

# The Quality Assurance System for Joint PhD degree in Nautical Operations

## Part A. Organisation of Joint PhD degree in Nautical Operations

### Introductory provisions

The PhD in Nautical Operations 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).

UiT, NTNU, USN and HVL have joint responsibility for the PhD in Nautical Operations. The joint degree is regulated by a contract between the four institutions.

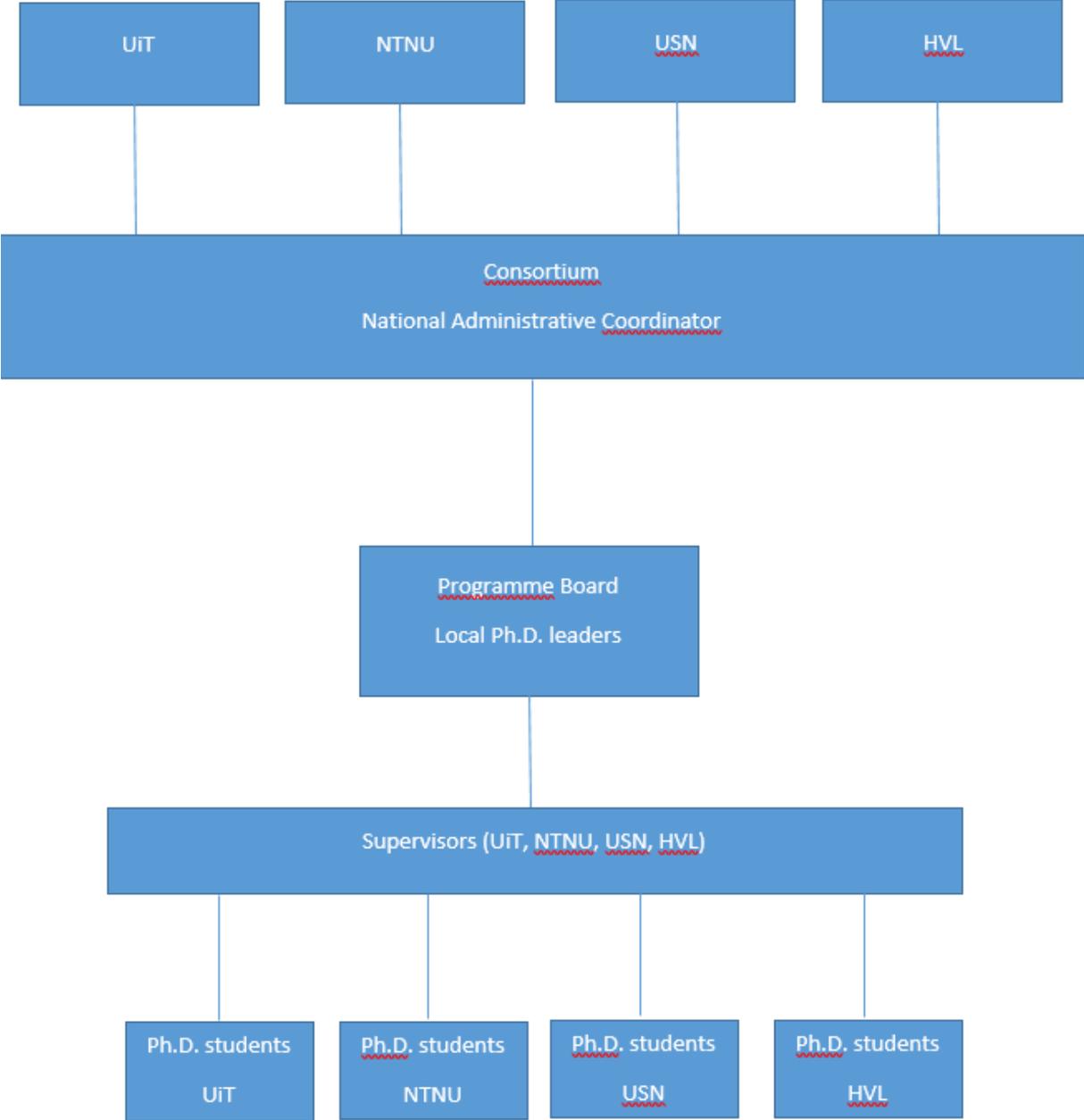
This quality description has been developed for the PhD programme in Nautical Operations and expands on the quality assurance systems at the partner institutions. If not otherwise stated in the cooperation contract, the Regulations for the PhD programme in Nautical Operations or this quality description, the quality assurance system of the home institution applies. The Programme Board for the *PhD in Nautical Operations* is, in collaboration with the Consortium, responsible for the further development of the quality assurance system for the programme of study.

Students admitted to the joint degree programme in Nautical Operations will have a home institution, which is 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.

Quality assurance of the PhD programme is founded on:

- 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 of South-Eastern Norway (adopted by the Board at the University College of Southeast Norway, now University of South-Eastern Norway on 14 December 2017)
- Regulations for the PhD programme in Nautical Operations (Joint degree) (adopted by the Consortium on 1 January 2016, last amended on 19 September 2017)

# Organisation of the PhD programme and the responsibilities of the parties



## Consortium

The cooperation concerning the joint degree in Nautical Operations is organised as a consortium that consists 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 programme of study also has an administrative PhD Coordinator approved by the Consortium. The Chair of the Programme Board (see below) and the PhD Coordinator prepare agenda items for the Consortium and have the right to speak and to submit proposals.

The Consortium has the coordinating responsibility for the joint degree across the four institutions. As such, the Consortium has the overall responsibility for quality assurance of the programme of study. The Consortium is also responsible for developing the strategy for the joint degree in collaboration with the Programme Board.

Consequently, the Consortium shall monitor the learning environment, ensure good follow-up of the students and that they have approximately the same rights and obligations at their respective home institutions.

**Important tasks concerning quality assurance are to:**

- Develop a strategy for the joint degree in collaboration with the Programme Board
- Ensure there is an overview of financial resources for the joint degree
- Ensure that infrastructure and necessary working capital are in place
- Consider annual reports from the Programme Board on quality enhancement activities
- Check that all the institutions comply with the regulations for the joint degree
- Approve any changes to the regulations

### Programme Board

The Programme Board for the *PhD in Nautical Operations* consist of four academic staff representatives, one from each of the partner institutions. 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, minimum, associate professor level or the equivalent.

The Programme Board is responsible for academic development of the PhD programme, 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 PhD programme, updating of regulations, changes in the programme description and developing of necessary joint routines and regulations. 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.

The Programme Board is also responsible for developing the strategy for the joint degree in collaboration with the Consortium.

**Important tasks concerning quality assurance are to:**

- Safeguard the quality of admissions to the PhD programme

- Develop a strategy for internationalisation
- Develop a strategy for the joint degree in collaboration with the consortium
- Develop a joint standard for academic supervision in the PhD programme in Nautical Operations, including:
  - ensuring that one of the academic supervisors has supervised PhD candidates previously
  - responsibility for enhancing the competencies of the academic supervisors, including through international publishing and participation in international forums
  - responsibility for enhancing competencies in didactic supervision, including through participation in seminars and courses
- Ensure that PhD students receive the training provision, including the academic supervision, they are entitled to
- Conduct an annual two-day seminar where all the PhD students and academic environment affiliated with the joint degree meet for paper presentations and network building based on the model for graduate-level researcher schools
- Evaluation, follow-up and implementation of measures for courses which form part of the required coursework component
- Undertake an annual evaluation of the *PhD programme in Nautical Operations* and the compulsory HTO course
- Follow-up the midterm evaluations of the PhD students, including appointing the two evaluators
- The overall responsibility for the students' learning environment to ensure the PhD candidates have an attractive and inclusive academic and social learning environment
- Annual implementation of progress reporting for the PhD student and their academic supervisors
- Prepare an annual report on the quality of education in the *PhD programme in Nautical Operations* for the Consortium. This report forms part of the quality reporting to the institutions.

### Local PhD leaders

The four academic staff representatives on the Programme Board, one at each of the institutions, are designated as the local PhD leaders. These are responsible for the day-to-day follow-up of the operation of the PhD programme at their institution, a responsibility that also includes safeguarding the quality of the programme of study.

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.

#### **Responsibilities of local PhD leaders are to:**

- Assist in the efforts to recruit PhD students with adequate qualifications, including preparing draft announcement texts for vacant positions, participating in interviews and obtaining references, etc.
- Provide for administrative procedures related to admission and ensure that an agreement is entered into with each PhD student at their institution
- Conduct a welcome conversation with all new candidates, including providing information about academic and administrative contacts affiliated with the PhD programme
- Ensure that the PhD students receive the offer of training at a high academic level
- Ensure that the academic supervision functions in accordance with stipulations, in

collaboration with the supervisor

- Ensure that the PhD students participate regularly in an active research environment
- Undertake evaluations of the teaching and supervision in line with guidelines and resolutions of the Programme Board
- Ensure that the PhD students and academic supervisors at their institution report annually on progress with the doctoral project in accordance with the plan and applicable guidelines
- Arrange to conduct mid-term evaluations for students at their own institution
- Ensure preparation of items from their institution that will be presented to the Programme Board for consideration
- Ensure measures decided by the Programme Board are implemented at their institution
- Submit a motivated proposal regarding the composition of the evaluation committee to evaluate of the doctoral thesis and doctoral examination
- Have responsibility for conducting doctoral examinations (trial lecture and public defence) at their institution

## Administration

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

Each institution implements the employment process of PhD candidates. The institution where the PhD candidate is employed is designated as his/her home institution. Moreover, the PhD candidate is admitted and registered at all four partner institutions.

The Consortium approves a joint PhD Coordinator for the *PhD programme in Nautical Operations* who has responsibility for the administrative coordination of the programme of study.

The PhD Coordinator is employed at UiT – The Arctic University of Norway, which is the host institution for the joint degree. 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 PhD Coordinator has administrative responsibility for the overall reporting from the joint degree.

Each partner institution has a local administrative coordinator who is the internal contact for the PhD candidates in the joint degree programme. Where relevant, the administrative work is coordinated between the three administrative coordinators and the PhD Coordinator at UiT.

## Academic supervisors

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

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 should have regular contact with his/her academic supervisors and with their help be part of an active research environment.

The main supervisor and PhD candidate are both obliged to report in accordance with the stipulated rules.

**The central responsibilities of the main supervisor are to:**

- Assist the PhD candidate to formulate research questions and prepare the application and project description
- Prepare a plan for implementation of compulsory duties in accordance with the regulations, in collaboration with the Head of Department/Dean and the candidates concerned
- The primary academic responsibility and ensuring the PhD candidate makes progress in accordance with the schedule for the PhD project
- Notify about non-conformance or concerns
- Self-evaluate their supervision activities
- Submit an annual report to the Programme Board (via the local PhD leader at their institution) about the progress in relation to the original schedule, as well as proposing any changes or necessary measures
- Arrange for implementation of midterm evaluations for candidates they supervise
- Notify the local PhD leader at their institution that submission of the thesis is approaching, so that the necessary preparations may start
- Submit a motivated proposal regarding the composition of evaluation committees for candidates they supervise

**The responsibilities of the main supervisor and the co-supervisors are to:**

- Contribute to the candidate being integrated in a research environment and becoming familiar with the latest research
- Contribute to the candidate establishing contact with relevant national and international environments and to the internationalisation of the PhD programme
- Contribute to the candidate publishing his/her work in high quality outlets
- Acquire and enhance their supervision competencies
- Ensure that the necessary permissions for use of research data are obtained and that any obligations associated with use of the data are complied with
- Ensure the candidate complies with the principles of research ethics during their research project

## Part B. Handbook for PhD candidates and supervisors

### Introduction

***Vision: The joint degree shall develop operational maritime expertise in Norway.***

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

Each partner institution has its priority areas within the field of Nautical Operations and is responsible for the respective academic components of the PhD programme.

UiT has the coordination responsibility for the programme and acts as secretariat for the Programme Board and the Consortium. Each institution has an administrative coordinator who provides administrative support for the PhD candidates.

The programme has a nominal duration of three (3) years of full-time study, or four (4) years if 25% of the time is devoted to compulsory duties.

The purpose of this PhD handbook is to ensure that you can easily access information about your doctoral education. The handbook covers the most important elements in the employment and start-up phase, the implementation phase and the final phase of your doctoral education. Furthermore, you will find references and links to detailed descriptions of routines and forms throughout the entire PhD handbook.

This handbook, which forms part of the Quality Assurance System for the joint degree, is based on the [Regulations](#) for PhD programme in Nautical Operations (Joint degree). The candidate is obliged to familiarise himself/herself with this document.

### 1. Start-up

***Goal: Our PhD candidates shall get the best possible start to lay the foundations for a successful doctoral education.***

Funding is decisive for being able to start at the joint degree in Nautical Operations. Most PhD candidates are employed as a doctoral research fellow funded through the institution's base budget or external projects. Funding may also be secured through another employer or via the Research Council of Norway in the form of an Industrial PhD or Public Sector PhD

#### Doctoral Research Fellow position

A Doctoral Research Fellow position is a fixed-term position, which is defined as an education position. It is founded in the [Act relating to universities and university colleges](#) with its own regulations on terms and conditions of employment.

An [Industrial PhD](#) is an ordinary doctoral education implemented while the candidate is employed at a company.

A [Public Sector PhD](#) is an ordinary doctoral education implemented while the candidate is employed at a public sector organisation.

## Admission

As a Doctoral Research Fellow, you must apply for admission to the joint degree no later than three (3) months after the date of employment.

The conditions for admission are described in Section 5 of the [Regulations](#).

Furthermore, if the PhD candidate's home institution is UiT, the candidate must apply for provisional admission no later than the date he/she commences the position. However, provisional admission may be relevant at other partner institutions if the candidate requires access to courses before final admission is confirmed.

Click [here](#) for all the forms and information you require for preparation, admission and start-up.

## Responsibilities

### PhD Candidate:

- Apply for admission to the PhD programme within three (3) months of the start-up of the research project that will culminate in conferral of the PhD degree in Nautical Operations. The requirements for the application are described in Section 5-2 of the [Regulations](#).
- Prepare a complete project description and schedule for completing the programme in collaboration with his/her main supervisor
- Provisional admission may be undertaken before you have completed your project description. This will enable you to access to courses at the four institutions before final admission is confirmed.
- The application must be approved by the home institution's management (the Dean or the Head of Department). It is the PhD student's responsibility to obtain a signature from the management.
- When final admission is confirmed, the PhD candidate must fill in and sign the PhD agreement. It is the PhD student's responsibility to obtain the necessary signatures.
- Familiarise himself/herself with the rules and guidelines concerning the use and storage of research data
- Familiarise himself/herself with guidelines concerning research ethics and implement considerations concerning protection of privacy where relevant

### Academic supervisors:

- The main supervisor must help the PhD candidate to formulate research questions and prepare the application for admission, project description and schedule for completing the programme
- The main supervisor must quality assure the PhD candidate's applications for any necessary permission for use of research data is obtained and that any obligations associated with use of the data are complied with
- The PhD candidate must have a minimum of two academic supervisors, of which one will be designated as the main supervisor. The main supervisor should normally be employed at the candidate's home institution and must have at least 50% of the responsibility for the PhD candidate. If the candidate has one co-supervisor, he/she must be employed at one of the partner institutions other than the home institution. If the candidate has more than one co-supervisor, at least one of these must be employed at one of the partner institutions other

than the home institution. The main supervisor is responsible for coordinating the supervision team.

- The academic supervisors must introduce the candidate to relevant research environments; internally, nationally and internationally.

## 2. Implement

**Goal: PhD candidates shall have good academic and social working conditions in order to thrive and complete their PhD degree within the nominal length of study.**

The following elements constitute the implementation phase:

### Required coursework

The required coursework together with the research project contribute to achieving the anticipated learning outcomes in accordance with the national qualifications framework.

The courses that are part of the required coursework component must be at PhD level. The required coursework must be equivalent to 30 credits, of which 15 credits consist of two compulsory courses and 15 credits are elective courses. As a general rule, required coursework should be completed within two years of admission to the PhD programme. 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.

### Compulsory duties

Doctoral research fellow positions may be of a three- or four-year duration. If you are employed in a four-year position, 25% of the workload constitutes compulsory duties. It is important to emphasize that you must have a total of three years to work on your actual doctoral education and the compulsory duties must not delay your progress with the PhD programme. The compulsory duties should be of relevance to your doctoral education, to the extent possible. They should provide you with relevant and varied competence for your future career but will also be subject to the needs and possibilities of your department. The specific duties are determined by the employer in consultation with you and your supervisor. Relevant compulsory duties may include teaching (including laboratory and exercise teaching), research administration and dissemination, etc.

Only the [Western Norway University of Applied Sciences](#) and the [Norwegian University of Science and Technology](#) specifically regulate compulsory duty work.

### Annual progress reports

The main purpose of the annual progress reports prepared by the student and the main supervisor is to ensure satisfactory progress towards the candidate's intended defence and graduation dates and to detect any possible problems that may have arisen between the candidate and his/her supervisor(s). Moreover, the reports will serve to improve the quality of the PhD Programme in Nautical Operations.

### Midterm evaluation

The main purpose of the midterm evaluation is to ensure satisfactory progress towards the candidate's intended defence and graduation dates and detect any possible obstacles that may hamper the candidate's progress as well as to check whether the candidate is on target with achieving the intended learning outcomes of the programme of study.

## Research dissemination

As a PhD candidate, you must contribute by disseminating your research. This can be achieved by publishing, participation at conferences and through popular science dissemination. All types of dissemination, including both [scientific dissemination](#) and [public and user-oriented outreach](#) should be registered in [Cristin](#).

Also, check out the National web resource [PhD on Track](#) aimed at Phd candidates and early career researchers for detailed information on searching and reviewing scholarly literature, on academic writing, and on sharing and publishing reports and data.

Click [here](#) for all the forms and information of relevance for you as a PhD candidate and academic supervisor during the PhD programme.

## Responsibilities

### PhD Candidate:

- Work to find solutions for your research questions
- Participate actively in supervision meetings and follow through on agreements entered into with the supervisor(s)
- Participate actively in the research environment and become familiar with the latest research of relevance to your PhD project
- Maintain the agreed progress and submit annual progress reports by the stipulated deadlines
- Undergo a midterm evaluation
- Participate in the annual evaluation of the PhD programme
- Register for and complete the courses that will constitute the required coursework
- Apply to the Programme Board for approval of any changes concerning the required coursework
- Report on research results achieved during the agreement period that may have commercial potential
- You are expected to present your project at internal and external forums during the PhD programme
- Contact your department and/or faculty if problems arise with your supervision relationship
- If you are employed in a doctoral research fellow position, you are entitled to periodic performance appraisals with the Head of Department at your home institution.

### Academic supervisors:

- Give the candidate regular and predictable supervision of high quality in line with the PhD regulations, so that the project is in keeping with good research practice and achieves the correct academic level
- Follow up the candidate's progress
- The main supervisor must submit annual progress reports
- Participate in the candidate's midterm evaluation and assist with coordinating this
- Ensure the candidate is familiar with legislation and rules pertaining to the use of research data, notice and deal with any non-conformities by the candidate and become aware of any cheating (including plagiarism) and breaches of good research ethics
- Responsibility for planning and conducting of supervision meetings
- Ensure the candidate is offered affiliation with relevant research environment with international orientation and (if relevant) affiliation with a research group
- The main supervisor is responsible for dialogue and coordination within the PhD candidate's supervision team

- Report on research results achieved during the agreement period that may have commercial potential

### 3. Conclude

**Goal: The PhD project shall uphold a high international standard, and results from the work should be able to be published in recognized scientific channels.**

The following elements constitute the final phase:

#### Submission of the doctoral thesis

The doctoral thesis must be submitted in the approved format and in accordance with the rules regarding the form and the number of copies stipulated by the Programme Board.

[Click here](#) for all the forms and information about submission and evaluation of the doctoral thesis and read Sections 18-27 in the [Regulations](#).

#### Appointment of the evaluation committee

Based on a proposal from the main supervisor, the local PhD leader at the home institution shall prepare a motivated proposal regarding the composition of the evaluation committee.

The candidate will be notified of the proposal for the composition of the committee and may submit written comments no later than five (5) working days after have been informed of this. The Programme Board appoints the evaluation committee and approves the application to evaluate the doctoral thesis. The candidate must not have contact with the members of the evaluation committee during the evaluation period.

#### Evaluation of the doctoral thesis

No later than three (3) months after receiving the doctoral thesis, the committee must submit its report stating whether the thesis is found to be worthy of public defence for the PhD degree or not. The PhD candidate will receive the evaluation committee's report and is given ten (10) working days in which to submit any written comments to the report.

#### Trial lecture and public defence

The topic of the trial lecture must be given to the PhD candidate and announced ten (10) working days prior to the lecture. The evaluation committee assigns the topic for the trial lecture, and this topic must not have a direct connection with the topic of the thesis.

The disputation is the candidate's public defence of his/her doctoral thesis. The home institution organises the public defence. The time and location of the public defence must be announced at least ten (10) working days prior to the scheduled date.

#### Conclusion

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

## Responsibility

#### PhD Candidate:

- Submit a doctoral thesis of a high ethical and research quality in line with the current regulations and good international standards

- Responsibility for completing the doctoral thesis and required coursework within the nominal length of study
- Responsibility for familiarising himself/herself with the requirements and routines for conclusion, submission and public defence
- Describe his/her contribution to any jointly written articles and obtain declarations/statements from all the co-authors
- Apply for evaluation of the doctoral thesis 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.
- Provide a brief summary of the dissertation to the PhD administration at the home institution
- When the thesis has been approved, the candidate must ensure the manuscript is delivered for printing and proofread the proof copy.

#### **Academic supervisors:**

- Contribute to the doctoral degree being completed within the nominal length of study
- Ensure that the doctoral thesis maintains a high ethical and research standard in line with the current regulations
- Give the all clear to the candidate before submission
- Submit a motivated proposal regarding the composition of the dissertation evaluation committee to the local PhD leader at the home institution

## 4. Other conditions

### 4.1 Working capital in joint degrees

The PhD candidate has working capital at his/her disposal during the entire doctoral research fellowship for conference participation/travel, purchase of literature, laboratory material, equipment and licences, etc. This funding is available from the time of employment. The amount must be agreed upon after start-up at the individual institution. These funds may be divided equally/unequally over the three/four years. This should also apply to externally funded doctoral research fellows.

PhD candidates will be involved in programme-specific activities that necessitate travel to the four partner institutions in the programme. Candidates should count on travel in connection with the following activities:

- Compulsory course (MFA-8010 Maritime HTO) in the first year with four seminars/sessions of 2-3 days' duration at each of the four partner institutions
- Compulsory annual two-day joint seminar for the PhD candidates admitted to the joint degree
- Courses included in the degree are organised as session-based seminars, which involves travel for the PhD candidates who choose to take courses at an institution other than their home institution
- Short periods of research (optional) at one or more of the partner institutions participating in the programme

If you require additional working capital to implement your doctoral research fellowship, it is possible to apply for external support.

## *4.2 Absence*

The doctoral research fellowship period may be extended due to legally established leaves of absence due to illness, maternity/pregnancy, care, welfare and military service, etc. Pursuant to the [Regulations concerning terms of employment for academic positions](#), the absence must be for a minimum of two consecutive weeks to be entitled to such extension. The regulations stipulate that such absence must be divided between the doctoral education and the compulsory duties. Self-certified absence and absence due to sick children does not provide an entitlement to such extension.

Doctoral research fellows are entitled have their fellowship period extended by a period equivalent to the length of the parental leave regardless of the pay ratio. Doctoral research fellows who have breastfeeding/nursing leave (up to 2 hours per day) are entitled to have the fellowship period extended by a period equivalent to the time they have used for breastfeeding/nursing until the child turns one.