

# 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	Sections 3-3, 3-7, 3-9 and 4-13 of the Act relating to universities and university colleges (1 April 2005)	
Applies from	1 January 2013	
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*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). They pertain to admission, participation in and completion of the doctoral degree programme at the University of Tromsø - The Arctic University of Norway (UiT). UiT's 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 activities 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 supplementary regulations that are adopted.

(3) Each faculty is to have a Programme Board which is responsible for the totality of the programme/programmes.

(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 member of 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

Academic supervisor / supervisor (rettleiar)	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's regulations and guidelines. <sup>1</sup>
Admissions committee (opptakskomite)	Faculty body responsible for admission to a PhD programme.
Awarding a degree (kreera)	To confer an academic degree on someone.
Candidate (kandidat)	A PhD student who has submitted his/her thesis for assessment.
Contract/agreement (avtale)	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 as 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.
Course (emne)	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 (emnebeskriving)	A description of the learning outcomes, academic components, structure and implementation of the course. All courses at UiT are described in a course description.
Credits (studiepoeng)	A measurement of the quantity of work completed. 60 credits (ECTS) constitute one year's full-time study.
Defence (disputas)	A public discussion and defence (against criticism from opponents) of a doctoral thesis prior to being awarded a doctoral degree.
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.
Doctoral candidate (doktorand)	A person defending his/her doctoral thesis at a public defence.
Doctoral degree programme (PhD programme) (doktorgradsprogram, ph.d.-program)	A three-year programme of study culminating in a PhD degree. A programme of study may be established as a <i>joint degree</i> .
Doctoral fellow (stipendiat)	PhD training position
Examination (eksamen)	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.

<sup>1</sup> The current [guidelines](#) are *Ethical guidelines for supervision at UiT the Arctic University of Norway*.

Ex auditorio	“From the auditorium” - a member of the audience at a defence may register as an opponent ex auditorio.
Experience-based master’s degree (erfaringsbasert mestergrad)	A degree established with vocational further education as the objective. Specialisation in a specific subject/discipline in the bachelor’s programme is not an admission requirement for experience-based master’s programmes.
External applicant (ekstern søker)	A person who applies for admission to a PhD programme and who is not a doctoral fellow with UiT as an employer.
Field of study (studieretning)	A defined field of study/discipline within a programme of study. <sup>2</sup>
Funding plan (finansieringsplan)	A plan outlining funding of the PhD programme, including the total, funding sources and annual distribution.
Individual education plan (utdanningsplan)	An agreement between 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 the fellow students. For PhD programmes, this plan is to cover the instruction component and thesis, with a description of the research project.
Instruction component (opplæringsdel)	Organised research training module – ethics, philosophy of science and academic courses
Joint degree (fellesgrad)	A degree set up in collaboration between Norwegian institutions or Norwegian and overseas universities.
Midway evaluation (midtvegsevaluering)	Evaluation of the student’s work progression midway in the programme.
Opponent	A member of the Thesis Committee who at the defence critically reviews the doctoral candidate’s thesis.
PhD student (doctoral student) (ph.d.-student, doktorgradsstudent)	A person admitted to a PhD programme at UiT
Programme Board (programstyre)	The faculty body responsible for structured research training (PhD programme) and matters relating to the doctoral degree Dr.Philos.
Programme description (studieplan)	A plan describing the learning objectives, academic components, structure and implementation of the programme.
Programme/Course admission (studierett)	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.
Supervisor (rettleiar)	See “academic supervisor”.

<sup>2</sup> From 1 January 2019, no ph.d.-programme at UiT have fields of study.

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

(1) The doctoral programme is to consist primarily of scientific research activities 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 upon:

- 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 the 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 a general rule covers personnel and running costs, and overhead for a doctoral fellow position. For part-time students, it is required 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 also an 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 in 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
  - assessment of the potential for innovation and / or ideas that can be commercialized

(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.

### **Section 8. Admission committee**

(1) Each faculty is to have an Admissions Committee, which has the 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 shall 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 composition of the committee's. 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 the PhD study before he/she assumes the position. A provisional decision to admit a PhD student may be made pending the

development / revision of the project proposal, 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 / revision of the project proposal, 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, as far as possible, to be made at the latest three months after start of studies, cf. Regulations on employment conditions for positions as postdoctor, doctoral fellow etc<sup>3</sup>, section 1-3 paragraph 8. The final decision to admit a PhD student, 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 based in the rights as an employee, or otherwise specially negotiated terms. 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 PhD course (8000 course) is primarily open to UiT's PhD students (Category 1).

(2) One or more of these categories of course students may also be admitted:

- 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 doctoral programme.

(3) Students admitted to a Student Research Programme at the Faculty of Health Sciences may take PhD courses at the faculty on equal terms with PhD-students. They may, upon application, also be admitted to PhD courses at other faculties. Any students from a Student Research Programme at other faculties of medicine shall be ranked after category 3.

(4) The faculty may stipulate special admission requirements within this framework. It must be clearly stated in the course description which admission requirements that apply and what categories of applicants that may be admitted.

(5) When the number of applicants exceeds the number of places available on a PhD course, applicants will be ranked from category 1 to 4, unless the course is announced with a different priority.

#### **Section 11. Start of studies, contract etc.**

(1) The student and the main supervisor should as soon as possible, and no later than two months after study start, edit the project proposal when orders for such revision have been issued upon provisional decision on admission.

(2) When a final decision on admission is made, it is to be formalised through a written contract between the student, the academic supervisor and the faculty.

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<sup>3</sup> Regulations on [ansettelsesvilkår](#) for stillinger som postdoktor, stipendiat, vitenskapelig assistent og spesialistkandidat

(3) In the event that a PhD student has funding for the study from, employment at or other contribution from external party, a separate contract must be drawn up between the student, the faculty and external party, cf. section 17.

(4) The student shall set up a Data Management Plan for research data in the project within six month according to the current regulations.<sup>4</sup>

### **Section 12. Right to study**

(1) The prescribed duration of the 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 the semester 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 the 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. A prerequisite for this is, however, that the instruction component still meets the requirements of the programme 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. section 4-5 of the Act relating to Universities and University Colleges. Leave of absence is also granted for PhD students that must serve compulsory military service.

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

(3) 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, 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.

(4) 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 ECTS and the doctoral thesis (including trial lecture and defence) 150 ECTS. The programme is to give the candidate the knowledge, skills and general competence in accordance with the description of the PhD (3. Cycle) in 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.

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<sup>4</sup> The current regulations are *Prinsipper og retningslinjer for forvaltning av forskningsdata ved UiT*.

(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.

(3) The university shall prepare the student for a professional career within or outside academia.

### **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 Student Research Programme it is mandatory that the instruction component is fully completed after admission to the Student Research Programme.

(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. section 3-5 second paragraph 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 must ensure that the student receives equivalent instruction at another faculty/institution offering approved doctoral degree programmes.

(4) Courses at PhD-level at other institution must be approved according to the rules of Act relating to Universities and University Colleges section 3-5, first paragraph.

(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 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 Public Administration Act sections 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 have up to date knowledge of 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 the PhD study so that the degree 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, 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 with the thesis.
- (11) The student and supervisor may, together or separately, request the faculty that a new supervisor is 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 the student, may be presented by both parties to the faculty for consideration and decision.

#### **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) The thesis is to be an independent piece of academic research that meets international standards of ethics, scholarship and method in its field. Through the thesis, the student will contribute to the development of new knowledge, and the thesis shall be at a level meriting publication as part of the scientific literature in the field.

(2) The thesis may either be a monograph or a collection of several smaller research papers – an 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 the norms for co-authorship within the field and that 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 evaluated / is 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 section 31, third paragraph.

(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) An 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.

(5) Published parts of the thesis shall, as a main rule, be openly available either in open access journals or in UiT's access archive. Unpublished parts of the thesis shall be openly available no later than two years after the defence and unpublished monographs no later than four years after the defence. All parts of a thesis must be openly available no later than five years after the defence.<sup>5</sup>

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<sup>5</sup> Section 21, fifth paragraph is applicable for candidates who submit the thesis 1 January 2019 or later.

## **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. The faculty can put off the annual reporting until the student is in the last year of the study, nominal length. Subsequently, the reporting is to be carried out every year.<sup>6</sup>

(3) For each PhD student, a midway evaluation shall be carried out. The purpose is to give the student feedback on the status of the doctoral work and on how the quality of the work may be improved. If it is revealed that the work has significant weaknesses that constitute a risk that the education cannot be carried out within the nominal length of study, action shall be taken to correct the situation. The faculty determines the contents of the midway evaluation.<sup>7</sup>

(4) 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.

(5) 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.

(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.

## **Chapter VII Termination of contract**

### **Section 24. Voluntary termination**

(1) A PhD student and the 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 Dr.Philos. degree is the same as voluntary termination of contract.

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<sup>6</sup> This sentence is applicable for students who have been / will be midway evaluated.

<sup>7</sup> Mandatory midway evaluation pursuant to section 22 third paragraph shall be carried out no later than for the group starting the PhD study in the autumn of 2018.

## **Section 25. Enforced termination**

(1) The faculty may, pursuant to the Act relating to Universities and University Colleges, 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 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 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 the 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. If the committee has a shorter deadline than three months to deliver the recommendation, the deadline can be reduced proportionally. 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 committee members received the thesis. If the candidate is allowed to rework the thesis pursuant to the third 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, preferably, take place within four months of the thesis being submitted.

### **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 thesis is worthy of public defence or if it 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, cf. section 32 third paragraph, the student is to get a deadline of up to three months for carrying out the revisions. A new deadline for the final committee recommendation is to be determined. The candidate may not appeal a decision regarding revision.

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

(5) The faculty is to send a copy of the report to the candidate. When the recommendation is unanimous negative, when the committee is split and when the recommendation is that the candidate be permitted minor revisions, he/she shall be entitled to give written comments with a deadline of ten working days. If the candidate does not wish to comment the report, he/she is to advise the faculty of this in writing as soon as possible.

(6) 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.

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

(1) When the committee's recommendation is unanimously positive, the thesis is worthy of defense for the degree of Philosophiae Doctor (PhD).

(2) When the committee has given a split recommendation or an unanimous negative recommendation, the faculty shall assess whether the work is worthy defence for the PhD degree:

- If the faculty finds that the majority's recommendation may serve as the basis for its decision, the faculty decides in accordance with the recommendation.
- If the faculty finds that there is reasonable doubt as to whether the majority's recommendation should serve as the basis for its decision, the faculty may 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 thesis. 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 are to be presented to the candidate with a short deadline for written comments.

(3) When the committee recommends that the candidate should be permitted a minor revision before the final recommendation, the faculty shall

- assess whether there is a basis for complying with the proposal, cf. section 31, second and third paragraphs or
- if the faculty shall ask the committee to give a final recommendation without the thesis being revised or
- make a final decision based on the recommendation and any comments from the candidate

(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. The purpose is to test the candidate's ability to acquire knowledge beyond the thesis topic and the ability to disseminate it. The committee determines the title of the lecture.
- (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 title of the trial lecture is to be given to the candidate after the submission of the thesis, and the lecture is to be held prior to the defence. The faculty determines when the lecture is to be held.
- (4) If the lecture is to be held before the recommendation is ready, the faculty may appoint a separate committee to determine the title and assess the lecture. At least one of the members of the thesis committee is to be included in the trial lecture committee, which as far as possible is to be convened according to the provisions of section 27, third paragraph.
- (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 *not pass*, and is to provide grounds in the event of a not pass. 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 the 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 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 on 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).

(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**

A decision to turn down an application for admission to the doctoral programme or a decision to terminate the right to study may be appealed to the University's Appeals Committee according to Section 28 of the Public Administration Act. The appeal must be submitted to the faculty.

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

(1) A decision to turn down an application for approval of courses or other parts of the instruction component may be appealed to the University's Appeals Committee according to section 28 of the Public Administration Act. Appeal must be submitted to the faculty.

(2) The regulations for examinations at UiT apply to appeals against examination results on courses in the instruction component.

### **Section 40. Appealing a decision not to approve a thesis, 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 Public Administration Act, cf. the Act relating to Universities and University Colleges, Section 4-13 fourth paragraph. The appeal must be submitted to the faculty.

## **Chapter XII Taking effect**

### **Section 41. Taking effect**

These regulations take effect from 1 January 2013.

The Regulations for the degree of Philosophiae Doctor (PhD) at the University of Tromsø of 19 November 2009 are repealed from 31 December 2012.

*24 August 2018*