

# Regulations concerning the degree of Philosophiae Doctor (PhD) at the University of Tromsø - The Arctic University of Norway (UiT)

Adopted by:	The University Board 25 October 2012		
Pursuant to:	Sub sections 3-3, 3-7, 3-9 and 4-13 of the Act relating to universities and university colleges (01.04.05)		
Applies from:	1 January 2013		
Changed	19 January 2017	Applies from	19 January 2017
Archive reference:	2011/2871, 2014/4056 and 2016/9435		

*This is a translation. The Norwegian original has official status.*

## Chapter I: General regulations

### Section 1: Applicability

These regulations apply to education leading to the degree of Philosophiae Doctor (PhD). These regulations pertain to admission, participation in and completion of the doctoral degree programme at the University of Tromsø - The Arctic University of Norway (UiT). The regulations regarding examinations pertain to examinations in the instruction component.

### Section 2: Objective of the doctoral degree programme

The doctoral programme is designed to qualify students for research activity of international standard and for other types of work for which a high level of academic expertise and analytical skill is required, according to the canons of scientific and scholarly practise and ethical standards.

### Section 3: Responsibility for the doctoral degree programme

(1) The University Board has jurisdiction for the doctoral degree programmes and

- sets regulations for the programme's organisation
- determines the establishment and discontinuation of doctoral degree programmes and fields of study
- determines regulations pertaining to maximum number of admissions if a faculty wishes to regulate admission to a programme or field of study
- determines the establishment of joint degrees with other institutions

(2) The faculty itself may determine further regulations for programmes for which they have the academic responsibility. The University Director is to be informed about any additional regulations that are adopted.

(3) Each faculty is to have a Programme Board which is responsible for the programme/programmes in its/their entirety.

(4) Tasks specifically assigned to the Faculty Board itself may not be delegated. Other tasks may be delegated by the Faculty Board to the Programme Board.

(5) The Programme Board is to be appointed by the Faculty Board itself. The members are to be researchers holding a doctoral degree or equivalent and PhD students. When only one student representative is on the board, a second student representative is to have the right to attend meetings and the right to speak and make suggestions.

## Section 4: Terminology

Contract/agreement	Conditions are to be specified in contracts between the student and the faculty, and between the supervisor and the faculty. The individual education plan is to be considered a part of the contract. A separate contract must be made between the faculty, student and any external party regarding the conditions that apply for the duration.
Diploma supplement	A supplement to the diploma in English providing information about the education system at Norwegian universities and university colleges, and the individual student's programme.
Defence	A public discussion and defence (against criticism from opponents) of a doctoral thesis prior to being awarded a doctoral degree.
Doctoral degree candidate	A person defending his/her doctoral thesis at a public defence.
Doctoral degree programme (PhD programme)	A three-year programme of study culminating in a PhD degree. A programme of study may be established as a <i>joint degree</i> .
Examination	A test of a student's knowledge and skills, when it leads to a grade stated on the diploma or transcript of records or which forms part of the basis of the calculation of a grade stated on the diploma.
Course	The smallest component of a subject/discipline or study programme. All courses are to have a measure of their extent expressed in credits (ECTS). Courses in the instruction component of the PhD programme are called 8000-courses.
Course description	A description of the learning outcomes, academic components, structure and implementation of the course. All courses at the UiT are described in a course description.
Experience-based Master's degree	A degree established with vocational further education as the objective. Specialisation in a specific subject/discipline in the Bachelor programme is not an admission requirement for experience-based Master's programmes.
Ex auditorio	"From the auditorium" - a member of the audience at a defence may register as an opponent ex auditorio.
Joint degree	A degree set up in collaboration between Norwegian institutions or Norwegian and overseas universities.
Funding plan	A plan outlining funding of the PhD programme, including the total, funding sources and annual distribution.
Candidate	A PhD student who has submitted his/her thesis for assessment.
Awarding a degree	To confer an academic degree on someone.
Instruction component	Organised research training module – ethics, philosophy of science and academic courses.
Opponent	A member of the Thesis Committee who at the defence critically reviews the doctoral degree candidate's thesis.
Admissions committee	Faculty body responsible for admission to PhD programme.
PhD student (doctoral student)	A person admitted to a PhD programme at the UiT
Programme Board	The faculty body responsible for structured research training (PhD programme) and matters relating to the doctoral degree Dr.Philos.
Academic supervisor	A person with special scientific /scholarly expertise who is appointed to ensure the student receives high quality academic support. The duties of the academic supervisor are stipulated in the university regulations and guidelines. <sup>1</sup>

<sup>1</sup> The current guidelines are *Ethical guidelines for academic supervision at the University of Tromsø*.  
<http://uit.no/forsknnavd/Forskningsetikk/8>

Doctoral fellow	PhD training position
Programme description	A plan describing the learning objectives, academic components, structure and implementation of the programme.
Field of study/programme option	A defined field of study/discipline within a programme of study
Programme/Course admission	Rights connected to a programme of study, for example the right to supervision and courses in the instruction component. In PhD programmes, these rights are offered by the institution and outlined in a contract between the faculty and student.
Credits	A measurement of the quantity of work completed. 60 credits constitute one year's full-time study.
Individual education plan	An agreement entered into by the university and the individual student. The plan contains regulations pertaining to the university's responsibilities and obligations to the student, and the student's obligations to the university and their fellow students. For PhD programmes, this plan is to cover the instruction component and thesis, with a description of the research project.

### **Section 5: Contents of the doctoral degree programme**

(1) The doctoral programme is to consist primarily of scientific research activity conducted under the supervision of an academic advisor. This comprises:

- an independent piece of research or a combined piece of research and development in active collaboration with academic advisor(s) and other researchers
- an instruction component
- participation in active research communities, nationally and internationally
- research dissemination that is closely linked to the research activity

(2) The PhD degree is conferred based on:

- Approved completion of the instruction component
- Approved scientific thesis
- Approved trial lecture on a topic selected by the thesis committee
- Satisfactory public defence of the thesis

(3) PhD training should ensure access to instruction and continual development of skills and competence and place the student in a strong position to compete for highly skilled positions once training is completed.

## **Chapter II: Admission, right to study and leave of absence**

### **Section 6: Admission requirements**

(1) In order to be admitted to a doctoral degree programme, the applicant must have completed a Master's degree with good grades, either an integrated Master's degree of 300 credits or a Master's degree of 120 credits building upon a Bachelor's degree of 180 credits. The faculty may at their discretion approve other qualifications for admission where these are equivalent.

(2) Experience-based Master's degrees of 120 credits may be basis for admission to the PhD programmes. In such cases the faculty must see to in advance that the quality of the master's thesis in question has been externally evaluated as adequate for the purpose of admission to the doctoral degree programme from an academic, methodological and philosophy of science perspective. Such evaluation must be carried out by at least one professor/associate professor from a relevant subject area at another institution that awards PhD degrees in the discipline in question. The admissions committee should put decisive weight on this external evaluation.

(3) The faculty itself may adopt minimum academic requirements for admission to doctoral degree programmes.

(4) Applicants must document proficiency in English that satisfies the Norwegian Higher Education Entrance Qualification. The faculty can under special circumstances grant dispensation from this requirement on the basis that the applicant is proficient in Norwegian.

(5) Admission is contingent on the availability of adequate funding, which as is general rule covers personnel and running costs, and overhead for a doctoral fellow position. For part-time students, a requirement is that a minimum of 50 % of the student's working time may be spent on the doctoral degree programme.

### **Section 7: The Application**

(1) A doctoral fellow position announced by the university is a study place. Application for such a position is application for admission to the doctoral programme. The person who is appointed may be asked to supplement the application.

(2) Applicants with other funding than a doctoral fellow position with the university as employer must apply directly to the admissions committee. The application must be submitted on an official application form.

(3) If there is less than one full year of work required to complete the project at the time of application the application is to be turned down. This does not apply to applicants that have begun work on the project as students on researcher track positions.

(4) Depending on what is required in the announcement of the position and/or the application form the applicant is to

- document the educational background that qualifies for admission
- document necessary proficiency in English
- develop a project proposal / fill out an application that includes the following:
  - scientific /scholarly description of the project that provides an account of the themes, problems, and choice of theory and methods.
  - study plan proposal
  - funding plan
  - documentation of any special requirements for scientific or material resources.
  - description of the research environment for the project and any stays planned at other research institutions
  - dissemination plan
  - information concerning any intellectual property restrictions to protect the rights of other parties
  - account of any legal or ethical issues raised by the project along with a proposal for how to address them

(5) Applicants who do not have a place of work at the university are to be affiliated to another active research environment / work place where the project will be carried out. The proposal must describe where the research is to be conducted.

(6) The application must also specify whether the project is dependent on any permissions from ethical committees, agencies for the safeguarding of privacy (NSD), other public bodies and/or individuals (informants, patients, parents, etc.). Where possible these permissions should be procured and accompany the application.

(7) The faculty may set requirements for additional information.

(8) The student and supervisor should together review the project proposal and consider any necessary changes as soon as possible and no later than two months after admission.

### **Section 8: Admission committee**

(1) Each faculty is to have an Admissions Committee, which has responsibility for the admission to the PhD-study and to courses in the instruction components (8000-courses).

(2) The Admissions Committee is appointed by the Faculty Board. The members are to be researchers holding a doctoral degree or the equivalent and PhD students. The Programme Board may be admissions committee. Students are to account for at least 20 % of the committee's make-up. When only one student representative is on the committee, a second student representative will have the right to attend meetings, speak and make suggestions.

### **Section 9: Decisions concerning admission**

(1) Decisions concerning admission are made on the basis of a scientific/scholarly evaluation of the project description and of the applicant's research potential, as outlined in the application. When the number of applicants exceeds the admissions capacity of the faculty, applicants will be ranked on the basis of evaluation of the project description, the applicant's research potential and academic relevance for the academic environment as a whole. The scientific / scholarly relevance of the project to the research carried out at the faculty or department is to be a consideration in the assessment of the proposal.

(2) A doctoral fellow at the university must have been admitted to PhD study before he/she assumes the position. A provisional decision to admit may be made pending the development of an individual training plan, additional training and agreements regarding immaterial property rights. The provisional decision is to name at least one supervisor, the primary supervisor.

(3) For external applicants a provisional decision may be made pending funding, admission capacity, development of an individual training plan, additional training and agreements regarding immaterial property rights. The student may be required to be based at the faculty for the duration of the contract or for certain periods of it. The provisional decision is to name at least one supervisor, the primary supervisor.

(4) A final decision on admission is to be made at the latest three months after entry into the contract. The final decision to admit entails a specific allocation of responsibility to address the requirements outlined in the application, agreement of a start and end date for the project, and the appointment of at least two supervisors. Any extension of the contract must be grounded in rights as an employee, or otherwise specially negotiated. If a supervision committee is appointed, one member is to be selected to serve as the primary supervisor.

(5) There is no basis for admission if:

- contracts with an external third party prevent the publication of results and an open defence of the thesis
- the relevant and current agreements pertaining to intellectual property are so unreasonable that the institution should not participate in the research project.

### **Section 10: Admission to courses in the instruction component**

(1) The faculty handles admissions to PhD courses (8000 courses). Applicants who meet the demands in one of the following categories may be admitted:

- Category 1: People admitted to the PhD programme at UiT.
- Category 2: Participants in the Associate Professor programme that fulfil the educational requirements.
- Category 3: Doctoral students from other universities-
- Category 4: People with a minimum of a Master's degree (or equivalent), who have not been admitted to a PhD programme.

(2) Students admitted to the Medical Student Research Programme at the Faculty of Health Sciences who have been appointed an academic supervisor may take PhD courses outlined in the programme description, and PhD courses that are approved in the student's academic supervision contract for the Medical Student Research Programme. Such students shall be ranked after category 1. Any students from Medical Student Research Programmes at other universities shall be ranked after category 3.

(3) The faculty may stipulate special admission requirements within this framework. Such requirements must be outlined in the course description.

(4) When the number of applicants exceeds the number of places available on a PhD course, applicants will be ranked from category 1 to 4.

(5) Students in categories 2, 3 and 4 must apply for admission on the official application form. For applicants in categories 1 and 2 and students admitted to the Medical Student Research Programme, the faculty will determine whether applicants shall use the official application form.

### **Section 11: Contract**

(1) Admission is to be formalised through a written contract between student, the academic supervisor and the faculty.

(2) In the event that a PhD student has the funding of the study from or his/her place of work at an institution other than the admitting institution, a separate contract must be drawn up between the student, the faculty and external party, cfr. Section 17. This contract shall be signed by the start of studies.

### **Section 12: Right to study**

(1) The prescribed duration of PhD study is three years (180 ECTS). A person who has accepted the offer of a study place retains the right to study for a period equivalent to two years' effective study over and above the prescribed time. The student may be required to document the availability of funding for the additional period. The faculty itself can, at its own discretion, extend this period for the programme(s) in its regulations.

(2) Students who are at risk of losing their right to study in accordance with this rule are to receive notification of this no later than one year before the right to study expires. A student who loses the right to study may submit a new application.

(3) Students must confirm the individual education plan within a stipulated deadline each semester. Confirmation of the education plan refers here to that part of the plan that applies in any given semester.

(4) A candidate that fulfils the conditions of Section 3-10 in Act relating to Universities and University Colleges is entitled to submit a thesis for evaluation for the degree of PhD even if the right to study has expired, on the condition that the instruction component still meets the requirements of the program in question.

### **Section 13: Leave of absence**

(1) A PhD student who has a child, is entitled to maternity leave during the pregnancy and to care for their baby (parental leave), cf. Sub-section 4-5 of the Act relating to Universities and University Colleges. Leave of absence is also granted for PhD students who must serve compulsory military service.

(2) A PhD student granted parental leave may still attend classes and take examinations in courses which are to be part of the instruction component.<sup>2</sup>

(3) Doctoral fellows granted leaves of absence from their position automatically receive the equivalent leave(s) of absence from their study.

(4) The faculty can grant leaves of absence for a total of up to two years during the study period for the following reasons: participation in international defence operations or work related to student politics, protracted illness and for other important academic, social or personal reasons. The faculty itself has the authority to adopt supplementary rules expanding the opportunities for leaves of absence for doctoral students.

(5) The contract period is to be extended by a period equivalent to the leave of absence.

### **Chapter III: Doctoral degree programme**

#### **Section 14: Doctoral degree programme**

(1) The PhD programme equates to 180 credits, of which the instruction component comprises 30 credits and the doctoral thesis (including trial lecture and defence) 150. The programme is to give the candidate the knowledge, skills and general competence in accordance the National Qualifications Framework for Higher Education and is to be organized such that it may be completed within the prescribed time, which is three years' effective study.

(2) The faculty is responsible for seeing that the instruction component together with the thesis work represents training at a high academic level conforming to international standards and comprising the completion of a scientific work, training in dissemination and communication, research ethics, philosophy of science and method.

#### **Section 15: Instruction component**

(1) Courses in the instruction component must normally be at PhD level (8000-level) and are to cover the philosophy of science and ethics among other topics. The training is to fulfil expectations of educational return as defined by the National Qualifications Framework for Higher Education. Elements in the instruction component should not have been completed more than two years before training begins. For PhD students from a Medical Student Research Programme it is mandatory that the instruction component be completed in its entirety after admission.

(2) The faculty may grant exemption/academic approval from parts of the instruction component if the student has completed equivalent and approved instruction or courses at another approved institution, cf. sub-section 4-5 of the Act relating to Universities and University Colleges. In subjects where there is no course instruction, students may submit individual reading lists for approval in lieu of course participation.

(3) If the faculty does not arrange the entire instruction component, it is to ensure that the student receives equivalent instruction at another faculty/institution offering approved doctoral degree programmes.

(4) Courses at PhD-level at other institution are to be approved according to the rules of Act relating to Universities and University Colleges sub-section 3-5 second article/paragraph.

---

<sup>2</sup> jf. Lov om folketrygd § 14-10, fjerde ledd og NAV sitt rundskriv til § 14-10, fjerde ledd av 18. desember 2006, sist endra 30. juni 2009.

(5) The instruction component is to be completed and approved before submission of the thesis. Applications to amend a previously approved individual education plan for the instruction component are to be prepared in collaboration with the principal academic supervisor and decided by the programme board.

### **Section 16: Academic supervision**

(1) A PhD student is to receive individual academic supervision while working on their doctoral thesis in accordance with the current regulations<sup>3</sup> and in accordance with a stipulated time-frame.

(2) The student is to have at least two academic supervisors, one of them appointed principal academic supervisor. The principal academic supervisor should normally be employed at the university. He/she is to be appointed at the latest at the start of studies.

(3) The principal academic supervisor has the main responsibility for the student. If the faculty appoints an external supervisor a co-supervisor from the faculty must be appointed.

(4) Co-supervisors are scientific personnel that provide supervision and share the academic responsibility for the student with the main supervisor.

(5) The rules concerning conflict of interest in the Norwegian Public Administration Act Section 6 – 10 apply to supervisors.

(6) The academic supervisor must have a doctoral degree or the equivalent within the field and be actively engaged in research. At least one of the supervisors appointed should have prior experience of or training in supervision of PhD students.

(7) The student shall have regular contact with his/her academic supervisors.

(8) The supervisors have an obligation to stay apprised of progress in the student's work and assess this relative to the progress plan.

(9) The supervisors have an obligation to follow up academic matters that may lead to delays in the completion of research training so that it may be accomplished within the prescribed time.

(10) The supervisors are to provide advice on the formulation and delimitation of topics and problems, discuss and assess hypotheses and methods, results and their interpretation, conception and implementation of presentation, including organization, language, documentation, and so on, and assist in finding relevant literature and data such as available through libraries and archives, etc. Supervisors are further expected to provide supervision in relation to ethical questions connected to the thesis.

(11) The student and supervisor may together or separately request the faculty that a new supervisor be appointed. The supervisor may not resign from his engagement before a new supervisor has been appointed.

(12) Disputes regarding the academic rights and duties of the supervisor and student may be presented by both parties to the faculty for consideration and decision.

---

<sup>3</sup> Cf. note 1.

### **Section 17: Affiliation with a research community**

(1) The faculties are, in consultation with the academic supervisors, responsible for facilitating the PhD students' regular participation in an active research community involving senior researchers and other students. For students with a primary affiliation to other institution, the agreement that is set up between the university and the collaborating institution will regulate working conditions and ensure that the doctoral student participates in an active research environment, cf. section 11.

(2) The working conditions are to be in accordance with *The European Charter for Researchers* and *The Code of Conduct for the Recruitment of Researchers*.

### **Section 18: Infrastructure**

PhD students are to have at their disposal necessary infrastructure to complete their research project. The department/faculty determines what constitutes necessary equipment. For students with external funding and/or place of employment, a specific contract must be drawn up between the university and the external parties for each research project. Such contracts are as a general rule to be drawn up during or immediately after the admission process, cf. section 11.

## **Chapter IV: Doctoral thesis**

### **Section 19: Requirements on the doctoral thesis**

(1) A thesis is to be an independent piece of academic research that meets international standards of ethics, scholarship and method in its field. The thesis is to contribute to the development of new knowledge and achieve a level meriting publication in the scientific literature in the field.

(2) The thesis may either be a monograph or a collection of several smaller research papers or anthology. Such collections must have a connection between the various components, and the connection must be explained in a summary.

(3) Co-authored works may be approved as part of a doctoral thesis to the extent that the doctoral student's individual input can be identified and documented. A signed statement describing the nature of the student's contribution(s) is to accompany the thesis.

(4) Where a written work has been developed in collaboration with other authors the student is to adhere to those norms for co-authorship that are held in common within the field and are consistent with international standards.

(5) If the thesis consists primarily of articles the student must normally be the main author on at least half of the articles.

(6) The faculty itself may in its supplementary regulations approve a thesis written jointly by two or more doctoral students.

(7) The faculty decides which language may be used in a thesis.

### **Section 20: Works that may not be submitted**

(1) A candidate may not submit research work or parts of a work which has been accepted as basis for previous examination unless the work is a minor part of a thesis consisting of several related works. Data, analyses or methods from earlier degrees may nonetheless be used as a basis for the PhD project.

(2) Work published more than five years before training begins may not be included as part of the thesis. The faculty may waive this requirement under extraordinary conditions.

(3) A thesis that has been submitted for evaluation at another institution may not be submitted.

### **Section 21: Publication of the thesis**

(1) The thesis is to be available to the public no less than two weeks prior to the public defence in the form submitted including corrections of any errata as described in the third article/paragraph of Section 31.

(2) There are to be no restrictions on the publication of a doctoral thesis. An exception may be made in the event that a prior agreement has been made concerning delayed publication at an agreed upon date. Such a postponement may be agreed upon between the PhD student and the funding sources/employer may take place when the purpose is to determine its interest in possible patents or commercialisation of research, cf. what is determined by laws governing the right to discoveries by employees.

(3) External party may not impose a condition requiring all or part of a doctoral thesis shall not be made public or published.

(4) On publication of the thesis the candidate is to follow the applicable guidelines concerning credit for institutions. In general the publication should state the address of one institution that has provided necessary and essential support or basis for an author's contribution to the published work. The same author is to state the addresses of other institutions to the extent that each satisfies the requirement of contribution.

## **Chapter V: Quality assurance and reporting**

### **Section 22: Quality assurance and reporting**

(1) All relevant levels at the university have a responsibility to follow the *Quality system for educational activities at UiT, The Arctic University of Norway*.

(2) One step in this quality assurance is annual reporting by PhD student and academic supervisor. It is the duty of both the supervisor and student to provide progress reports. The purpose of these reports is to improve the quality of education. The report should address the frequency and quality of supervision.

(3) Absence of or deficiencies in reporting on the part of the student may lead to enforced termination of researcher training, cf. Section 25. Supervisors who fail to follow up reporting obligations may be relieved of supervision rights.

(4) The faculty may require special reports as needed.

## **Chapter VI: Obligation to report results**

### **Section 23: Obligation to report results with potential for commercial exploitation**

(1) A PhD student employed at the UiT has an obligation to report work results in accordance with the current rules.<sup>4</sup>

(2) For students with external employers, the contract between the university, student and employer is to state whether the student has an obligation to report.

(3) For PhD students without an employer the contract between faculty and student is to specify equivalent reporting obligations.

---

<sup>4</sup> *Regulations for employers' right to results.*

## **Chapter VII: Termination of contract**

### **Section 24: Voluntary termination**

(1) PhD student and faculty may reach mutual agreement for termination of the doctoral degree programme prior to term. In the event of such terminations of contract, a separate agreement must be drawn up covering questions such as employment conditions, funding and rights to the results.

(2) In the event of voluntary termination of contract because the student wishes to change project or transfer to another programme, he/she must reapply based on the new project. In this context, transferring to the Doctor Philos. degree is the same as voluntary termination of contract.

### **Section 25: Enforced termination**

(1) The faculty may, pursuant to the Act relating to Universities and University Colleges (uhl.), Section 4-13 first paragraph terminate doctoral training prior to term due to scientific misconduct as described in the Research Ethics Act Section 5, second paragraph.

(2) The faculty may, pursuant to the Act relating to Universities and University Colleges Section 4-13 second paragraph, terminate the doctoral degree training prior to term in case of significant breach of contract. Examples of breaches of contract that can result in termination include the following:

- The student has neglected his/her responsibilities with regard to adequate information, follow up and reporting on multiple occasions or for essential matters.
- The progress on the research project is delayed to such an extent that there are reasonable grounds to believe that the student will be unable to complete the project on term, and the delay results from conditions under his/her control.
- Completion of the instruction component is substantially delayed, for reasons under the student's control.
- The student has acted in a way that is inconsistent with the trust that must obtain between the student and the university for the duration of the contract, including irregularities connected with the training, e.g. academic malpractice in the instruction component.
- The funding is terminated, e.g. because the student is given notice from his/her position.

(3) When academic malpractice as defined by uhl. Section 4-7 is suspected, and the student in question is a doctoral fellow at UiT, the faculty must consider whether there are adequate grounds for enforced termination. When academic malpractice as defined by uhl. Section 4-7 is suspected, and the student in question is not a doctoral fellow at UiT, the faculty must consider whether the case should be placed with the university's Central Appeals Committee pursuant to uhl. Section 4-8, cf. section 4-7, or be processed as a case of enforced termination, cf. uhl. Section 4-13 third paragraph. In case of enforced termination, it must also be determined whether any qualifications achieved during the training period are to be annulled pursuant to the Public Administration Act section 35.

(4) The student and the relevant department will have the opportunity to comment prior to any decision regarding enforced termination.

(5) The Ministry, or a special appeals body appointed by the Ministry, is the appeals body regarding decisions of enforced termination pursuant to uhl. Section 4-13 first paragraph. The university's Central Appeals Committee is the appeals body regarding decisions of enforced termination pursuant to uhl. Section 4-13 second paragraph.

## **Chapter VIII: Assessment of the thesis**

### **Section 26: Submission**

(1) The instruction component must be completed and approved prior to submission of the doctoral thesis, cf. the last clause of Section 15. The University Director determines how doctoral thesis shall be submitted.

(2) The main supervisor is responsible for advising the faculty when submission is imminent so that the process of appointing the committee may begin.

### **Section 27: Appointment of the evaluation committee**

(1) The faculty appoints an expert evaluation committee consisting of at least three members to assess the thesis and the defence, and appoints a committee leader from the members. The composition of the committee should normally be clarified on submission.

(2) The department proposes the committee.

(3) The composition of the committee shall be such that:

- both genders are represented
- at least one of the members is employed at the university
- at least one of the members has no association with the university
- at least one of the members does not have a primary affiliation with a Norwegian institution
- all the members are holding a doctoral degree or equivalent
- at least one member has competence at the level of professor or equivalent
- the majority of the committee are external members
- the majority of the committee are employed at institutions awarding the doctoral degree.

(4) Grounds are to be given for the composition of the committee and in particular grounds for any departures from the criteria. The account is to show how the committee as a whole covers the field(s) dealt with in the thesis.

(5) In special cases the faculty may appoint an administrative leader in addition to the members. He/she is not to take part in the scholarly assessment of the thesis.

(6) The faculty may, when required, appoint a reserve member to the committee.

(7) Persons who have had a supervisory or co-author relation to the candidate, or others with a conflict of interest, may not serve as members or administrative leader of the committee pursuant to Section 6 of the Public Administration Act.

(8) The candidate is to be advised of the composition of the evaluation committee and be given the opportunity to give written comment on the proposal within five days of receiving notice.

### **Section 28: Withdrawal and revision of the thesis**

(1) A thesis which has been submitted may not be withdrawn before the evaluation committee has determined whether or not it is worthy of public defence.

(2) The candidate may nonetheless apply to the faculty for permission to correct formalities in the submitted thesis. The application must specify in full all errata to be corrected. The application is to be submitted no later than four (4) weeks before the committee's deadline for returning their recommendation. It is only possible to apply once.

### **Section 29: Grounds for obtaining supplementary details**

(1) The committee may request that the candidate submit his/her data and any additional information that complements or clarifies the thesis.

(2) The committee may ask the supervisor to account for the supervision carried out and the work on the thesis.

## **Chapter IX: The committee's report and consideration of the report**

### **Section 30: Deadlines**

(1) The report of the Thesis Committee shall to the extent possible be presented no later than three months after the thesis is submitted. If the candidate is allowed to rework the thesis pursuant to the third article/paragraph of Section 31, a new period commences upon resubmission of the thesis. This also applies to possible resubmission pursuant to Section 33.

(2) The defence shall take place within four months of the thesis being submitted, to the extent possible.

### **Section 31: Recommendation**

(1) The Committee submits a report to the faculty, based on the thesis and any additional material, cf. Section 29. The recommendation is to specify whether the dissertation is worthy of public defence or should not be approved. Grounds are to be given for the recommendation and any dissenting points of view.

(2) The committee may recommend that the faculty permit minor revisions before final the final recommendation is made. In such cases the committee is to specify in writing which revisions the candidate is to carry out.

(3) If the faculty accepts the recommendation the student is to receive a deadline for carrying out the revisions. Normally the deadline is not to exceed three months. A new deadline for the final committee recommendation is also to be determined. The candidate may not appeal a recommendation for revisions.

(4) Should the committee determine that significant changes are necessary in theory, hypothesis, material or method to be able to recommend the dissertation as worthy of defence, the committee is to recommend that the dissertation not be approved.

(5) The faculty is to send a copy of the recommendation to the candidate with a deadline of ten working days to give written comment. If the recommendation is positive, the deadline may be set to five working days. The faculty is to forward any comments to the committee with a short deadline for return comments should the faculty determine there are grounds for further clarification.

(6) If the candidate does not wish to give comment he/she is to advise the faculty of this in writing as soon as possible.

### **Section 32: Processing of the committee report**

(1) The faculty decides whether the PhD-thesis is worthy defence for the degree of Philosophiae Doctor based on the report and additional statements, if any.

(2) Unanimous committee report:

- If the committee's report is unanimous, and the faculty determines that it may serve as the basis for its decision, the faculty is to make its decision according to the conclusion in the report.
- If the faculty determines that there is reasonable doubt as to whether the committee's unanimous recommendation should serve as the basis for its decision, the faculty is to request further clarification from the committee, and/or appoint two new experts who will be required to submit individual evaluation of the thesis, or appoint a new committee. The experts are not to be employees of the University, and they are not to have had prior involvement with the dissertation. Section 27 applies in the appointment of a new committee. The recommendation and any comments from the candidate are to accompany the request to the experts / new committee.

- Additional clarifications, individual statements or a revised recommendation are to be presented to the student, who will have the opportunity to give written comment within the deadlines specified in the fifth article/paragraph of Section 31.

(3) Split committee report:

- If the committee's report is split and the faculty determines that the majority recommendation may serve as the basis for its decision, the faculty is to make its decision in agreement with the majority recommendation.
- If the committee's report is split and the faculty is considering basing its decision on the minority recommendation the faculty may request further clarification from the committee, and/or appoint two new experts who will be required to submit individual evaluations of the thesis., or appoint a new committee. The experts are not to be employees of the University, and they are not to have had prior involvement with the dissertation. Section 27 applies in the appointment of a new committee. The recommendation and any comments from the candidate are to accompany the request to the experts / new committee.
- Such additional clarifications or individual statements are to be presented to the student, who will have the opportunity to give comment.

(4) The candidate for the doctoral degree is to receive notification of the result.

**Section 33: Re-submission**

(1) A thesis that is not deemed worthy of public defence may be re-submitted once only after revision. Re-submission is permitted a minimum of six months after the date of the first decision.

(2) The candidate is to state that the thesis has been previously evaluated and not deemed worthy for defence. The committee may, on request, receive a copy of the original report.

**Section 34: Trial lecture**

(1) The candidate is to hold a trial lecture. The trial lecture is a separate part of the doctoral trial and is to be on a given topic.

(2) The faculty is to give the candidate the title of the trial lecture ten working days prior to the date scheduled for the lecture. The topic should not be directly connected to the topic of the thesis.

(3) The trial lecture is to be held as a general rule after the thesis has been approved for public defence, but before the public defence. The topic for the lecture is determined and evaluated by the committee.

(4) In special cases the trial lecture may be held before the recommendation is ready, but after submission. In such cases the faculty may appoint a separate committee to determine the topic and evaluate the trial lecture. At least one member of the dissertation committee is to be included in the trial lecture committee, which as far as possible is to convene according to the provisions of the third article/paragraph of Section 27.

(5) The trial lecture is to be held in the language of the thesis or in Norwegian, unless the faculty approves otherwise.

(6) The committee decides whether the trial lecture *is a pass* or *fail*, and is to provide grounds in the event of a fail. The trial lecture must be approved before the defence may be held.

(7) If the result of the trial lecture is a fail the candidate may register for a new trial lecture. The trial lecture is to be held on a new topic as soon as possible and no later than six months. If possible, the new lecture is to be evaluated by the original committee. The trial lecture rerun may only be held once.

## **Chapter X: The defence and degree award**

### **Section 35: Defending the thesis**

- (1) When the candidate has held the trial lecture and it is approved, he/she is to defend the thesis in a public defence. The time and place for the defence is to be posted well in advance, along with information concerning publication and availability of the thesis.
- (2) The defence is to be held in the language of the thesis or in Norwegian, unless another language is approved by the faculty.
- (3) There should normally be two opposing speakers. These are to be members of the Evaluation Committee. In special circumstances, the faculty may appoint opposing speakers from outside the committee.
- (4) The defence shall be led by the Dean or his/her representative. The leader of the defence gives a brief presentation of the procedure to date, including submission of the thesis, the committee report and the trial lecture. After this introduction, the candidate is to give an account of the objectives and results of the investigation. The first opposing speaker commences the discussion, and the second concludes the defence. The faculty, however, may stipulate a different order and division of tasks between the opposing speakers and between the candidate and the first opposing speaker. Members of the audience who wish to pose questions *ex auditorio* must notify the leader of the defence of their desire to do so by a designated time in the proceedings.

### **Section 36: Approval of the doctoral trial**

- (1) After the defence, the Thesis Committee issues a statement of its evaluation of the defence. This statement shall conclude either that the defence has been approved or not.
- (2) In the event that a defence is not found satisfactory, a new defence may be held if the doctoral degree candidate wishes to do so. The new defence shall be held as soon as possible and no later than six months later. If possible, the new lecture(s) shall be evaluated by the original committee.
- (3) The defence must be approved before the degree of doctor may be conferred upon the candidate and a diploma awarded.

### **Section 37: Awarding of the degree, diploma**

- (1) When a majority of the committee has approved the defence, the candidate is awarded the degree of Philosophiae Doctor (PhD).<sup>5</sup>
- (2) A diploma and diploma supplement are issued by the university.

## **Chapter XI: Appeals**

### **Section 38: Appealing a decision to turn down application for admission**

In accordance with the provisions of Section 28 of the Norwegian Public Administration Act it is possible to appeal a decision to turn down an application for admission to the doctoral programme or a decision to terminate the right to study. Appeals are to be submitted to the faculty. If the original decision is upheld, the appeal is to be sent in writing to the university's Central Appeals Committee for consideration.

---

<sup>5</sup> Changed 19.1.2017.

### **Section 39: Appealing a decision not to approve the instruction component**

In accordance with the provisions of Section 28 of the Norwegian Public Administration Act it is possible to appeal a decision to turn down an application for approval of courses or other parts of the instruction component. When appealing the result of an examination Section 5-3 of the Act relating to Universities and University Colleges applies in addition.

### **Section 40: Appealing a decision not to approve a dissertation, trial lecture or defence**

Decisions involving non-approval of a thesis, trial lecture or public defence may be appealed in accordance with Section 28 and following of the Norwegian Public Administration Act. Appeals, outlining of the grounds for the appeal, must be submitted to the faculty, which may reconsider all aspects of the appealed decision.

## **Chapter XII: Taking effect**

### **Section 41: Taking effect**

These regulations take effect from 1.1.2013.

The Regulations for the degree of Philosophiae Doctor (PhD) at the University of Tromsø of 19th November 2009 are repealed from 31st December