



Regulations for the PhD programme in Nautical Operations (*Joint degree*)

Regulations for the PhD programme in Nautical Operations: *Joint degree*

This national PhD programme is organised as a joint degree between the University of Tromsø - The Arctic University of Norway (UiT), the Western Norway University of Applied Sciences (HVL), the Norwegian University of Science and Technology (NTNU) and University of South-Eastern Norway (USN).

These regulations are founded on and expand on the following regulations:

- *Regulations concerning the degree of Philosophiae Doctor (PhD) at the University of Tromsø - The Arctic University of Norway (adopted by the University Board on 25 October 2012 and last amended on 19 January 2017)*
- *Regulations for the Doctor of Philosophy Degree (PhD) at Western Norway University of Applied Sciences (adopted by the interim University College Board on 22 December 2016)*
- *Regulations for the Philosophiae Doctor Degree (PhD) at the Norwegian University of Science and Technology (adopted by the Board at NTNU on 23 January 2012, last amended on 8 December 2015)*
- *Regulations relating to the degree of Philosophiae Doctor (PhD) at the University College of Southeast Norway (adopted by the Board at the University College of Southeast Norway on 18 December 2015)*

All four regulations are based on the Recommended Guidelines for the Doctor of Philosophy Degree (PhD) recommended by the Board of the *Norwegian Association of Higher Education Institutions*.

These regulations are adopted by:

- The Faculty Board at the Faculty of Science and Technology, UiT The Arctic University of Norway,
- The Rector at Western Norway University of Applied Sciences (formerly Stord/Haugesund University College),
- *The Rector at the Norwegian University of Science and Technology (NTNU) (formerly Ålesund University College), and*
- The Rector at the University College of Southeast Norway (formerly the Buskerud and Vestfold University College).

Where discrepancies exist, the strictest rule within the regulations at the four institutions will apply.

DEFINITIONS

Consortium

A consortium has the overall responsibility for the joint degree. The consortium comprises of one person with leadership responsibility at the faculty/department level from each institution.

Programme Board

The Programme Board is responsible for academic development of the PhD programme in Nautical Operations, as well as admission and follow-up of the candidates and supervisors, etc, cf. Section 3-3 below.

Local PhD leader

The four academic staff representatives on the Programme Board are designated as the local PhD leaders and are responsible for the day-to-day follow-up of the operation of the PhD programme.

Home institution

The home institution is designated as the institution that pays the doctoral fellow position or, if the student is financed by external sources, the partner institution where the student plans to spend most of his/her PhD period and where his/her main supervisor is employed.

Part I INTRODUCTORY PROVISIONS

Section 1 Applicability

The partner institutions shall jointly establish and operate the PhD programme in Nautical Operations, which culminates in a joint degree. The institutions have a joint responsibility for the entire programme of study, including the academic content, choice of teaching methods and forms of assessment and quality assurance of the programme of study.

Section 2 Scope, content and objectives of the PhD education

The objective of PhD programme in Nautical Operations is to qualify candidates to conduct research of international quality and to perform other types of work requiring a high level of scientific expertise and analytical thinking in accordance with sound scientific practice and established standards on research ethics.

The doctoral education shall provide the student with knowledge, skills and general competence in keeping with the national qualifications framework.

The doctoral education has a nominal duration of three (3) years of full-time study, which equates to 180 credits, and includes required coursework of 30 credits.

The most important component of the doctoral education is an independent piece of research, or combined research and development work, carried out under active academic supervision.

The PhD degree is conferred on the basis of:

- an approved doctoral thesis
- approved completion of the required coursework
- an approved trial lecture on an assigned topic
- an approved public defence of the doctoral thesis (disputation)

Section 3 Organisation

Section 3-1 The institution's boards

The university boards at UiT, NTNU and USN and the university college board at HVL have the overall responsibility for the PhD education that is organised at the following faculties/departments:

- Faculty of Science and Technology, UiT The Arctic University of Norway
- Faculty of Business Administration and Social Sciences, Western Norway University of Applied Sciences
- Faculty of Engineering, NTNU in Ålesund
- Faculty of Technology, Natural Sciences and Maritime Sciences, University of South-Eastern Norway

Section 3-2 Consortium

A consortium has the overall responsibility for the joint degree across the four institutions, including financial matters that are not regulated by the cooperation agreement. The consortium is composed of one person with leadership responsibility at the faculty/department level from each institution. The Chair of the consortium rotates between the four institutions. The duration of the term of office is two years.

The PhD Coordinator for the programme (see Section 3-5) and the Chair of the Programme Board prepare agenda items for the consortium and have the right to speak and to submit proposals.

Section 3-3 Programme Board

Four members of the Programme Board are academic staff representatives designated as the local PhD leader. One such representative is appointed from each partner institution. Furthermore, one member is chosen by and among the PhD students affiliated with the PhD programme. A second student representative may attend meetings with the right to speak and to submit proposals (cf. Section 4-4 (1) of the Act relating to universities and university colleges).

The institutions appoint the academic staff representatives for a period of four years. The Chair and Deputy Chair of the Programme Board are appointed among these and must have professorial competence. The Chair of the Programme Board rotates between the institutions with a term of office of two years. The Deputy Chair leads any part of the meeting from which the Chair is disqualified.

The institutions shall also appoint deputy board members for the academic staff representatives for a period of four years. These will deputise for their institution's academic staff representative when he/she is unable to attend meetings. The deputy board members must hold positions at associate professor level or the equivalent.

The Programme Board is responsible for academic development of the PhD programme in Nautical Operations, including the programme and course descriptions. The Programme Board makes decisions concerning admission of PhD students to the programme and appoints academic supervisors and assessment committees. At the stage of recruitment of PhD candidates, the Programme board provides opinions on the suitability of potential PhD candidates. The Programme Board is responsible for quality assurance of the programme, updating of regulations for the programme and changes in the programme description. The board shall present an annual report on the quality of education to the consortium, which will form part of the quality reporting to the institutions.

Resolutions are adopted by simple majority of the votes cast. The Programme Board has a quorum when four of the five board members are present. In cases of a tied vote when only four board

members are present, the matter is deferred until it may be determined by the entire Programme Board.

Section 3-4 Local PhD leaders

The four academic staff representatives of the Programme Board are designated as the local PhD leaders and are responsible for the day-to-day follow-up of the operation of the PhD programme. This includes follow-up of supervision contracts, lecturing on PhD courses at their home institution or when common courses have seminars at the local PhD leader's home institution.

Section 3-5 Administration

A PhD Coordinator is responsible for administrative coordination of the programme. The PhD Coordinator is employed at UiT – The Arctic University of Norway, but the Consortium shall have the opportunity to make suggestions concerning the announcement text and recommendation of candidates for the position.

The PhD Coordinator is responsible for preparing documents for and convening Programme Board and Consortium meetings, as well as for implementation of the decisions that are made. The Consortium determines the FTE percentage of the PhD Coordinator role.

Each institution is responsible for providing the necessary administrative support for implementation of the PhD programme in Nautical Operations at their institution.

Section 4 Quality assurance

A supplement to the quality assurance systems at the four partner institutions has been drawn up. The home institution's quality assurance system will apply in cases that are not regulated by the programme's quality assurance system.

Part II ADMISSION

Section 5 Admission

The PhD programme in Nautical Operations is an offer to applicants who have completed a programme of professional study and a master's degree in maritime subjects. Applicants with another or interdisciplinary backgrounds will be of relevance if their planned research project is relevant to the maritime sector.

The students are formally admitted at all the institutions and registered in the study administration system at each of the institutions. The student's affiliation shall be at the institution that has employer responsibility and where the main supervisor has his/her main position. The institutions have joint responsibility for follow-up of the PhD students.

There is continuous admission to the PhD programme.

Section 5-1 Conditions of admission

In order to be admitted to the PhD programme, the applicant must have completed a relevant master's degree of 120 credits – based on a bachelor's degree of 180 credits – with good grades, or an integrated master's degree of 300 credits.

Generally, applicants with a master's degree not containing a master's thesis are not qualified for admission to the PhD programme.

An individual assessment of the competence of applicants with a master's degree of less than 120 credits or a master's degree not containing a master's thesis can be carried out. Other education equivalent to missing credits in the master's degree must be documented. Such a special assessment will be carried out by the PhD administration at the home institution and must clearly determine the number of credits for the various courses/activities the education comprises of.

For example, the applicant may qualify for admission by:

- Writing a scientific work of an equivalent scope as a master's thesis (minimum 30 credits)
- Taking supplementary courses at master's level in relevant subject areas
- Reading a specialized syllabus at master's level

Examples of fields of study that qualify for admission include maritime management, nautical studies, occupational and organisational psychology, fire and safety, meteorology and oceanography and marine technology.

Normally, applicants must have a weighted grade average for the last two years of the master's degree (equivalent to 120 credits) equal to B or higher. Furthermore, applicants must normally have a grade of B or better for their master's thesis. Applicants with lower grades may be admitted if it can be documented that the candidate is particularly suitable for a doctoral education.

Experience-based master's degrees may constitute a basis for admission to the PhD programme. 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 an external evaluation must be carried out by at least one professor/associate professor from one of the institutions in the joint degree other than the home institution and may not be carried out by one of the local PhD leaders. The Programme Board should put decisive weight on this external evaluation.

If a candidate lacks necessary knowledge in the field of study, or required prerequisite knowledge, the Programme Board may, based on a recommendation from the academic environment, instruct the candidate to complete special supplementary courses beyond the compulsory required coursework. The candidate must gain a grade of B or higher for any supplementary courses, which will not form part of the required coursework.

Applicants that do not have the Norwegian Higher Education Entrance Qualification must document proficiency in English in accordance with these Regulations' *Appendix 1 – Requirements concerning English language proficiency for the PhD programme in Nautical Operations*.

Admission is contingent on the availability of adequate funding for the duration of the PhD programme, which as a general rule covers personnel and running costs, infrastructure and overheads for a doctoral fellow position. For part-time students, it is required that a minimum of 50% of the student's working time is spent on the PhD programme.

For any self-funded PhD students, it is required that the applicant has minimum NOK 20,000 per month available for subsistence for the duration of the programme. Applicants must submit a bank statement to document that he/she has this amount in his/her account for at least the first year. Furthermore, the total extent of costs to which running costs, infrastructure and overheads will accumulate must be examined on a case by case basis. The applicant will be invoiced for any costs incurred by the institution. The home institution must confirm if it wishes to cover these costs. A cost

apportionment between the institution and applicant must be regulated in a separate agreement before the applicant is admitted to the PhD programme.

Section 5-2 Application for admission

Applications must contain:

- Documentation of the educational qualifications to serve as the basis of admission
- A project description in English that provides an explanation of the thematic area, research questions, and the choice of theory and methodology. The project description must be signed by all the applicant's supervisors.
- A schedule for completing the programme
- A funding plan
- A proposal of academic supervisors (who have been asked and have agreed)
- A plan to comply with the residency requirement and any periods at another institution in Norway or abroad
- A plan for the required coursework component
- A plan for research dissemination
- Information about any restrictions on intellectual property rights that are intended to protect the rights of others
- A description of any legal or ethical issues raised by the project and how these can be addressed. The application must state whether the project is dependent on permission granted by committees on research ethics or other authorities or private individuals (research subjects, patients, parents, etc.). If possible, such permission should be obtained in writing and attached to the application.
- Infrastructure requirements (laboratory equipment, training simulators or anything else required to implement the PhD programme).

The application must be approved by the home institution's management (the Dean or the person delegated by the Dean) before submission to the Programme Board. It is the PhD student's responsibility to obtain a signature from the management.

The Programme Board may set further requirements concerning documentation.

The candidate and his/her main supervisor should in the course of the first year review the project description and assess the need for any adjustments. If the project description is amended, it must be submitted along with the first progress report.

An application for admission to doctoral training must normally be submitted within three (3) months of the start-up of the research project that will culminate in conferral of the PhD degree in Nautical Operations.

Section 5-3 Admission decision

The decision concerning admission is made by the Programme Board based on an overall assessment of the application.

The formal admission letter will appoint at least one academic supervisor, assign responsibility for dealing with other needs outlined in the application, and establish the start and end dates of the

agreement period. The start date will be the same as the date when the candidate's funding begins. Any extension of the agreement period must be related to the rights of employees or must be specifically clarified in relation to the candidate's basis for funding and other conditions.

Provisions on impartiality in Sections 6-10 of the Public Administration Act regarding disqualification apply to the academic supervisors.

All academic supervisors must hold a doctoral degree or equivalent qualification in the relevant research field and be working actively as researchers. In cases where only one academic supervisor is appointed, the PhD student is given a deadline of six (6) months to provide notification of further academic supervisors. The PhD student must as a minimum have two academic supervisors, cf. Section 14.

Admission will be denied if:

- Agreements with external third parties prevent the doctoral thesis from being made available to the public or from being defended in a public forum.
- The agreements on intellectual property rights that have been entered into are so unreasonable that the institution should not be involved in the project.
- The applicant has less than one year of full-time work remaining on the research project at the time of the application.

Section 5-4 Provisional admission

The Programme Board may, at the request of the institution, grant provisional admission to the PhD programme in connection with appointment as a doctoral research fellow. Provisional admission will be based on the applicant's formal qualifications, including academic background and grade level, as well as the institution's evaluation of the applicant in connection with the appointment. The formal letter concerning provisional admission must appoint at least one academic supervisor – the main supervisor.

Application for final admission must be submitted as normal within three (3) months of the start-up of the research project that will culminate in conferral of the PhD degree in Nautical Operations and contain all the elements that normally form part of the application, cf. Section 5-2.

Section 6 Agreement period

The doctoral education has a nominal duration of three (3) years of full-time study.

If the candidate's training is interrupted for legally established reasons, the agreement period will be extended correspondingly.

Section 6-1 Application concerning extension

An application for extension of the agreement period that is not based on legally established reasons must be presented to the Programme Board for consideration. Such an application must outline the reasons for the delay.

If an extension of the agreement period is approved, the Programme Board may stipulate additional terms and conditions.

Section 6-2 Conditions for doctoral research fellows during extension period

Any person who accepts a place on a programme of study retains their admission to the programme for a period equivalent to two years of effective study beyond the nominal length of study. It may be a condition that the student has funding for the additional period. No guarantees about available office space can be made beyond the period of employment. When the period of admission expires, the candidate may still apply for permission to submit his/her doctoral thesis for evaluation for the PhD degree.

Section 7 PhD agreement

Admission to the PhD programme in Nautical Operations is formalised in a written agreement signed by the PhD candidate, his/her academic supervisors and the consortium member at the home institution. The agreement regulates the rights and obligations of the parties during the period of admission.

For PhD candidates with funding from, employment at or other contributions from an external party, a separate agreement must be entered into between the candidate, the institution and the external party.

Part III TERMINATION BEFORE EXPIRY OF AGREEMENT PERIOD

Section 8 Voluntary termination

The candidate, main supervisor and home institution may agree that the candidate's participation in the PhD programme will be terminated prior to expiry of the agreement period. In the event of voluntary termination, all questions regarding the terms and conditions of employment, funding, rights to the use of the research results, etc. must be settled in a written termination agreement.

If voluntary termination is due to the candidate's desire to change projects or transfer to a different PhD programme, the candidate must reapply for admission on the basis of the new project.

Section 9 Involuntary termination in the event of delay, lack of progress or lack of funding

Pursuant to Section 4-13 of the Act relating to universities and university colleges, the Programme Board may decide to terminate a PhD candidate participation in the PhD programme if he/she fails to a serious extent to comply with his/her obligations stipulated in the PhD agreement. Examples of breach of agreement that can lead to involuntary termination:

- A serious delay in completion of the required coursework. As a general rule, required coursework should be completed within two years of admission to the PhD programme. For part-time students, this deadline may be extended in proportion to the student's FTE on the PhD programme (maximum four years for candidates with an FTE of 50%). Planned non-conformance with this rule must be approved by the Programme Board.
- Repeated or serious violations of the candidate's obligations to provide information, meet commitments or report on the project, including a failure to submit a progress report, cf. Section 15
- A delay in the progress of the research project that is of such a nature as to raise doubts about the candidate's ability to complete the project within the agreed timeframe.

Pursuant to these regulations, involuntary termination may be imposed only if the lack of progress or delay is due to circumstances over which the PhD candidate has control. Involuntary termination may also be imposed in cases where the funding that formed the basis of admission to the PhD programme lapses, e.g. if the candidate is dismissed from his/her position.

Pursuant to Section 4-13 (1) of the Act relating to universities and university colleges, the institution's appeals committee is the appeals body for appeals related to decisions concerning involuntary termination.

Section 10 Involuntary termination in the event of cheating on examinations or tests during the PhD programme

If it is found that a PhD candidate has cheated on examinations or tests during the PhD programme, the institution may decide to annul such examinations and tests, cf. Section 4-7 of the Act relating to universities and university colleges, or if the circumstances are so serious that it constitutes grounds for imposing involuntary termination, cf. as to constitute scientific misconduct, cf. Section 4-13 (1) of the same act.

Decisions based on this subsection are to be taken by the home institution's appeals committee. Complaints are to be handled by a special national appeals body for student cases, cf. Section 5-1 of the Act relating to universities and university colleges and regulations in accordance with this.

Section 11 Involuntary termination in the event of scientific misconduct

If it is found that a PhD candidate is guilty of scientific misconduct, cf. Section 4-13 (1) of the Act relating to universities and university colleges, pursuant to Section 5 (2) of the Act on ethics and integrity in research, the home institution may decide to impose involuntary termination based on a recommendation from the Programme Board.

Complaints regarding such decisions will be handled by the ministry or a special appeals committee appointed by the ministry, cf. Section 4-13 (1) of the Act relating to universities and university colleges.

Section 12 Termination and dismissal

A PhD candidate may be dismissed from his/her position when there are proper grounds related to the institution's or PhD candidate's circumstances, cf. Sections 9 and 10 of the Civil Servants Act or Section 15 of the Act regarding summary discharge.

Part IV IMPLEMENTATION

Section 13 Required coursework

The required coursework together with the research project must be designed to achieve the anticipated learning outcomes in accordance with the national qualifications framework.

Courses that are part of the required coursework component must be at PhD level. The required coursework must be equivalent to at least 30 credits, of which at least 20 credits must be completed following admission. Elements that are to be included as part of the required coursework may not

have been completed more than two (2) years prior to the date of admission. As a general rule, required coursework should be completed within two years of admission to the PhD programme.

The compulsory courses are specified in the programme description for the PhD programme. The remaining courses should, if possible, be chosen among the elective courses in the PhD programme. Students with a social science background must take a methodology course of at least five credits of relevance to their research project.

If the institutions do not offer all the required coursework, arrangements will be made for the candidate to receive equivalent courses or training at other institutions. Courses at doctoral level at another institution will be approved under the provisions of Section 3-5 (1) of the Act relating to universities and university colleges.

In subject areas where ordinary courses are not offered, an individual curriculum equivalent to five or 10 credits may be approved as an element in the required coursework.

For a course using the grading scale from A-F to be included as part of the required coursework, the candidate must attain a grade of B or higher.

Attending conferences, workshops or the like does not generate credits towards the required coursework.

The Programme Board approves the required coursework as a part of the decision concerning admission.

Applications concerning changes to the required coursework must be prepared in agreement with the main supervisor and approved by the Programme Board.

A candidate must complete and gain approval for the required coursework before he/she may submit their doctoral thesis for evaluation.

Section 13-1 Training during legally established leaves of absence

PhD candidates on maternity/paternity leave from the PhD programme may attend courses and sit for examinations in courses that will be included as part of the candidate's required coursework during the leave period.

Section 14 Academic supervision

The work involved in the doctoral thesis must be carried out under individualised academic supervision. The local PhD leader and the supervisors are to work together to ensure that the PhD candidate participates in an active research environment.

The PhD candidate must have a minimum of two academic supervisors, of which one will be designated as the main supervisor.

The main supervisor has the primary academic responsibility for the candidate and should normally be employed at the candidate's home institution. Co-supervisors will normally be employed at one of the partner institutions. Co-supervisors provide supervision and share the academic-related responsibility for the candidate with the main supervisor. The candidate may have several co-supervisors who may be recruited from institutions other than the four partner institutions. The PhD candidate and academic supervisors should have regular contact.

The academic supervisors are required to stay informed of the progress of the candidate's work and to assess it in relation to the original schedule. The supervisors are required to follow up academic-related factors that may cause delays in the candidate's implementation.

The academic supervisors are to give advice on formulation and delimitation of the thematic area and research questions, discuss and assess hypotheses and methodology, discuss the results and the interpretation of these, discuss the structure and implementation of the thesis, including the outline, choice of language, documentation, etc., and provide guidance on the academic literature and data available in libraries, archives, etc. The supervisors must also advise the candidate on the issue of research ethics related to the thesis.

Candidates in the PhD programme in Nautical Operations are entitled to a total of 300 hours of supervision from their academic supervisors.

The main supervisor and co-supervisor(s) reach agreement on the percentage each shall supervise each candidate. This percentage must be specified in the application for admission to the programme.

These hours will count towards fulfilling the requirements concerning academic supervision in accordance with these regulations.

The PhD candidate and main supervisor may together, or separately, ask the Programme Board to appoint another main supervisor for the candidate. The main supervisor may not withdraw before a new main supervisor has been appointed.

Section 15 Reporting

The PhD candidate and main supervisor are obliged to submit annual progress reports in accordance with the approved schedule, using the prescribed templates and by the stipulated deadlines. The purpose of these reports is to improve the quality of the PhD programme in Nautical Operations. The frequency and quality of the academic supervision will be a theme of this reporting.

A lack of, or inadequate, progress reports from the PhD candidate may result in involuntary termination of the candidate's participation in the PhD programme. Any main supervisor who fails to comply with the reporting requirements may be relieved of his/her supervisory duties.

The local PhD leader may request special reporting, if necessary.

Section 16 Midterm evaluation

A midterm evaluation of the research project should normally be carried out in the third or fourth semester. The candidate must present his/her work and the schedule for the remainder of the PhD period in writing (using the prescribed template) and orally at an open seminar. The midterm evaluation will be implemented in conjunction with the seminars on the HTO course.

The candidate's work will be evaluated by a group of two evaluators appointed by the Programme Board. The evaluation group must give its opinion of the academic status and progress of the research project and provide feedback to the PhD candidate, main supervisor and the local PhD leader. If the evaluation group finds major weaknesses in the research project, measures to rectify the situation must be implemented.

A written report of the midterm evaluation, and any follow-up of this, must be presented to the Programme Board.

Part V OBLIGATION TO REPORT ON RESEARCH RESULTS WITH COMMERCIAL POTENTIAL

Section 17 Obligation to report on research results

PhD candidates employed at one of the four partner institutions are obliged to report on research results that may have commercial potential. Such notification must be given to the candidate's home institution.

For PhD candidates with an external employer, the written agreement between the PhD candidate, external partner and the candidate's home institution must stipulate whether the candidate has such an obligation to report.

For PhD candidates without an employer, the corresponding obligation to report must be stipulated in the admission agreement.

Part VI THE DOCTORAL THESIS

Section 18 Thesis requirements

A doctoral thesis must be an independent research project or research and development project that meets international standards concerning ethical requirements, academic level and methodology used in the research field. The thesis must contribute to the development of new knowledge and achieve a level meriting publication internationally, or public disclosure in a suitable format, as part of research-based knowledge development in the field.

It must be apparent that the thesis is a part of a joint degree between the four institutions, and the logo of all four institutions must appear on the cover.

The thesis may consist of a monograph or a compendium of several shorter papers. If the thesis consists of several shorter papers, an explanation of how these are interrelated must be included.

If the thesis or parts of the thesis have been produced in cooperation with other authors or partners, the PhD candidate must follow the norms for co-authorship that are generally accepted within the academic community and in accordance with international standards. If the thesis consists mainly of articles, the candidate must normally be listed as the lead author on at least two-thirds of the publications.

A thesis containing articles written by more than one author or partner must include a signed declaration that describes the candidate's contribution to each of the articles.

The doctoral thesis must be written in English.

Doctoral theses consisting of scientific articles must contain a combined presentation of the scientific results in an introductory and updated combined presentation.

In the doctoral thesis, the status of the articles/papers must be stated as; in preparation, submitted, in review, accepted, in print, or the year of publication.

The thesis should normally be based on at least three papers of such quality that they may be accepted for publication in international peer-reviewed journals.

Section 19 Works that may not be submitted

Work or parts of work that have been approved as the basis for previous examinations or degrees may not be submitted for evaluation as part of the doctoral thesis, unless they comprise a minor part of a thesis consisting of several related works. However, data, analyses and methods from previous degrees may be used as the basis for the doctoral research project.

Published articles will not be approved for use in the doctoral thesis if more than five (5) years has passed from the date of publication to the date of admission. The Programme Board may grant an exception to this rule in extraordinary cases.

Article-based theses containing fewer than three (3) publications will not normally be approved.

The doctoral thesis may be submitted for evaluation to only one educational institution.

Part VII EVALUATION OF THE THESIS

Section 20 Submission

The application for evaluation of the doctoral thesis must be submitted to the PhD administration at the home institution.

The application for evaluation of the doctoral thesis may only be submitted after the required coursework has been approved.

The following documents must be attached to the application:

- The doctoral thesis in the approved format and in accordance with the Programme Board's rules regarding the form, and number of copies stipulated by the Programme Board
- Required written permissions, e.g. from committees on research ethics, that were required at the time of admission
- Declarations from co-authors when this is required, jf. Section 18
- Statement regarding whether the doctoral thesis is being submitted for evaluation for the first or second time
- Statement that the doctoral thesis has not been submitted for evaluation at another institution

The Programme Board reviews the applications for evaluation of doctoral theses. The Programme Board may make an independent decision to deny an application for evaluation of the doctoral thesis if it is evident that the thesis does not meet sufficiently high standards of scientific quality and would be rejected by an evaluation committee.

Section 21 Appointment of the evaluation committee

It is the responsibility of the main supervisor to notify the Programme Board the submission of the thesis is approaching, so that the necessary preparations may start.

Based on a proposal from the main supervisor, the local PhD leader at the home institution shall prepare a written evaluation committee proposal. This proposal must demonstrate the relevant expertise of the individual members and how the committee as a whole covers the field of study of the thesis. Before the matter is presented to the Programme Board for consideration, the potential members must have been asked and have agreed. The Chair of the committee shall normally be from the candidate's home institution, or from one of the other partner institutions.

The Programme Board appoints the evaluation committee consisting of at least three members who will evaluate the thesis and the public defence.

The evaluation committee shall normally be constituted so that:

- both genders are represented,
- at least one of the members has his/her permanent position at the home institution,
- at least two of the members have no affiliation with the home institution,
- at least one of the members is employed in his/her main position at a foreign institution
- all the members hold a doctoral degree or equivalent expertise,
- at least one of the members has competence above associate professor level,
- the majority of the committee members are external, and
- the majority of the committee members are employed at institutions that can confer doctoral degrees.

If these criteria are not met, an explanation must be provided.

Committee members are subject to the provisions of Section 6 of the Public Administration Act regarding impartiality. Any person who has been a co-author or supervisor of the candidate, or otherwise disqualified pursuant to the provisions of Section 6 of the Public Administration Act, cannot be a member of the committee. This also applies to any person who has been a co-author with the candidate's main supervisor in the past five (5) years. All parties – the candidate, supervisors and proposed committee members – have an obligation to inform about relationships that may be of significance for assessment of impartiality.

The candidate will be notified of the proposal for the composition of the committee, and he/she may submit written comments no later than five (5) working days after the proposal has been made known to the candidate.

The composition of the committee should normally be decided at the time of submission of the doctoral thesis.

Section 22 Activities of the evaluation committee

Section 22-1 Deadlines

The committee shall normally submit its report no later than three (3) months from the date when the committee received the thesis. If the committee allows reworking of the thesis, a new period commences upon resubmission of the thesis.

The same applies if the thesis is not found to be worthy of a public defence and is resubmitted in revised form. The public defence of the doctoral thesis shall be held no later than four months after submission of the thesis, to the extent this is possible.

The Chair of the committee is responsible for setting a date for the public defence as soon as the committee starts its work.

Section 22-2 Gathering of supplementary information

The evaluation committee may ask to review the PhD candidate's basic data and any additional or clarifying information. The evaluation committee may ask the academic supervisors to provide information about the supervision carried out and the work involved in the doctoral thesis.

Section 22-3 Reworking of a submitted doctoral thesis

The evaluation committee may, on the basis of the submitted doctoral thesis and any additional material, recommend that the institution permits the candidate to make minor revisions to the thesis before the committee submits its final report. The committee must provide a written list of the specific items that the candidate must rework.

If the Programme Board allows reworking of the thesis, a deadline normally not exceeding three (3) months will be set for completing such revisions. A new deadline for submission of the committee's final report will also be set. Decisions pursuant to this subsection may not be appealed by the PhD candidate.

If the committee finds that fundamental changes related to the theory, hypothesis, material or methods used in the thesis are needed in order to deem the thesis worthy of a public defence, the committee must reject the thesis.

Section 22-4 Report of the evaluation committee

The evaluation committee determines whether the thesis is worthy of being defended for the PhD degree. The decision presented in the report and any dissenting views must be explained.

The committee's report is submitted to the PhD Coordinator, who forwards the report to the PhD candidate. The candidate is given ten (10) working days in which to submit written comments to the report. If the candidate does not wish to submit comments, he/she must confirm this in writing. Any written comments by the PhD candidate must be sent to the PhD Coordinator.

The Programme Board is responsible for making the final decision on whether the thesis is worthy of being defended for the PhD degree, based on the evaluation committee's report.

Section 22-5 Correction of formal errors in the doctoral thesis

Once submitted, a thesis may not be withdrawn before a final decision has been made about whether it is worthy of being defended for the PhD degree. However, the PhD candidate may apply for permission to correct formal errors in the thesis.

A complete list of the errors that the candidate wishes to correct (an errata list) must be attached to the application. The application to correct formal errors must be submitted to the PhD Coordinator no later than four (4) weeks prior to the committee's deadline for submission of its report. Such correction of formal errors may take place only once.

Section 23 Resubmission

A doctoral thesis that is not found to be worthy of a public defence may be resubmitted in revised form no earlier than six (6) months after the institution made its initial decision. A doctoral thesis

may be re-evaluated only once. In the event of resubmission, the PhD candidate must state that the doctoral thesis was evaluated previously and was not found to be worthy of a public defence.

Section 24 Public availability of the thesis

Section 24-1 Requirements related to the printed thesis

When the thesis has been found worthy of a public defence, the PhD candidate must submit the thesis for printing in the approved format and in accordance with the guidelines of the home institution. The logos of the four partner institutions must be used.

The PhD candidate must submit a brief summary of the thesis in English and Norwegian. Like the thesis itself, the summary must be made available to the public.

Section 24-2 Public availability

The doctoral thesis must be made available to the public no later than ten (10) days prior to the date of the public defence.

The thesis should be made available in the form in which it was submitted for evaluation, or following revisions made on the basis of the committee's preliminary comments, cf. Section 22-2.

No restrictions may be placed on a doctoral thesis being made publicly available, with the exception of a previously arranged delay in the date of public access. Such a delay may be allowed so that the institution and any external parties which have partially or wholly funded the candidate's PhD education can determine their interests in potential patents. An external party may not require that all or parts of a doctoral thesis be withheld from the public domain.

In the event of publication of the doctoral thesis, candidates must follow the applicable guidelines on the crediting of institutions. As a general rule, the institution must be listed as the author's address in the publication if the institution has made a necessary and substantial contribution or laid a foundation for an author's contribution to the published work. The same author must also list other institutions if, in each case, these fulfil the requirement related to the institution's contribution.

Part VIII Doctoral examination

Section 25 Doctoral examination

The home institution with which the candidate is affiliated shall arrange the doctoral examination (trial lecture and public defence). The trial lecture and the public defence must be held in English.

Section 25-1 Trial lecture

After the doctoral thesis has been submitted for evaluation, the PhD candidate must hold a trial lecture. The trial lecture is an independent part of the doctoral examination and is held on a topic assigned by the evaluation committee. The purpose is to test the candidate's ability to acquire knowledge beyond the topic of the doctoral thesis and to convey this knowledge in a lecture situation of 45 minutes' duration.

The title of the trial lecture must be announced to the PhD candidate ten (10) working days prior to the lecture. The topic of the lecture must not have a direct connection with the topic of the thesis.

The evaluation committee assigns the topic for the trial lecture and is responsible for the evaluation.

The trial lecture must be approved before the public defence of the dissertation can be held.

Section 25-2 Public defence of the doctoral thesis (disputation)

The public defence of the doctoral thesis must take place after the trial lecture has been held and approved, and no later than two (2) months after the thesis has been found worthy of a public defence.

The time and location of the public defence must be announced at least ten (10) working days prior to the scheduled date. The committee that originally evaluated the doctoral thesis must normally also evaluate the public defence.

The public defence must be held in the language used in the thesis, unless the Programme Board, on the recommendation of the evaluation committee, approves the use of a different language. There will normally be two opposing speakers at the defence. These two speakers must be the two external members of the evaluation committee.

The public defence will be chaired by a person authorised by the home institution. The chair of the defence will give a brief explanation of the procedures relating to the submission and evaluation of the doctoral thesis, and of the trial lecture. The PhD candidate will then have up to 45 minutes at his/her disposal to explain the purpose and findings of the doctoral research project.

The first opposing speaker begins the questioning of the PhD candidate and the second opposing speaker concludes the questioning. The Programme Board may decide to distribute the tasks normally assigned to the opposing speakers and the candidate in a different way. After both opposing speakers have concluded their questioning, members of the audience will have the opportunity to comment. The Chair of the defence concludes the defence proceedings (cf. the Norwegian Association of Higher Education Institutions' Recommended Guidelines for the Evaluation of Candidates for Norwegian Doctoral Degrees).

The evaluation committee submits its report in which it explains how it has assessed the public defence of the thesis. The report must conclude whether the defence is approved or not approved. If the defence is not approved, the report must provide an explanation for this. The evaluation committee's report is submitted to the PhD Coordinator.

Section 26 Approval of the doctoral examination

The Programme Board makes a decision on the approval of the doctoral examination on the basis of the evaluation committee's report.

Section 27 Conferral of the degree, diploma and diploma supplement

Based on a statement that the required coursework, doctoral thesis and doctoral examination have been approved, the home institution will confer the Philosophiae Doctor Degree (PhD) on the candidate.

A joint diploma from all four institutions is issued, which states that this is a joint degree. The diploma shall provide information about the academic training in which the candidate has participated.

A Diploma Supplement will also be issued in line with the applicable guidelines.

Part IX APPEALS AND ENTRY INTO FORCE

Section 28 Appeals

Section 28-1 Appeal of a rejection of an application for admission, appeal of a decision to terminate a student's admission rights, and appeal of rejection of an application for recognition of parts of the required coursework

Rejection of an application for admission, a decision to terminate a student's admission rights (cf. Section 6-2 or Section 9), and rejection of an application for recognition of parts of the required coursework may be appealed pursuant to the provisions of Sections 28 and following of the Public Administration Act.

Details of the grounds for such an appeal must be sent to the Programme Board for consideration. If the rejection is upheld, the appeal is to be forwarded to the Appeals Committee at the home institution for a final ruling.

Section 28-2 Appeal of an examination as part of the required coursework

Examinations taken as part of the required coursework may be appealed pursuant to section 5-2 "Complaints against procedural errors in connection with examinations" and section 5-3 "Complaints regarding marks awarded - right to explanation" of the Act relating to universities and university colleges.

Suspicion of cheating or an attempt to cheat must be handled in accordance with established routines for this.

The candidate must follow the routine for lodging appeals at the institution where he/she sat the examination.

Section 28-3 Appeal of a rejection of an application for evaluation, and rejection of a doctoral thesis, trial lecture or public defence

Rejection of an application for evaluation of a doctoral thesis and a decision of non-approval of a doctoral thesis, trial lecture or public defence may be appealed pursuant to the provisions of Section 28 and following of the Public Administration Act.

Details of the grounds for such an appeal must be sent to the PhD Coordinator and will be considered by the Programme Board. If the Programme Board finds grounds to do so, it may appoint individuals or a committee to undertake an evaluation of the assessment made and the criteria underlying it, or to undertake a new or supplementary expert assessment.

If the rejection is upheld, the appeal is to be forwarded to the Appeals Committee at the home institution for a final ruling.

Section 29 Entry into force

These regulations enter into force on 1 November 2016. These regulations were last amended on 19 September 2017.