

## Guidelines for article based theses

NTNU's current PhD regulation states in § 10.1. Thesis requirements:

*The thesis should be an independent, scientific work that meets international standards with regard to ethical requirements, academic standard and method within the subject area.*

*The thesis should contribute to developing new knowledge within the subject and meet a standard appropriate as part of the scientific literature within the subject.*

*A thesis cannot be submitted for assessment by several individuals together.*

*A thesis can consist of a monograph or a combination of several smaller scientific works. If the thesis consists of several smaller works, the connection between them must be accounted for.*

*If a written work is composed in collaboration with other authors, the PhD Candidate must comply with the rules for co-authorship generally accepted within the subject area and in accordance with international standards. If the thesis mainly consists of articles, the Candidate must normally be the lead author of at least half of the articles.*

*In theses containing works written by several authors, a signed statement describing the Candidate and co-authors' efforts in each work must be included. The Candidate's independent contributions to the work must be identifiable.*

*The faculty decides which languages can be used in a thesis.*

Neither the Regulation of PhD at NTNU nor the Instructions for Assessment of Norwegian Doctorates states how many articles should be included in a PhD thesis. The number of articles and size of each article can vary from thesis to thesis and from subject to subject, between subject areas, academic groups and faculties. NTNU lets each faculty/PhD Programme Council give the guidelines for composition and extent of the theses, within the regulations. However, these guidelines are not binding for the candidate, supervisors or assessment committee. The assessment committee will assess whether the thesis has the extent and quality to be deemed satisfactory for a disputation.

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All korrespondanse som inngår i saksbehandling skal adresseres til saksbehandlerenheten ved NTNU og ikke direkte til enkeltpersoner. Ved henvendelse vennligst oppgi referanse.

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Based on the guidelines provided for PhD studies at other faculties and architectural educations, the Research Committee suggests the following:

1. The thesis, excluding the binding article, should normally be equivalent to three regular size journal articles. If one or more articles have co-authors, this can be a reason to increase the number of articles.
2. It is a prerequisite that the Candidate is the lead author and has an extensive academic responsibility for at least half of the articles included in the thesis.
3. If the articles have co-authors, these must have contributed substantially to the idea and research design, data collection or analysis and interpretation of the data, or have written the draft for the manuscript or made a substantial revision of the manuscript and approved the final version for publishing. A statement of co-authorship, with a specific identification of the Candidate's contribution, must be included in the binding article. The Candidate's independent contributions and efforts must be explicitly stated.
4. These guidelines give no requirements with regard to the standard of the publishing channel. The articles should meet the standard required for publication in renowned professional journals with peer review, and the norm should be publication on levels 2 and 1. Conference contributions that have been subject to peer review can also be included in a thesis, provided that they meet the standards for satisfactory scientific quality and extent. Publication in professional journals or publication at conferences with peer review does not necessarily guarantee that the work meets the standards required for a PhD thesis. The assessment committee will assess the quality of the thesis.
5. In addition to the articles, a binding article must be provided. The binding article should summarize and compare the problems and conclusions presented in the articles, and document the thesis' interrelationship. The binding article should:
  - Provide information about the work's relevance,
  - Provide information about previous research relevant for the thesis,
  - Provide information about the thesis' contribution to the research field,
  - Present the theoretical foundation for the thesis, more thoroughly than permitted in an ordinary article,
  - Compare and tentatively synthesize the problems and conclusions put forth in the articles,
  - Present the articles,
  - Explain the thesis' method, data and source material,
  - Contain conclusions and a summarizing discussion of the findings in the separate articles.

If the thesis contains previously published articles, the summary can also contain academic updates to ensure that the thesis as a whole appears academically updated.

The candidate should be the sole author of the binding article.

6. The articles contained in the thesis may be published, approved for publication, under assessment for publication or unpublished. It is considered an advantage if at least one of the articles is published or approved for publication in a professional journal with peer review. Articles that have been published or are approved for publication must be supplied with information about the medium of publication/potential publication, in accordance with normal standards for scientific references.

7. The Candidate may normally not alter published articles included in the thesis, with the exception of linguistic corrections. If the Candidate needs to discuss aspects of the published articles, they can do this in the binding article.

The recommended size of the thesis should not exceed 300 pages. There is no lower limit with regard to the number of pages.