Technical University's Academic Dissertation Council**

## **Doctoral Regulations**

### **Chapter 1. General Provisions**

1. The introductory provision defines the status of Georgian Technical University (hereinafter referred to as the University) doctoral regulations, rights, procedures for awarding academic degrees, procedures corresponding to Georgian legislation, and university operational regulations.
2. The regulation complies with the Georgian Constitution, the Law of Georgia on "Higher Education", other legal acts regulating the higher education sphere, university regulations, and regulatory acts of the university governance bodies (subject managers), as well as European Union's "Modernisation Agenda for Higher Education" and documents regulating Bologna Process.
3. Priorities for launching doctoral programs, regulatory framework after program implementation (evaluation of components, installation of doctoral programs, criteria, participants in doctoral educational processes, and their rights) are determined by doctoral regulations, which are approved by faculties of the university and independent academic research units.

### **Chapter 2. University Dissertation Council Status**

1. The University's Doctoral Academic Quality Assurance Bodies represent the University Dissertation Councils (hereinafter referred to as Dissertation Councils), which are established for doctoral educational programs in engineering, technical, and natural sciences, as well as social and humanitarian fields. The competence of the Dissertation Council corresponds to the doctoral program's dissertation topic.
2. The Dissertation Council consists of professors and associate professors of the University corresponding to the relevant rank/specialty, as well as leading scientists and main scientific employees of the University's independent scientific-research units. In the composition of the Dissertation Council, each faculty must have at least one representative.
3. Members of the Dissertation Council must have at least 5 years of experience in their field within the last 5 years, and have successfully defended at least 2 scientific papers or implemented practical projects that confirm their competence in the relevant sphere.
4. The establishment of Dissertation Councils by faculties of the University and independent scientific-research units of the University defines not less than 4 candidates for membership in the Dissertation Council corresponding to the criteria set out in the 3rd point of this section. The academic board, by a majority vote, chooses members of the Dissertation Council from among the established candidates.
5. Persons with the corresponding degree and specialization may participate in the composition of the dissertation council of the academic council of the academy from Georgia and abroad, according to the criteria and regulations established by the academic

council. The rector of the university has the right to appoint not less than 3 members of the dissertation council.

6. The composition of the dissertation council shall be determined by not less than 15 members.
7. The candidate for the chairman of the dissertation council, the deputy chairman of the dissertation council, and the academician of the dissertation council shall be selected according to the criteria established by these regulations.
8. The university academic council confirms the candidacy of the dissertation council and the candidate for the deputy chairman of the dissertation council, with a majority vote, open voting, according to these regulations.
9. The same person can be elected as chairman of the dissertation council twice in succession.
10. The term of office of the dissertation council is 4 years.
11. The chairman of the dissertation council, the deputy chairman of the dissertation council, and the academician of the dissertation council cannot be the supervisor of the dissertation.
12. The term of office of the chairman of the dissertation council expires upon: a) personal application; b) release from the position specified in the second paragraph of this article; c) other circumstances provided for by the university regulations.
13. Upon expiration of the term of office of the chairman of the dissertation council, according to these regulations, instead of appointing a new member of the dissertation council, the remaining term of office of the chairman of the dissertation council is appointed.

### **Chapter 3. Rights and Responsibilities of the Dissertation Council**

#### **1. Dissertation Council:**

- a) Establishes the regulation of the Dissertation Council's activities;
- b) With a secret ballot, within the term of office of the members of the council, by a decision of 2/3 of the members of the council, elects the chairman of the Dissertation Council and appoints them to confirm academic degrees;
- c) By the regulation determined by this decree, elects the deputy chairman of the council and the doctoral candidate who has completed the dissertation;
- d) By the regulation defined by this decree, approves the candidates of the dissertational supervisors, the collegium of defense of the dissertation, and sets the date for the defense of the dissertation;
- e) Makes a decision to establish an expert commission to create a dissertation on a relevant research topic related to doctoral education programs, or/and in connection with the relevance of the research topic and the content of the dissertation, or/and in the case of other requests identified by the academic, research ethics, and regulations;
- f) Confirms the doctoral candidate's academic quality or denies it, as determined by this regulation;
- g) Allocates the dissertation supervisor's collegium with defense (evaluation) powers or refuses to assign the doctoral academic quality or refuses to assign the doctoral academic quality according to this decree;
- h) Confirms the requirements for a doctoral program with equal (master's) regulations

within the framework of postgraduate doctoral education programs;

- i) Exercises the right to establish other rights authorized by legal and university legal acts.
2. The dissertation council is responsible for receiving objective and substantiated decisions.
3. The responsibilities of the Dissertation Council are carried out once per semester, at least four times a year.

(Resolution # 01-05-04/37 of April 12, 2023, of the University Academic Senate)

#### **Chapter 4. Rules of Operation of the Dissertation Council**

1. The Dissertation Council makes decisions on dissertation defenses. The decision is valid if it is supported by more than  $2/3$  of the total number of council members. For decision-making, the presence of at least  $2/3$  of the council members is required.
2. Before selecting a dissertation council chairperson, the Dissertation Council appoints its senior member.
3. With the establishment of the Dissertation Council's composition, the Dissertation Council selects the senior member of the dissertation council and the Dissertation Council's learned person, within the dissertation council's right. deadline for the senior member's rights.
4. The Dissertation Council's decision imposes a fine on the Dissertation Council's member. In the event of a need, the imposition of a penalty is possible at the request of the faculty's council or department.
5. The Dissertation Council's leader supervises the Dissertation Council's member. In the event of a violation of the senior member's rights, the council imposes a penalty on the senior member.
6. The senior member of the Dissertation Council:
  - a) Imposes and imposes penalties on the Dissertation Council's decisions;
  - b) determines the time and day of the decision on the penalty;
  - c) is entitled to, in the event of a dispute, to be consulted with the council's specialty/expert;
  - d) is entitled to perform other duties specified in the statute of functions performed by the Dissertation Council.
7. The senior member of the Dissertation Council helps the university council to solve the organizational issues of the senior member. In the event of the senior member's resignation, the Dissertation Council imposes a penalty on the senior member.
8. The learned member of the Dissertation Council ensures the proper conduct of the Dissertation Council's procedural and organizational activities:
  - a) prepares the decisions of the Dissertation Council;
  - b) manages the university's work;
  - c) implements the university's organizational goals for the proper functioning of other functions.
9. The Dissertation Council's decision and the decisions adopted shall be recorded in a report, which is written by the senior member of the Dissertation Council and the learned member of the Dissertation Council.

10. The Dissertation Council evaluates the protection of the Dissertation Council's memorandum on the protection of the Dissertation Council and receives the doctor's academic quality award or rejection of the award.
11. The organizational, legal, documentary, and information services of the Dissertation Council provide the university with a structural unit.
12. In the event of a decision by the senior member of the Dissertation Council, the Dissertation Council's decision is possible, and the decision on the quality of the doctor's academic quality award is made on the basis of the decision made by the academic quality award.

(Decision # 01-05-04/37 of April 12, 2023, University Academic Council)

### **Chapter 5. Dissertation Defense Committee**

1. With the aim of evaluating dissertation defense proposals, members of the academic departments(s) and doctoral program(s) of the faculty, selected with the participation of the representative of the faculty's quality assurance service and the dean of the faculty, will form the Dissertation Defense Committee and the candidates for reviewers, approved based on the confirmed expertise of the faculty's study program, to ensure the approval of the dissertation by the dean of the faculty.
2. The Dissertation Defense Committee is composed of professors corresponding to the university's direction/rank/specialization and associated professors, or distinguished scientific-research unit members of the university with higher scientific qualifications and leading scientific-research unit members.
3. The committee member of the Dissertation Defense Committee must have experience in scientific work related to the dissertation's topic, rank/specialty, or corresponding publications, doctoral program, and academic quality standards.
4. In the composition of the Dissertation Defense Committee, there must be at least one member who is a person with high academic qualifications corresponding to the direction/rank/specialty, a doctor or a person with high academic standards, from Georgia or abroad, who does not hold a position at the university.
5. In the composition of the Dissertation Defense Committee, at least 11 members should be included.
6. In addition, reviewers are involved. The Dissertation Defense Committee should include a person who is a corresponding member of the faculty or another person with high academic standards corresponding to the specialty, doctor, or academically qualified person associated with him.
7. The Dissertation Defense Committee's chairperson and deputy chairperson select the Dissertation Defense Committee from among their members.
8. The chairperson, deputy chairperson, and committee member of the Dissertation Defense Committee cannot be a reviewer of the dissertation. The committee member of the Dissertation Defense Committee cannot be a doctoral supervisor.

(Defined by the Academic Council of the University on April 12, 2023, Decision #01-05-04/37)

### **Chapter 6. Rights and Responsibilities of the Dissertation Defense Committee**

1. The Dissertation Defense Committee, based on its representation, within the prescribed period, by a 2/3 majority of its members, elects the chairperson, deputy chairperson, and secretary of the committee;
2. Ensures the implementation of the procedure for defending the dissertation thesis as determined by the established rules;
3. Evaluates the dissertation thesis according to the criteria specified by the current legislation and relevant regulations of the university;
4. Determines the results of the evaluation of the dissertation thesis defense on the basis of the committee secretary's report;
5. Executes these duties in accordance with the law and the university's legal acts.

### **Chapter 7. Rules of Operation of the Dissertation Defense Committee**

1. The operation of the Dissertation Defense Committee is conducted according to the relevant provisions of the law.
2. The Dissertation Defense Committee makes decisions on guilt. In case of guilt, it is the responsibility of the committee secretary. In the event of the secretary's guilt, the deputy secretary assumes responsibility.
3. The right to make decisions about guilt is vested in the committee, provided that less than 2/3 of the total number of members voted in favor of the decision, requiring the support of 2/3 of the votes cast.
4. The current status and decisions made by the Dissertation Defense Committee are recorded in a decision, which is signed by the secretary and the deputy.
5. The deputy of the Dissertation Defense Committee ensures the organizational activity of the committee. The responsibilities of the deputy include:
  - a) Organization of decisions of the Dissertation Defense Committee;
  - b) Issuance of a decision on the dissertation defense;
  - c) Addressing organizational issues of the Dissertation Defense Committee;
  - d) Ensuring the execution of the committee's organizational activity;
  - e) Providing documentation produced by the Dissertation Defense Committee to the faculty for distribution in accordance with legal and university legal acts;
  - f) Implementation of other rights vested by law and university regulatory acts.

### **Chapter 8. Dissertation Defense Procedure and Evaluation**

1. Preparation for dissertation defense is carried out based on the dissertation defense committee, completion of educational and research program components, and consideration of the preliminary defense of the dissertation proposal by the doctoral candidate.
2. The dissertation defense committee ensures the defense of the dissertation within two weeks from the submission of the dissertation.
3. The dissertation defense and evaluation procedure are conducted according to the regulations applicable to doctoral candidates.
4. Upon receiving a positive evaluation, the documentation of the dissertation defense will be prepared within 5 calendar days from the evaluation to be submitted to the university

dissertation council for awarding the academic degree of Doctor with university doctoral academic quality.

5. The documentation of the dissertation defense prepared for the university dissertation council must include a review for familiarization by all members of the university dissertation council until the final decision on the academic quality of the doctoral candidate, which is discussed in the dissertation council and must be available to all members of the university dissertation council.

### **Clause 9. Refusal to Grant Doctoral Academic Quality/Disqualification**

12. A doctoral candidate of the respective faculty of the university grants a doctoral academic quality (PhD) in accordance with the corresponding dissertation.
13. The doctoral academic quality, which discusses the dissertation's defense, is considered within 20 working days from receipt.
14. Pursuant to the goal of granting doctoral academic quality, the defense committee of the dissertation, composed of a member of the doctoral candidate and dissertation supervisor, also includes a member selected by the dissertation faculty.
15. During the evaluation and defense procedures of the dissertation, the defense committee provides information to the dissertation defense committee.
16. Upon granting the doctoral academic quality, the dissertation faculty has the right to ask questions and request explanations from the doctoral candidate.
17. Upon receiving a decision on granting doctoral academic quality, an open hearing should be held.
18. The dissertation faculty has the right to declare a refusal to grant doctoral academic quality if: a) Point "e" under the first point of this section 3 states the Expert Commission's negative finding; b) Point "v" under the first point of this section 3 states that the dissertation's examination and confirmation have been confirmed by academic and ethical reviews; c) In cases specified by law.
19. In case of objection to the assignment of the doctoral academic quality assessment, the decision of the dissertation council shall be communicated in writing within no more than 10 working days from the date of the objection.
  - I. In case of objection to the decision of the dissertation council on the doctoral academic quality assessment and evaluation by the expert committee/expert, within three days from the decision to reject or evaluate the objection, the dissertation council shall forward the decision unchanged to the faculty.
  - II. If the issue outlined in paragraph 7 does not exist, and less than 2/3 of the dissertation council members have objected to the assignment of doctoral academic quality assessment, the dissertation council shall decide on the objection to the doctoral academic quality assessment and evaluation by the expert committee/expert. In this case, the decision of the dissertation council shall include arguments provided by those who gave prior notice. The dissertation council has the right, in case of disagreement over the majority's decision on the dissertation council's assessment, to form an expert committee or appoint an expert. The dissertation council reserves the right to reconsider the issue of the dissertation council's decision on the assignment of doctoral academic quality

assessment and evaluation by the expert committee/expert in case of amendment or cancellation by the appellate commission.

- III. In case of amendment or cancellation of the dissertation council's decision on the assignment of doctoral academic quality assessment, the dissertation council ensures a re-discussion of the issue by the appellate commission accordingly.

12. The decision and documentation of the dissertation council's decision on objection to the assignment/refusal of the doctoral academic quality assessment procedure are stored at the respective faculty for 3 years and then transferred to the university archives.

(Defined on April 12, 2023, #01-05-04/37 of the University Academic Council)

### **Chapter 10. Procedure for Complaints**

1. An interested party has the right to appeal to the Disciplinary Committee or the Appeals Commission regarding the decision or outcome of procedures defined by these regulations.
2. With the aim of discussing complaints related to these procedures and outcomes, a Complaints Commission shall be established upon the order of the university's rector.
3. The Complaints Commission includes the chairperson, deputy chairperson, and members. A person who participated in the procedures defined by these regulations cannot be a member of the Complaints Commission.
4. In case of the chairperson's absence, their duties shall be fulfilled by the deputy chairperson.
5. The decisions of the Complaints Commission are lawful if supported by the majority vote of its members. Each member of the commission has one vote.
6. The final decision of the Complaints Commission is made by a simple majority vote of the members. In case of a tie in votes, the chairperson's vote is considered decisive.
7. The final decision of the Complaints Commission takes the form of a resolution, signed by the chairperson and the members who voted. The member of the Complaints Commission has the right to express a dissenting opinion and attach it to the resolution, specifying the reasons for their dissent.
8. Interested parties have the right to appeal to the Complaints Commission within no more than 2 working days from becoming aware of the decision. A complaint submitted to the Complaints Commission shall be discussed within no more than 3 working days.
  - I. The Complaints Commission considers and issues one of the following decisions:
    - a) Upholds, modifies, or annuls the decision of the Disciplinary Committee;
    - b) Rejects the complaint and dismisses the decision of the Disciplinary Committee.
  - II. Interested parties and members of the Disciplinary Committee have the right to receive reasoned decisions on the discussion of the complaint by the Complaints Commission.
9. The decision issued by the Complaints Commission or the decision of the Disciplinary Committee may be appealed in court in accordance with the law.

(Decision of the Academic Senate of the University dated April 12, 2023, #01-05-04/37)

### **Chapter 11. Publication of the Dissertation**

The faculty must, following the award of the academic degree of Doctor, submit the dissertation in electronic form within one month to the university's publishing house, the university library, and the National Library of Georgia. Within the same period, each copy of the dissertation in printed and electronic format must be deposited with the National Scientific Library.

### **Chapter 12. Amendments and Additions to the Regulations of the University Dissertation Council**

Amendments and additions in this regulation are prepared by the university dissertation council, approved by the faculties of the university, and independent scientific research units, confirming the university's academic senate.

### **Chapter 13. Incoming Regulations**

Based on the defense of the dissertation regulations evaluated by the dissertation defense college on June 30, 2022, the process of assigning the academic quality of the doctor's academic degree by the university's dissertation council should be completed before the start of the 2024/2025 academic year.

### **Chapter 14. Entry into Force**

The regulation enters into force from the day of its approval.