

## **Regulations concerning the degree of Doctor Philosophiae (Dr.Philos.) at the University of Tromsø – The Arctic University of Norway (UiT)**

Adopted by	The University Board 19 June 2018
Pursuant to	Sections 3-3, 3-7, 3-9, 3-10 and 4-13 of the Act relating to universities and university colleges (1 April 2005)
Applies from	1 August 2018
Archive reference	2017/5536.

*This is a translation. The Norwegian version is the official one.*

### **Section 1. Applicability**

These regulations provides rules on the right to present oneself for the degree of Doctor Philosophiae (Dr.Philos.) and on the submitting and evaluation of doctoral thesis.

### **Section 2. Objective**

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

### **Section 3. Responsibility for the doctoral degree programme**

(1) The University Board has jurisdiction and sets regulations for the degree.

(2) The faculties has the responsibility for processing of the applications and for the evaluation within their field.

### **Section 4. Terminology**

Candidate (kandidat)	A person who has submitted his/her thesis for assessment.
Awarding a degree (kreera)	To confer an academic degree on someone.
Defence (disputas)	A public discussion and defence (against criticism from opponents) of a doctoral thesis prior to being awarded a doctoral degree.
Doctoral candidate (doktorand)	A person defending his/her doctoral thesis at a public defence.
Ex auditorio	“From the auditorium” - a member of the audience at a defence may register as an opponent ex auditorio.
Opponent	A member of the Thesis Committee who at the defence critically reviews the doctoral degree candidate’s thesis.
Programme Board (programstyre)	The faculty body responsible for structured research training (PhD programme) and matters relating to the doctoral degree Dr.Philos.

### **Section 5. Contents of the degree of Dr.Philos**

(1) The degree of Dr.Philos. is conferred based on:

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

### **Section 6. The right to present oneself for the degree**

(1) To have the right to present oneself for the degree one must be Norwegian citizen or citizen of another Nordic country and have completed a Master's degree or equivalent education, 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.

(2) The faculty may grant applicants who have achieved equivalent qualifications in the subject in question the right to present him-/herself for the degree.

(3) The faculty may in special cases grant applicants who are not Norwegian citizens or citizens of another Nordic country the right to present themselves for the examination. Such access may for instance be given if the applicant has a residence permit in Norway, or if the thesis:

- deals with topics or expands on material directly connected with Norway
- has a strong connection with Norwegian research within the subject area
- has been conducted during a stay at a Norwegian university or research institute, or in special contact with Norwegian researchers.

### **Section 7. The application**

(1) The application for the right to present oneself must be sent to the relevant faculty together with documentation of the education.

(2) The thesis is to be submitted at the same time as the application. The University Director decides how it is to be submitted.

### **Section 8. 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 in the scientific literature in the field. The thesis shall be on the same academic level as a PhD thesis, but with a broader extent.

(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 candidate's individual input can be identified and documented. A signed statement describing the nature of the candidate's contribution(s) is to accompany the thesis.

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

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

(6) The thesis must be written in Norwegian, Swedish, Danish or English.

### **Section 9. 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 project.
- (2) Work published more than eight years before submission, 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 10. Publication of the thesis**

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 as described in section 15, third paragraph.

### **Section 11. Appointment of the evaluation committee**

- (1) If the faculty grants the applicant the right to present her-/himself for the degree, an expert evaluation committee consisting of at least three members shall be appointed – simultaneously or in a separate case. The committee shall assess the thesis and the defence. The faculty appoints a committee leader from the members.
- (2) The relevant 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 been the candidate's co-author, 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 12. Withdrawal and revision of the thesis**

- (1) A thesis which has been submitted, may not be withdrawn before it is 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 13. Grounds for obtaining supplementary details**

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

### **Section 14. 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 15, 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 15. Recommendation**

(1) The committee submits a report to the faculty, based on the thesis and any additional material, cf. section 13. 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 16 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 16. Processing of the committee report**

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

(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 Dr.Philos. 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 11 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 15, 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 17. 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 18. 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. 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 10, 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.

### **Section 19. Defending the thesis**

(1) When the doctoral 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 20. 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 21. Awarding of the degree, diploma**

(1) When a majority of the committee has approved the defence, the candidate is awarded the degree of Doctor Philosophiae (Dr.Philos.).

(2) A diploma is issued by the university.

### **Section 22. Appealing a decision to turn down application for presenting for the degree**

A decision to turn down an application to be allowed to present for the degree 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 23. 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.

### **Section 23. Taking effect**

These regulations take effect from 1 August 2018. The Regulations for the degree of Doctor Philosophiae (Dr.Philos.) at the University of Tromsø – The Arctic University of Norway of 15 December 2005 are repealed from the same date.

*30 August 2018*