

# Regulations concerning the degrees of Philosophiae Doctor (PhD) and Philosophiae Doctor (PhD) in artistic research at the Norwegian University of Science and Technology (NTNU)

**Legal authority:** Adopted by the Board of NTNU on 5 December 2018 under the provisions of Section 3-3, Section 3-9 (7) and Section 4-13 of the Act of 1 April 2005 No. 15 relating to Universities and University Colleges (Universitets- og høyskoleloven).

The Faculty of Engineering' supplementary regulations to these regulations are placed directly under the sections, with the headline "IV Faculty's Supplementary Regulations". The supplementary regulations were passed by the Dean 17.12.2019

## Part I. Introductory provisions

### Section 1. Scope and extent of the Regulations

These Regulations apply to all education that leads to the two degrees Philosophiae Doctor (PhD) and Philosophiae Doctor (PhD) in artistic research. The Regulations stipulate the rules for admission to, implementation and completion of the PhD education, including joint degrees and cotutelle (joint supervision agreements). Integrated PhD education is a specially designed form of study leading to a PhD degree at NTNU. The specific provisions for this course of study are set out in separate Regulations on integrated PhD education (2005).

The Academic Regulations for NTNU, adopted by the Board on 8 December 2015, apply to examinations in the required coursework or equivalent academic training component of the PhD programmes as long as they are not contrary to the PhD Regulations.

For other provisions that govern matters related to the doctoral degrees, see the Universities and University Colleges Act (universitets- og høyskoleloven, 2005), the Norwegian Qualifications Framework for Lifelong Learning (NQF, 2011), the Regulations concerning terms and conditions of employment for the posts of postdoktor (post-doctoral research fellow), stipendiat (research fellow), vitenskapelig assistent (research assistant) and spesialistkandidat (resident) (2006), the Regulations relating to degrees and vocational training, protected titles and nominal length of study at universities and university colleges (2005), the Regulations of the Ministry of Education and Research on quality assurance and quality enhancement in higher education and vocational education (2010), NOKUT's Regulations concerning supervision of the educational quality in higher education (2017), the Act concerning the organization of work on ethics and integrity in research (Research

Ethics Act – forskningsetikkloven, 2017) and the European Charter for Researchers & the Code of Conduct for the Recruitment of Researchers (2005) as well as NTNU's Regulations for the required duties and employment conditions of doctoral research fellows (2009).

## **Section 2. Terminology**

The two degrees are hereinafter referred to collectively as the doctoral degrees or individually as the PhD in scientific research and the PhD in artistic research.

The term doctoral work is used for both degrees to refer to the results of the work that the candidate does during the agreed period from start to completion, excluding the required coursework.

The term scientific thesis or thesis refers to the result of the scientific doctoral work; see Section 11-1.

The term artistic doctoral work includes both the result in the performing or the creative arts and the material that documents critical reflection, which is also described as the reflection component (see Section 11-2).

The term artistic result includes only the result in the performing or the creative arts.

## **Section 3. Scope, content and objectives of PhD education**

**Section 3-1.** The objective of the PhD programme is to qualify candidates for scientific or artistic research of a high international standard and for other types of work with exacting requirements in terms of scientific or artistic insight and competence in accordance with sound academic practice and established standards for disciplinary and research ethics. The PhD programme is intended to provide the candidate with knowledge, skills and expertise in keeping with the national qualifications framework. The objective is to contribute to the internationalization of scientific and artistic research, the academic community and the candidate.

The PhD education has a nominal duration of three (3) years of full-time study and includes required coursework or similar academic training comprising a minimum of 30 credits.

The most important component of PhD education is an independent scientific or artistic research project carried out under close academic supervision.

**Section 3-2.** Where the requirements for the PhD in scientific research and the PhD in artistic research differ, details will be provided. This applies especially to conditions for admission (see Section 6-1), requirements for the doctoral work (see

Section 11-1 and 11-2), elements of the doctoral examination (see Section 19) and procedures for evaluation (see the whole of Section 13 and Section 15), as well as matters arising from them.

***Section 3-3. The PhD in the sciences is conferred on the basis of***

- an approved scientific thesis; see Section 11-1
- approved completion of the required coursework
- an approved trial lecture on an assigned topic
- an approved public defence of the scientific thesis (disputation)

***Section 3-4. The PhD in artistic research is conferred on the basis of***

- an approved artistic result; see Section 11-2
- an approved reflection component; see Section 11-2
- approved completion of the required coursework
- an approved examination on an assigned topic
- approved public defence of the artistic doctoral work (disputation)

**Section 4. Responsibility for PhD education**

The Board of NTNU has the overall responsibility for the PhD education offered at the institution. The education is organized as programmes of study managed by the faculties.

The Rector establishes PhD programmes based on proposals from the faculties and at the same time stipulates which faculty is to manage the programme (the host faculty). PhD programmes can be established in cooperation between several faculties and with Norwegian or international research institutions.

The host faculty establishes a programme council for the PhD programme. When a PhD programme is created in cooperation between several faculties, a programme council is to be appointed with representatives from the participating faculties. The programme council submits a recommendation regarding admission of candidates, recognition of education, the programme description and course descriptions.

The Faculty that manages the PhD programme is to approve the programme description and the course descriptions.

## **Section 5. Quality assurance**

PhD education is covered by NTNU's quality assurance system. NTNU's common standard for PhD education is to constitute the basis of the Faculty's quality assurance system.

## **Part II. Admission**

### **Section 6. Admission**

#### ***Section 6-1. Criteria for admission***

To be admitted to a PhD programme, applicants must normally have a master's degree; see the descriptions in the national qualifications framework. Based on a special assessment, the Faculty may approve other, comparable qualifications as the basis for admission. For a PhD in artistic research, equivalent competence in the creative or performing arts may also be considered. A Norwegian experience-based master's degree (90 credits) by itself does not provide the basis for admission.

The Faculty may set further qualification requirements based on criteria that are publicly available and in keeping with NTNU's recruitment policy and academic profile.

Applicants must have a strong academic record from their previous studies and must have a weighted average grade for the last two years of their master's or equivalent education equivalent to a B or higher in terms of NTNU's grading scale. Applicants with no letter grades from previous studies must have an equally good academic foundation. Applicants who are unable to meet these criteria may be admitted only if they can document that they are particularly suitable candidates for education leading to a PhD degree.

#### ***IV Faculty's Supplementary Regulations***

Admission to the PhD program at the Faculty of Engineering Science and Technology requires a minimum grade point average of B, or 3.8. For those with grade point averages below 3.8, other factors such as qualification courses, documented research experience and excellent results in the form of publications may be considered. Applicants with education outside of Norway must provide a certificate of evaluation from the Office of International Relations at NTNU along with the application to the PhD program.

Qualification courses are normally master courses within the applicant's field of research. At NTNU these master courses are from the 4th and 5th years of study. The doctoral degree committee approves these qualification courses after approval from

the doctoral candidate's main supervisor. Exams should be taken at the first available opportunity upon admission to the program. The minimum passing grade is B.

If the applicant has an experienced-based master's degree in which a bachelor's degree is required, extra courses at the master level must be completed to achieve the required 120 study master level study credits. The minimum grade of B, or 3.8 is required for these courses. Applications can be accepted after these courses have been completed.

### ***Section 6-2. Application***

NTNU determines the content of the application form. Applications are to be submitted to the Faculty through the Department and must normally include:

- documentation of the educational qualifications on which admission is to be based
- a description of the project, including an academic outline of the project and the planned schedule
- documentation of funding
- documentation of specific needs for academic and material resources
- plans for residence at another institution
- a plan for academic dissemination
- details of any restrictions related to intellectual property rights, to protect the rights of others
- a plan for the required coursework
- proposed main supervisor and co-supervisors and their association with a community active in scientific or artistic research
- description of any legal or ethical issues raised by the project and how these can be resolved. The application must state whether the project is dependent on permission granted by committees on research ethics or other authorities or by individuals (research subjects, patients, parents, etc.). If possible, such permission should be obtained in writing and be attached to the application.

The Faculty may specify requirements for further documentation.

An application for admission to a PhD programme must normally be submitted within three (3) months after the start of the research project that will culminate in conferral of the PhD degree. If less than one (1) year of full-time work on the research project remains at the time of submission of the application, the application is to be rejected; see Section 6-5. Special rules apply to applicants with a background from research training programmes and equivalent programmes of study.

As soon as possible, the candidate and the main supervisor must review the project description and assess the need for adjustments. The complete project description is normally to be available no later than three (3) months after admission and is to provide details of the subject, the research questions addressed, theory and method as well as an assessment of the risk associated with the project.

#### *IV Faculty's Supplementary Regulations*

A complete project description (5-10 pages) must be sent to the faculty upon completion of the mandatory course IFEL8000 Introduction to Research Methodology, Theory of Science and Ethics (34 study credits). The project description should contain the following:

- Background
- Objectives
- Scope (limitations and coverage)
- Research methods
- Ethical issues
- Expected results
- Work plan/work schedule
- References

When the application to the PhD program is sent to the faculty, a shortened project description containing the above-mentioned bullet points should also be included.

#### ***Section 6-3. Residency requirement***

Candidates with external funding or an external workplace must reside for a total of one year or more of their PhD education in a good and relevant academic environment at NTNU. A reduction in the residency requirement is possible in special cases, but the proposed solution must fulfil the requirements for supervision and high quality in the academic community as well as NTNU's desire for the candidate to contribute to the institution's academic development and environment. A statement from the main supervisor and the Department must accompany an application for a reduction in the residency requirement. The Faculty decides on each application.

#### ***Section 6-4. Infrastructure***

The infrastructure necessary to complete the doctoral work is to be available to the candidate. It is the Faculty's responsibility to decide what infrastructure is necessary for implementing the project. For candidates with external funding or an external workplace, an agreement must be entered into between the Faculty and the external party in connection with the project concerned. As a general rule, the agreement must be signed prior to the formal admission of the candidate.

### **Section 6-5. Admission decision**

The decision on admission is made by the Faculty and is based on an overall assessment of the application. The Faculty may specify criteria for the ranking of qualified applicants and restriction of admission when the number of applicants exceeds the capacity.

The decision is to include appointment of the main supervisor and co-supervisor(s), assignment of responsibility for dealing with other needs outlined in the application, and specification of the starting and completion dates in 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 and must be specifically clarified in relation to the candidate's basis for funding.

Admission is to be refused if:

- agreements with external third parties impede public availability and the public defence of the doctoral work
- the intellectual property rights agreements that have been entered into are so unreasonable that the institution should not be involved in the project
- the applicant will not be able to fulfil the requirement that a minimum of one year of the project is to be completed after the candidate has been admitted to the PhD education; see Section 6-2.

## **Section 7. The PhD agreement**

### **Section 7-1. Parties to the agreement**

Admission to NTNU's PhD education must be formalized in a written agreement signed by the PhD candidate, the supervisors and the Faculty to which the candidate has been admitted. The agreement governs the parties' rights and obligations during the admission period. The aim is to ensure that the candidate participates regularly and contributes actively in a research community and to facilitate the candidate's completion of the PhD education within the stipulated period. NTNU is responsible for creating a standardized form for this purpose.

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, in keeping with the established guidelines.

If the PhD candidate is to be affiliated with an institution outside Norway, NTNU's guidelines for such cooperation must be followed and separate agreements must be entered into. Such agreements must normally be attached to the PhD agreement.

### ***Section 7-2. Agreement period***

The PhD education has a nominal duration of 3 (three) years of full-time study. In connection with required duties and interruption of the candidate's period of study for authorized reasons, the agreement period is to be extended correspondingly.

When the agreement period ends, so do the parties' rights and obligations in accordance with the PhD agreement. This means that PhD candidates may lose their right to academic supervision, participation in courses, and access to the institution's infrastructure.

If an application explaining the reasons for the delay is received, the Faculty may extend the agreement period. If an extension of the agreement period is approved, the Faculty may specify additional terms and conditions.

The maximum period of study is six (6) years from the start date to the date on which the doctoral work is submitted for evaluation. Required duties and interruptions on legally authorized grounds are not to be included in this 6-year period. If the maximum period of study is exceeded, the candidate loses the right to a public defence. The Faculty is to decide whether the maximum period of study has been exceeded. The candidate may apply for evaluation of the doctoral work for the PhD degree after the maximum period of study is exceeded. The Faculty decides whether the application is to be granted.

### ***Section 7-3. Voluntary termination before the end of the agreement period***

The candidate and the Faculty may agree on termination of the PhD education prior to expiry of the agreement period. In the event of voluntary termination of the PhD education, all issues regarding the terms and conditions of employment, funding, and the intellectual property rights to the results and similar issues must be specified in writing.

In the case of voluntary termination resulting from the candidate's wish to change the project or transfer to another programme, the candidate must submit a new application based on the new project. Any external source of funding must approve the change of project.

### ***Section 7-4. Enforced termination***

The Faculty may decide on enforced termination of a candidate's participation in the PhD education prior to expiry of the agreement period. Enforced termination can be decided if one or more of the following conditions are met:

- Considerable delay in carrying out the required coursework, due to factors which the candidate is able to control.

- Repeated or serious violations of the candidate's obligations to provide information, meet commitments, or report on the project, including failure to submit a progress report; see Section 10.
- Delay in the progress of the research project to such an extent that it creates reasonable doubt as to whether the candidate will be able to complete the project in the agreed time. Such delays are considered grounds for enforced termination if they are due to factors over which the candidate has control.
- Behaviour by a candidate that breaches the trust that must exist between the university and a candidate during the PhD education. This includes punishable conditions that are connected to the completion of the PhD education.

### ***Section 7-5. Enforced termination in the event of cheating on examinations or tests***

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; see Section 4-7 of the Universities and University Colleges Act. If the circumstance(s) are so serious as to constitute research misconduct, see Section 4-13 (1) of the Universities and University Colleges Act and Section 8, second subsection of the Research Ethics Act, the institution may decide to impose enforced termination; see Section 7-6 below.

Decisions in accordance with the first sentence are made by NTNU's Appeals Committee. Appeals are to be handled by the «Felles klagenemnd for studentsaker» (Joint Appeals Committee for Student Affairs); see Section 5-1 of the Universities and University Colleges Act and Regulations in accordance with this.

### ***Section 7-6. Enforced termination in the event of research misconduct***

If it is found that a PhD candidate is guilty of research misconduct, see Section 4-13 (1) of the Universities and University Colleges Act and Section 8, second subsection, of the Act on organization of ethics and integrity in research, the institution may decide to impose enforced termination.

Decisions on enforced termination due to misconduct are made by the Faculty. Appeals against such decisions will be handled by the Ministry or a special appeals committee appointed by the Ministry.

### ***Section 7-7. Termination and dismissal***

Candidates may be dismissed from employment in a PhD candidate position when there are proper grounds related to the institution's or PhD candidate's

circumstances under sections 19 and 20 of the Public Employees Act (statsansatteloven), or summarily discharged under Section 26.

The Faculty can approve enforced termination of the right of admission if candidates are dismissed or summarily discharged.

## **Part III. Implementation**

### ***Section 8. Supervision***

The work involved in the PhD project must be carried out under individual academic supervision. The Faculty, the Department and supervisors must together ensure that the PhD candidate participates in an academic community that is active in scientific or artistic research.

#### ***Section 8-1. Appointment of academic supervisors***

The Faculty appoints academic supervisors. As a general rule, the PhD candidate is to have at least two academic supervisors, of which one will be designated as the main supervisor.

The main supervisor has the primary academic responsibility for the candidate. If the Faculty appoints an external main supervisor, a co-supervisor employed at NTNU is to be appointed.

Co-supervisors are experts in the field who provide supervision and share the academic-related responsibility for the candidate with the main supervisor.

The impartiality provisions in sections 6 to 10 of the second chapter of the Public Administration Act (forvaltningsloven) concerning disqualification apply to the academic supervisors and designated supporting supervisors.

All academic supervisors must hold a doctoral degree or equivalent qualification in the relevant research field and must be working actively in their field. At least one of the appointed supervisors must have previous experience in supervision of PhD candidates, normally until completion of the doctoral degree.

In addition, the Faculty may appoint one or more supporting supervisors who do not meet the formal qualification requirements for supervisors, but who have specific skills that are essential to the implementation of the project. Competence and relevance must be specified in the application for appointment.

The PhD candidate and academic supervisor may ask the Faculty to appoint another supervisor for the candidate. The supervisor may not withdraw before a new supervisor has been appointed. Any disputes regarding the academic rights and

obligations of the supervisor and of the candidate are to be referred by these parties to the Faculty for review and a final decision.

#### *IV Faculty's Supplementary Regulations*

In order to ensure experience with publishing in the supervisor team, the supervisors should normally have a minimum of 5 publications at level 1 or level 2 (cf. the Norwegian levels of quality ranking) over the past five years. At least one of the supervisors must fulfill the requirement for publication.

For supervisors who do not meet the requirement for publication, it must be explained how the person in question is otherwise regarded as active researcher.

At least one of the appointed supervisors must have previous experience in being the main supervisor for a PhD candidate, normally until completion of the doctoral degree.

All main supervisors must complete a supervisor seminar either before or shortly after being appointed as main supervisor. Exceptions can be made with the approval of the faculty.

The job title of the main supervisor should be either Professor, Associate Professor or Adjunct Professor from NTNU.

#### ***Section 8-2. Content of the academic supervision***

The supervisors are to give advice on the formulation and delimitation of the thematic area and research questions, discuss and assess methods and results, discuss arrangements, implementation, forms of documentation and presentation, and provide guidance with respect to relevant academic discourse. The candidate must receive supervision in academic- and research-related ethical issues related to the doctoral work.

The candidate and supervisors must have regular contact. The frequency of contact between the parties should be stated in the annual progress report; see Section 10-1.

The candidate and supervisors have a mutual obligation to keep each other informed about the progress of the work and to assess it in relation to the project description.

The supervisors are required to follow up academic issues that may cause a delay in the progression of the candidate's PhD education, so that it can be completed within the nominal period of study.

## **Section 9. Required coursework or other academic training**

### ***Section 9-1. Purpose, content and scope***

The PhD education is to be designed in such a way that candidates are able to complete their studies within the nominal period of study.

The Faculty is responsible for ensuring that the required coursework together with the project constitute an education at a high academic level in accordance with international standards. The required coursework must include training in academic dissemination as well as an introduction to academic and research ethics, the philosophy of science, and methodology. The required coursework together with the doctoral work must be designed to achieve the expected learning outcomes in accordance with the national qualifications framework.

The required coursework must be equivalent to at least 30 credits, of which, as a general principle, at least 20 credits must be completed following admission to the PhD education. At least 20 credits are to be taken in PhD-level courses that are specified in the programme description. If a master's course is to be included in the required coursework, the passing grade is equivalent to B or higher in terms of NTNU's grading scale.

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. Exemption may be granted if there are special academic grounds for this. For PhD candidates with a background from research training programmes, special rules apply.

The Faculty stipulates which elements may and must be included in the required coursework, the requirements for documentation, and the criteria for passing examinations. If NTNU does not offer all the required coursework, the Faculty is to arrange for the candidate to receive equivalent courses or training at other institutions.

Courses at doctoral level at another institution must be approved when they are to meet the academic requirements of the required coursework under the provisions of Section 3-5 of the Universities and University Colleges Act.

As part of the PhD education, PhD candidates are to receive advice on future professional and occupational prospects within and outside academia. This is also to increase their awareness of the expertise that they have acquired through their doctoral work.

### ***IV Faculty's Supplementary Regulations***

The PhD training program is at a high academic and scientific level. Therefore, the Faculty does not approve courses towards the required 30 study credits that are based

on information research or scientific publication. Courses that deal with philosophy of science cannot be included in the required 20 credits in established PhD level courses.

The PhD training courses are not to exceed 60 study credits (one academic year).

If you wish to include an external master's course in your study plan, this must be categorized as "Higher degree level". A grade of PASS or minimum B (in accordance with NTNU's grading system) is required.

Individual study syllabus courses are accepted in the study plan only as courses in higher degree level.

A course cannot be both at the master's and PhD level. There must be a clear and significant distinction between master's and PhD courses, with greater emphasis on academic focus in the PhD courses.

From the academic year 2013/2014 PhD courses at the Faculty are graded as PASS/FAIL. In order to pass a PhD course, a minimum score of 70 per cent (70 of 100 points) is required. PhD course exams taken before the academic year 2013/2014, which received a passing grade between A-E, will still count as PASS and can be accepted in the PhD training program.

If you wish to include an external course to your plan of study (a course outside of NTNU), the assessment of the course should be an oral or written exam. If the course does not include an exam, the department can arrange for an exam so that the course can be included in the plan of study. Courses without an exam cannot be included in the Ph.D. study plan of 34 credits.

## ***Section 9-2. The candidate's rights in the event of leave of absence***

PhD candidates with parental leave from the PhD education may still attend classes and sit for examinations in courses and training that will be included as part of the candidate's required coursework during the leave period, under Chapter 14, Section 14-10, fourth subsection, of the National Insurance Act (folketrygdløven) and the circular from the Norwegian Labour and Welfare Administration regarding Section 14-10, fourth subsection, of 18 December 2006.

## **Section 10. Reporting**

### ***Section 10-1. Annual reporting***

During the agreement period, PhD candidates must report to the Faculty every year describing their progress in the PhD education. The supervisors report annually to the Faculty. The reports must be submitted using the prescribed forms and must be kept confidential when the information warrants this.

The candidate and the supervisor have equal responsibility for submitting the required reports. A lack of, or inadequate, progress reports from the candidate may result in enforced termination of the candidate's participation in the PhD education prior to expiry of the agreement period; see Section 7-4. Supervisors who fail to follow up the reporting requirements may be relieved of their supervisory duties.

The Faculty may establish special reporting requirements, if needed.

#### *IV Faculty's Supplementary Regulations*

PhD candidates and main supervisors are required to submit a progress report every year. The report is based on the previous academic year. The report form is sent out by email with information and a link to the form.

#### ***Section 10-2. Midway evaluation***

A midway evaluation of the doctoral work shall normally take place halfway through the period. The Faculty decides on guidelines for the content and form of the midway evaluation.

### **Section 11. Requirements for the thesis or the artistic doctoral work**

#### ***Section 11-1. Requirements for the scientific thesis***

The scientific thesis is to be an independent piece of research or research and development work that meets international standards with regard to ethical requirements, academic standards and method in the discipline.

The thesis must contribute to the development of new academic knowledge and must achieve a level meriting publication or presentation to the public in a suitable format as part of the research-based development of knowledge in the discipline.

The thesis may consist of a monograph or a compendium of several shorter manuscripts. If the thesis consists of several shorter papers, clarification about how they are interrelated must be included.

The scientific thesis may also consist of a written component in combination with a product or production documented in a permanent format. In such cases, the combined works must meet the requirements for an independent piece of research for the degree of PhD in accordance with international standards in the discipline. The Faculty may set additional requirements for the ratio of the product or production in terms of the scope or content.

The Faculty decides which languages may be used.

#### *IV Faculty's Supplementary Regulations*

The faculty requires a plan for publishing work based on the doctoral thesis.

If the thesis is a monograph, 3 articles should be published based on the content of the thesis. At least one being in an internationally recognized journal with a referee scheme. The articles can be published after the thesis and disputation has been approved.

A paper-based thesis should consist of a minimum of 3 journal articles sent to an internationally recognized journal with a referee scheme. The PhD candidate must be the main author of at least two of the journal articles.

At least one of the journal articles, with the PhD candidate as the main author, must be accepted for publishing when the thesis is delivered for assessment.

#### ***Section 11-2. Requirements for the artistic doctoral work***

The artistic doctoral work must consist of an artistic result as well as material that documents critical reflection. The artistic doctoral work must be an independent work that meets international standards with regard to the level and ethical requirements within the discipline.

The artistic doctoral work must be at a level that enables it to contribute to development of new knowledge, insight and experience in the discipline.

The artistic doctoral result may consist of one or more parts or of a collection of works comprising a whole. If the artistic result consists of several smaller works, the candidate must explain how they are interrelated.

Normally, only works that have been produced after admission to a PhD programme may be included, but in exceptional cases earlier works may be used if this has been a prerequisite in the project description.

The artistic result must be an artistic work at a high level in terms of originality, expression, coherence and communication. The artistic result must be presented publicly; see Section 18-2.

The critical reflection must be documented in the form of submitted material, specifically with regard to

- the process with regard to artistic choices and turning points, use of theory and methods, dialogue with different networks and communities in the discipline, etc.
- positioning and description of the candidate's own artistic point of view and work in relation to the relevant discipline, nationally and internationally

- contribution to academic development in the field, including any innovations in the discipline

The candidate chooses the medium and form for the reflection component and for any other documentation.

The Faculty decides which languages may be used for reflection and documentation.

The artistic doctoral work must be documented in a permanent format.

### ***Section 11-3. Joint works***

The Faculty decides whether a doctoral work produced through collaboration between several contributing partners may be submitted for evaluation. In this case, it must be possible to identify the contributions of the individuals involved.

For works that have been produced in collaboration with other cooperating partners or co-authors, the PhD candidate must follow the norms for crediting co-authorship and joint work that are generally accepted in the academic community for the discipline and in accordance with international standards.

If the scientific thesis consists mainly of articles, the candidate must normally be listed as the lead author of at least two of the articles.

A doctoral work with several contributors must include a signed declaration that describes the candidate's contribution to each piece of work. The candidate and all the other contributors must sign the declaration.

### ***Section 11-4. Work that may not be submitted***

Work or parts of a work approved as a basis for previous examinations or degrees may not be submitted for evaluation. However, data, analyses and methodologies from previous degrees may be used as the basis for work on the PhD project.

Pieces of work that have already been published or publicly presented prior to commencing the PhD will not be approved if more than five (5) years have passed from the date that they were first made public to the start of the PhD agreement. The Faculty may grant exemptions from this requirement if this is warranted by special circumstances; see Section 11-2.

The thesis or the artistic doctoral work may be submitted for evaluation to only one educational institution; see sections 13-2 and 13-3.

## ***Section 12. Obligation to report on research results with commercial potential***

The intellectual property rights of cooperating institutions must be regulated in a separate agreement.

When a PhD candidate is employed at NTNU, NTNU's regulations that are in force form the basis for the candidate's obligation to report on research results with commercial potential that are produced during the employment relationship.

For PhD candidates with an external employer, a corresponding obligation to report such results must be stipulated in an agreement between the institution, the PhD candidate, and the external employer.

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

## **Part IV. Completion**

### **Section 13. Submission and application for evaluation**

#### ***Section 13-1. Basis for the evaluation***

The requirements for conferring the scientific or the artistic PhD are set out in Section 3-3 and Section 3-4.

Application for evaluation takes place through submission of a scientific thesis (see Section 13-2), or through application for evaluation of an artistic doctoral work (see Section 13-3).

The main supervisor is responsible for notifying the Department and the Faculty that submission or application for evaluation is imminent, so that the necessary preparations can be made.

#### ***Section 13-2. Application for evaluation of the scientific thesis***

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

The following documents must be enclosed with the application:

- The scientific thesis prepared in accordance with the Faculty's provisions, in the form and with the number of copies stipulated by the Faculty.
- Documentation of required permission; see Section 6-1.
- Declarations from co-authors where required under Section 11-3.
- Statement specifying whether the thesis is being submitted for evaluation for the first or second time.

- Statement that the doctoral work has not been submitted for evaluation at another institution.
- Statement from the main supervisor.

The Faculty must ensure that the time between submission of the thesis for evaluation and its defence is as short as possible, normally not longer than five (5) months.

### ***Section 13-3. Application for evaluation of the artistic doctoral work***

The following documents must be enclosed with the application:

- An account of what should form the basis for the evaluation, including a plan for where, when and how the artistic result is to be publicly presented
- An account on the choice of medium, language and form of the reflection component and the date of submission; see Section 15-2
- An account of how the required coursework is or will be fulfilled, and for any other academic training or competence
- Documentation of required permission; see Section 6-1
- Plan for approved documentation and archiving in a permanent format of the entire doctoral work
- Declaration from co-authors when this is required under Section 11-3
- Statement regarding whether the artistic doctoral result is being submitted for evaluation for the first or second time
- Statement that the doctoral artistic doctoral result has not been submitted for evaluation at another institution
- Statement from the main supervisor.

The application must be sent to the Faculty at the latest three (3) months before the plan public presentation of the artistic result.

The Faculty must ensure that the period from the date that the doctoral work is available until the public defence is as short as possible, normally not longer than five (5) months.

### ***Section 13-4. Processing of the application***

The Faculty considers the application for evaluation of the scientific thesis or the artistic doctoral work. Applications that do not fulfil the requirements stated in Section

13-2 or 13-3 will be rejected. The Faculty can, on an independent basis, reject an application for evaluation of the doctoral work if it is obvious that it does not meet a high enough standard and is bound to be rejected by a committee.

#### **Section 14. Appointment of an evaluation committee**

When the Faculty has approved an application for evaluation of the scientific thesis or the artistic doctoral work, the Faculty is to appoint an expert evaluation committee of a minimum of three members who are to evaluate the thesis or doctoral work, the examination on a specified topic, and the public defence. Committee members are subject to the provisions in Section 6 of the Public Administration Act regarding impartiality.

The evaluation committee will normally be composed so that:

- at least two genders are represented
- at least two of the members are from outside NTNU
- the main position of at least one member is at an institution outside Norway
- all the members hold doctoral degrees or equivalent qualifications
- the majority of the evaluation committee are external members

If these criteria are not met, an explanation stating the grounds for this must be provided.

The Department proposes the evaluation committee. The proposal shall include the reasoning behind the composition of the committee with regard to how the committee as a whole covers the field(s) addressed in the doctoral work. The Faculty designates a chairperson from among the committee members or in addition to the committee members.

The appointed supervisors and others who have contributed to the doctoral work may not be members of the evaluation committee or administer its activities.

If a member withdraws from the committee, the Faculty may appoint an alternative member to the evaluation committee.

The candidate shall be notified of the proposal for the composition of the committee, and he or she may submit written comments no later than one week after the proposal has been made known to the candidate.

#### ***IV Faculty's Supplementary Regulations***

At least one of the opponents should be from an institution outside of Norway, preferably an acknowledged educational institution, who has experience supervising

PhD candidates and assessing doctoral theses. The committee must represent both genders.

In cases where one of the opponents has little or no experience with assessment work, the rest of the members of the assessment committee should have good experience working on an assessment committee. If this is not the case, a fourth opponent may be appointed to assist the other opponents.

The administrator for the assessment committee is proposed by the department and later appointed by the faculty. The administrator is usually someone from the department. In cases where the administrator has little or no experience with administration of an assessment committee, a co-administrator must be appointed to assist the administration.

The committee members cannot have published together with the main supervisor or co-supervisor the last five (5) years.

Normally a post.doc is not appointed as administrator or member of the assessment committee.

## **Section 15. Activities of the assessment committee**

The evaluation committee shall acquaint itself with NTNU's PhD Regulations and guidelines for evaluation.

### ***Section 15-1. Evaluation of the scientific thesis***

The evaluation committee may require presentation of the candidate's source material and additional information for the purpose of supplementation or clarification.

The evaluation committee may ask academic supervisors to provide information about the supervision carried out and the work involved in the project.

On the basis of the submitted thesis and any additional material, the evaluation committee may recommend that the Faculty permit the candidate to make minor revisions 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 Faculty allows minor revisions to the thesis, a deadline normally not exceeding three (3) months is to be set for completing such revisions. A new deadline for submission of the committee's final report must also be set. The candidate may not appeal against the Faculty's decision in relation to this paragraph.

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

### ***Section 15-2. Evaluation of the artistic doctoral work***

The evaluation committee must receive an account of what should form the basis for the evaluation, including a plan for where, when and how the artistic result is to be publicly presented (see Section 13-3), and when and in which form the reflection component should be submitted.

If the public presentation of the artistic result is in the form of a concert, exhibition, performance or other event taking place at a specific time and location, the whole evaluation committee must be present.

Material that documents critical reflection must be submitted no later than three weeks after the public presentation of the artistic result.

On the basis of the submitted thesis, the evaluation committee may recommend that the Faculty permits the candidate to make minor revisions to the reflection component 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 Faculty allows minor revisions to the reflection component, a deadline normally not exceeding three (3) months is to be set for completing such revisions. A new deadline for submission of the committee's final report must also be set. The candidate may not appeal against the Faculty's decision in relation to this paragraph.

If the committee finds that extensive changes are needed in order to deem the artistic doctoral work worthy of a public defence, the committee must reject it.

### ***Section 15-3. Report of the evaluation committee***

The evaluation committee submits a report with explanations, stating whether the doctoral work is worthy of being defended for the PhD degree. In this report, all parts of the submitted or presented documentation must be discussed in relation to the criteria in Section 11-1 or 11-2. The report should take the form of an argumentation and conclude with a clear conclusion whether the work should be approved or not. Possible dissenting opinions and individual statements by committee members must be included in the report, with an explanation of the reasons.

The evaluation committee submits its report to the Faculty.

The committee's evaluation report should be delivered at the latest within three (3) months after the committee has received all parts of the doctoral work to be evaluated. If the committee allows minor revisions of the scientific thesis or the

reflection component of the artistic doctoral work, a new time limit applies from the date on which the work is resubmitted.

The committee's report is submitted to the Faculty, which forwards the report to the candidate. The candidate is given ten (10) working days in which to submit written comments on the report. If the candidate does not wish to submit comments, the Faculty must receive written notification of this as soon as possible.

Any comments from the candidate are to be submitted to the Faculty. The Faculty of the Arts is responsible for taking the final decision on the matter in accordance with Section 16.

#### ***Section 15-4. Correction of formal errors***

A doctoral work that has been submitted or presented may not be changed or withdrawn before a final decision has been made on whether it is worthy of defence for the PhD degree.

After submission or presentation, the candidate may nevertheless correct formal errors. For a PhD in artistic research, this applies only to the reflection component. The candidate must attach a complete list of the errata that have been corrected. Correction of formal errors must take place before the work is made public.

#### **Section 16. Procedures related to the evaluation committee's report**

Based on the evaluation committee's report, the Faculty decides whether the doctoral work is worthy of defence.

##### Unanimous committee decision

If the committee's decision is unanimous and the Faculty finds that the committee's report should be used as the basis for its final decision, the Faculty will make the final decision in accordance with the unanimous recommendation.

If the Faculty finds that there are grounds to doubt whether the committee's unanimous report should be used as the basis for its final decision, the Faculty must request further clarification from the committee and/or appoint two new experts who will submit individual evaluations of the doctoral work. Such additional clarification or individual statements must be presented to the candidate, who will be given the opportunity to make comments.

The Faculty is to take the final decision on the matter on the basis of the committee's report and the statements obtained.

### Non-unanimous committee decision

If the committee's decision is non-unanimous and the Faculty chooses to use the majority's opinion as the basis for its final decision, the Faculty will make the final decision in accordance with the majority's recommendation. If the committee's decision is not unanimous and the Faculty finds there are grounds to consider using the minority's opinion as the basis for its final decision, the Faculty may request further clarification from the evaluation committee and/or appoint two new reviewers who will submit individual evaluations. Such additional statements or individual statements must be presented to the PhD candidate, who will be given the opportunity to make comments. If both of the new reviewers agree with the majority's opinion in the original report by the committee, the majority's opinion must be followed.

The candidate will be informed of the outcome after procedures related to the statements by the new experts have been completed.

### **Section 17. Application for resubmission**

A doctoral work that is not found to be worthy of a public defence may be resubmitted in revised form no sooner than six (6) months after the Faculty has made its decision. The Faculty then appoints a new evaluation committee, in which at least one of the members of the original committee should be reappointed. The work may only be re-evaluated once.

The final deadline for submitting an application for a new evaluation is two (2) years after the Faculty made its decision not to approve the doctoral result.

A candidate who submits a new application for evaluation must clearly state that the work was evaluated previously and was not found to be worthy of a public defence; see sections 13-2 and 13-3.

### **Section 18. Public availability**

#### ***Section 18-1. Requirements for making the doctoral result public***

The scientific thesis or the artistic doctoral work is to be made public. There are specific requirements for publication of the scientific thesis and the artistic doctoral work respectively; see Section 18-2.

The candidate must submit a brief written summary or presentation of the thesis or the doctoral work in English and in Norwegian. The presentation must be made public.

## **Section 18-2. Availability**

The scientific thesis must be made available to the public no later than three (3) weeks 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; see Section 15-1.

The artistic doctoral work must be publicly presented. The reflection part and any other material included in the assessment must be made available to the public no later than three (3) weeks prior to the date of the public defence. The material should be made available in the form in which it was submitted for evaluation; see Section 15-2.

The artistic result must be documented in a durable format and archived together with the reflection component.

No restrictions may be placed on the doctoral work being made publicly available, with the exception of a previously arranged delay of the date of public access. Such a delay may be allowed so that the institution and any external party that has fully or partly funded the candidate's PhD studies can consider potential patents or similar. An external party may not require that all or part of the thesis or the artistic doctoral work be withheld from the public domain; see Section 6.

In connection with publication or public presentation, candidates must follow the applicable guidelines on the crediting of institutions. As a general rule, an institution must be specified if it has made a necessary and substantial contribution or laid a foundation for the publicly available work. Other institutions must also be credited if they satisfy the conditions for what constitutes participation in the doctoral result.

## **Section 19. The doctoral examination**

### **Section 19-1. Trial lecture or other examination on an assigned topic**

After the scientific thesis or the artistic doctoral work has been submitted for evaluation, the candidate must hold a trial lecture or equivalent artistic presentation, both on an assigned topic. This is an independent part of the doctoral examination. The purpose is to test candidates' ability to acquire knowledge beyond the topic of their speciality and ability to convey this knowledge in a lecture setting or other relevant form of dissemination.

The evaluation committee specifies the assignment and undertakes the evaluation. The PhD candidate is to be notified of the title of the examination ten (10) working days before it will take place. The topic must not have a direct connection to the topic of the doctoral work.

The evaluation committee is responsible for determining whether the examination on the assigned topic is approved or not. If the examination is not approved, the reason for this must be explained.

The examination on the assigned topic must be approved before the public defence can be held.

#### *IV Faculty's Supplementary Regulations*

The trial lecture should not last longer than 45 minutes.

The trial lecture topic is given to the candidate two weeks (10 working days) prior to the date of the defence.

#### **Section 19-2. Public defence (disputation)**

The public defence of the doctoral work must normally take place no later than two (2) months after the Faculty has found the work to be worthy of a public defence.

The time and location of the public defence must be announced at least ten (10) working days before it is held.

The committee that originally evaluated the doctoral work must also assess the public defence. The public defence must be held in English or Norwegian, unless the Faculty approves the use of a different language.

There are normally two opponents. The two opponents must be members of the committee and are appointed by the Faculty.

The public defence is chaired by the Dean or by the person to whom the Faculty delegates such authority. The chair of the defence gives a presentation of the submission and evaluation of the doctoral work and the result of the examination on the assigned topic (see Section 19-1). Then the PhD candidate explains the purpose and findings of the doctoral work.

The first opponent starts the questioning of the candidate and the second opponent concludes the questioning. The Faculty may decide to distribute the tasks normally assigned to the opponents and the candidate in a different way. After both opponents have concluded their questioning, members of the audience will have the opportunity to comment *ex auditorio*. The chair of the defence concludes the disputation.

The evaluation committee submits its report to the Faculty, in which it explains how it has assessed the public defence of the doctoral work. In the report, the level of the doctoral work is to be considered in relation to international standards in the subject, with a conclusion stating that the defence should be approved or not approved.

#### *IV Faculty's Supplementary Regulations*

The PhD candidate's review of the thesis should not last longer than 45 minutes

### **Section 20. Approval of the doctoral examination**

The Faculty takes the decision about the approval of the doctoral examination on the basis of the evaluation committee's report.

If the committee does not approve the result of the trial lecture or the examination on an assigned topic, see Section 19-1, a new examination must be held on a new topic no later than six (6) months following the first attempt. A new examination on the assigned topic may only be held once. As far as possible, the new examination must be assessed by the same committee that assessed the original examination, unless the Faculty decides otherwise.

If the Faculty does not approve the public defence, the candidate may defend the doctoral work once again. A new defence can be held after six (6) months and must be evaluated to the extent possible by the same committee that evaluated the first defence.

### **Section 21. Conferral of the degree and certificate**

#### ***Section 21-1. Conferral of the degree***

Based on the Faculty's decision that the required coursework and all parts of the doctoral examination have been approved, the degree of Philosophiae Doctor or Philosophiae Doctor in Artistic Research will be conferred on the candidate.

#### ***Section 21-2. Certificates***

Certificates are issued by the Faculty. In the certificate, information must be provided about the required coursework or other academic training in which the candidate has participated, the title of the thesis or the artistic doctoral work, the examination on the assigned topic, and the supervisors. The certificate is to be signed by the Dean.

Certificates for candidates who have completed an inter-faculty PhD programme are issued by the faculty to which the candidate was admitted.

In addition to the certificate from the Faculty, a PhD degree diploma is issued. This is to be signed by the Rector of NTNU and the Dean of the Faculty.

## **Section 22. Diploma supplement**

NTNU is to issue a PhD diploma supplement in accordance with the guidelines in force.

## **Part V. Appeal, entry into force and transitional provisions**

### **Section 23. Appeal**

#### ***Section 23-1. Appeal against rejection of an application for admission, a decision to terminate a candidate's admission rights, or rejection of an application for approval of part of the required coursework***

Rejection of an application for admission, a decision to terminate a candidate's admission rights, or an application for approval of part of the required coursework may be appealed under 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 Faculty. If the Faculty finds that there is no reason why the decision is to be reversed, the appeal must be forwarded to the University Appeals Committee at NTNU for a final ruling.

#### ***Section 23-2. Appeals against grade awarded or procedural error in connection with examination in the required coursework***

Examinations taken as part of the required coursework may be appealed under the Act of 1 April 2005 No. 15 relating to Universities and University Colleges, Section 5-3 concerning appeals over grades awarded and Section 5-2 concerning appeals relating to procedural errors in examinations.

Suspicion of academic misconduct or attempted misconduct must be handled in accordance with NTNU's established routines for this.

#### ***Section 23-3. Appeals against rejection of an application for evaluation, rejection of a PhD thesis or artistic doctoral work, trial lecture or other examination on a specified topic, or public defence***

Rejection of an application for evaluation of the doctoral work and a decision not to approve a doctoral work, mandatory examination or public defence may be appealed under 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 Faculty. The Faculty may annul or amend the decision if it finds that the appeal is justified. If the Faculty dismisses the appeal, the appeal is to be forwarded to the University Appeals

Committee at NTNU for a ruling. The body handling the appeal is to investigate all aspects of the appealed decision.

Should the Faculty or the body dealing with the appeal find 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.

### ***Section 24. Transitional provisions***

Candidates who have been admitted to the Norwegian Artistic Research Fellowship Programme can apply to the Faculty to be considered for admission to the PhD programme in artistic research. The deadline for the transition to PhD programme is 2025.

The PhD in artistic research is awarded only after completion of the PhD programme.

### **Section 25. Joint degrees and cotutelle agreements**

#### ***Section 25-1. Joint degrees and cotutelle agreements***

NTNU may enter into agreements with one or more institutions in Norway or abroad regarding cooperation in the form of joint degrees or cotutelle agreements.

The guidelines adopted by the Board on 4 December 2008 (S-sak 83/08) apply to joint degrees and cotutelle cooperation.

#### ***Section 25-2. Joint degrees***

The term joint degree is defined as a cooperative programme between two or more institutions that are jointly responsible for the doctoral programme, admission, academic supervision, conferral of the degree, and other elements described in these Regulations. The cooperation is normally organized in the form of a consortium and is regulated by an agreement between the consortium members. For a completed joint degree, a joint diploma is issued in the form of: a) a diploma issued by the consortium members as a group, b) a diploma issued by each of the consortium members, or a combination of a) and b).

An agreement to issue a joint degree is normally entered into only if established, stable academic cooperation already exists between the institution and at least one of the other consortium members.

### **Section 25-3. Cotutelle agreements**

The term cotutelle agreement is defined as the joint academic supervision of PhD candidates and cooperation on doctoral training for PhD candidates. A cotutelle agreement is entered into by the institutions in the agreement for each candidate and must be based on stable academic cooperation between the institutions.

### **Section 25-4. Requirements for joint degrees and cotutelle**

With regard to cooperation on joint degrees and cotutelle agreements, the Rector may grant an exemption from these Regulations if this is necessary due to the regulations at the cooperating institutions. Such exceptions, both individually and as a whole, must be clearly justifiable on the basis of the requirements for academic quality that apply to an equivalent PhD degree at NTNU. The qualifications required for admission, the requirement that the PhD thesis must be made available to the public, and the requirement for a public defence assessed by an impartial evaluation committee cannot be waived.

As a minimum, agreements on joint degrees and cotutelle must cover admission, funding, required coursework, supervision, residency requirements at the institutions, reporting requirements, the language and structure of the thesis, its evaluation, conferral of the degree, the diploma and the intellectual property rights to the results. Such an agreement is to be signed by the Rector.

The PhD education at the cooperating institution must also have a nominal length of study of three years. The candidate must be admitted to both institutions.

### **Section 26. Entry into force**

These Regulations enter into force on 1 January 2019. At the same time, the Regulations of 23 January 2012 No. 206 concerning the Philosophiae Doctor degree (PhD) at the Norwegian University of Science and Technology (NTNU) are repealed.