REGULATIONS CONCERNING THE DOCTOR PHILOSOPHIAE DEGREE (DR. PHILOS.) AT THE NORWEGIAN UNIVERSITY OF SCIENCE AND TECHNOLOGY (NTNU)

Legal authority: Passed by the Board of NTNU on 21 January 2014 under the provisions of the Act of 1 April 2005 no. 15 relating to Universities and University Colleges Section 3-9 no. 7.

Section 1 Objectives

Dr. philos. is a non-supervised degree. The doctoral degree is to qualify the candidate for research activities and other types of work where a high level of scientific insight and method is required.

Section 2 The right to apply

Anyone who has passed a higher degree examination may apply for admission to the dr. philos. degree examination.

Applicants who can prove equivalent qualifications in a discipline can be permitted by the Faculty to take the doctoral degree examination. The doctoral thesis is not to be evaluated until such permission is granted. The Faculty is to evaluate the applicant's qualifications and reach a decision based on the documentation of previous studies and scientific work, cf. Section 5. The Faculty may require the applicant to follow special courses and/or pass a special test before permission is given to have the thesis evaluated. The application is to be submitted together with the doctoral degree thesis.

A person who is neither a Norwegian citizen, nor a citizen of any of the Nordic countries, may apply for admission to the dr. philos. examination provided that the relevant Faculty permits this following a recommendation and approval of the application from the relevant academic department or unit. Admission can be given if the thesis

- covers topics or makes use of material directly related to Norway,
- is closely related to Norwegian research in the discipline,
- has been carried out at a Norwegian university or research institute, or in close contact with Norwegian researchers.

Section 3 Thesis

The thesis is to be an independent, scientific piece of work of high academic standard with respect to the formulation of problems, the precision of concepts, the methodological, theoretical and empirical basis, the documentation and form of presentation. The thesis is to be a contribution to the development of new knowledge and be of a standard that is appropriate for publication as part of the literature in the relevant field.

The thesis may be a self-contained piece of work or a continuation of a master's thesis or thesis at second-degree level submitted towards a previous higher degree. Also, the thesis may be a continuation of previous academic work for higher degree examinations.

Work previously accepted as a master's thesis or thesis at second-degree level or towards the 'magister' or 'lisensiat' degree or work previously winning an award in a University Awards competition cannot be evaluated as an individual piece of work towards the doctoral degree, unless it constitutes a minor part of a thesis that consists of several connected pieces of work.

Several smaller pieces of work may be accepted as part of a doctoral thesis, provided that the content of these works forms a whole. In such cases, the individual parts are to be accompanied by an introduction ('kappe'), giving a detailed account of their interrelationship.

Part of a joint work may be approved for evaluation (also as one of several pieces of work, cf. Section 4), provided that the candidate's contribution represents an independent contribution that can be identified. A thesis containing pieces of work written by more than one author is to include a signed declaration that describes the contribution by the candidate and the co-author(s) of each piece of work, and the consent of the co-author(s). It must be possible to identify the candidate's independent contribution in the work.

A piece of work or parts of a piece of work being evaluated for the doctoral degree at another institution cannot be submitted for evaluation at NTNU at the same time.

A piece of work or parts of a piece of work previously evaluated and found worthy or not worthy of public defence for a doctoral degree at another institution cannot be accepted for evaluation, even if the work is submitted in a revised form.

A doctoral thesis that has previously been rejected after evaluation at NTNU may be re-evaluated in revised form, either as a single piece of work or as one of several connected pieces of work, at least six months after the Faculty's decision to reject the thesis, cf. Section 9. A new evaluation can take place only once. This does not apply to minor revisions under Section 7.2.

The thesis shall be written in Norwegian, Swedish, Danish or English. Should the candidate wish to use another language, an application for permission must be submitted together with the thesis. A decision is made by the Faculty responsible for the evaluation.

Section 4 Award of the doctoral degree

The doctoral degree is awarded on the basis of:

a) an approved scientific thesis and its satisfactory defence in a public disputation, and

b) two approved trial lectures.

Section 5 Submission of the thesis

The thesis and an application for evaluation of the thesis are to be submitted to the Faculty, together with certified copies of examinations and degree certificates. If the candidate is in doubt about which Faculty should evaluate the thesis, the application can be addressed to Rector. If special permission according to Section 2 is required, the applicant must document his/her studies and enclose previous scientific work. The application is submitted together with the thesis. At the time of submission, non-Nordic citizens are to state the grounds for applying in the application for admission to be evaluated for the degree. Should the applicant wish to use a language for the thesis other than those stated in Section 3 of these regulations, an application for approval must be submitted together with the thesis.

Together with the thesis, the candidate is to submit a written statement that the thesis, or parts of the thesis, has not been submitted for evaluation for the doctoral degree at any other Norwegian or foreign institution.

The Faculty may make an independent decision to reject an application for assessment of the thesis if it is evident that the thesis does not meet sufficiently high standards of scientific quality and that it would be rejected by a committee, or if the topic of the thesis is clearly outside the Faculty's research areas.

Five (5) copies of the thesis, bound or stitched, are to be submitted.

A piece of work that has been submitted cannot be withdrawn until a final decision is reached as to whether or not it may be approved for defence for the doctoral degree.

Section 6 Appointment of an assessment committee

When the Faculty has approved an application for assessment of the thesis, the Faculty is to appoint an expert assessment committee of a minimum of three members who are to evaluate the thesis, the trial lectures, and the public defence. At the same time, the Faculty sets a deadline for the report from this committee. Normally, the deadline must not exceed three (3) months.

The provisions pertaining to disqualification in the Public Administration Act, Section 6, apply to the members of the committee; cf. Section 10 of the same Act.

The composition of the assessment committee is normally to be such that:

- both 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

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

The Department with which the topic of the thesis is associated presents a proposal for the assessment 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 thesis. The Faculty designates a chairperson from among the committee members or in addition to the committee members.

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

Section 7 Activities of the assessment committee

Section 7.1 Gathering of supplementary information

The Faculty must ensure that the committee members receive NTNU's "Guidelines for the Evaluation of Candidates for Norwegian Doctoral Degrees".

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

Section 7.2 Revision of a submitted thesis

On the basis of the submitted thesis and any additional material, cf. Section 7.1, the assessment committee may recommend that the Faculty permit the candidate to make minor revisions to the thesis before the committee submits its final report. The committee is to provide a written list of the specific items that the candidate must revise.

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 Faculty's decision pursuant to this paragraph may not be appealed by the candidate.

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

Section 7.3 Report of the assessment committee

The assessment committee determines whether or not the thesis is worthy of being defended for the dr. philos. degree. The decision presented in the report and any dissenting views must be explained.

The assessment committee's report should be submitted no later than three (3) months after the date on which the committee received the thesis. If the committee recommends revision of the thesis and the Faculty allows this, a new time limit runs from the date on which the thesis was resubmitted.

The assessment 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, he/she must notify the Faculty of this in writing as soon as possible.

Any comments from the candidate are to be submitted to the Faculty. The Faculty is responsible for taking the final decision on the matter in accordance with Section 8.

Section 7.4 Correction of formal errors in the thesis

The candidate has the opportunity to correct formal errors in the thesis after submission. The candidate must then prepare a complete list of the errors (errata) that he/she wishes to correct and submit this at the latest four (4) weeks before the committee's deadline for submission of its report. Correction of formal errors may take place only once.

Section 8 The Faculty's procedures related to the assessment committee's report

On the basis of the report by the assessment committee, the Faculty decides whether or not the dr. philos. thesis is worthy of a public defence.

Unanimous committee decision

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

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 assessment committee and/or appoint two new experts to make individual statements about the thesis. 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 recommendation is non-unanimous and the Faculty decides to use the majority's recommendation as the basis for its final decision, the Faculty is to take the final decision in accordance with the majority's recommendation. If the committee's recommendation is non-unanimous and the Faculty considers using the statements of the minority as the basis for its final decision, the Faculty may seek further clarification from the assessment committee and/or appoint two new experts to give individual statements about the thesis. Such additional clarification or individual statements must be presented to the candidate, who will be given the opportunity to make comments. If both the new experts agree with the recommendation of the majority in the original committee's recommendation, this recommendation is to be followed.

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

Section 9 Resubmission

A dr. philos. thesis that has not been found worthy of public defence may be resubmitted for assessment in revised form no earlier than six (6) months after the Faculty has made its decision. The Faculty then appoints a new assessment committee, in which at least one of the members of the original committee should be reappointed. The thesis may only be reassessed once.

In the event of resubmission, the candidate must clearly state that the thesis was assessed previously and was not found worthy of a public defence.

Section 10 Public availability of the thesis

Section 10.1 Requirements related to the printed thesis

When the thesis has been found worthy of a public defence, the candidate must submit the printed thesis to the Faculty in the approved format and in accordance with NTNU's rules, with the number of copies determined by the Faculty.

The candidate must submit a short summary of the thesis to the Faculty in English and in Norwegian. If the thesis is not written in English or Norwegian, the candidate must also submit a summary in the language in which the thesis is written. Both the thesis and the summary must be made available to the public. The Faculty is responsible for ensuring that this takes place.

Section 10.2 Public availability

The 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 assessment, or following revisions made on the basis of the committee's preliminary comments; cf. Section 7.2.

No restrictions may be placed on a dr. philos. thesis being made publicly available.

When publishing the thesis, the candidate must follow the applicable guidelines on the crediting of institutions.

Section 11 Trial lectures and public defence

If the thesis is found worthy of being defended for the doctoral degree, the candidate must hold two public trial lectures, one on a topic of his/her own choice and one on an assigned

topic. The candidate is to submit the title of the trial lecture of his/her own choice no later than four (4) weeks prior to the disputation. The topic for the trial lecture on an assigned topic is determined by the assessment committee and is given to the candidate ten (10) working days prior to the lecture. The assigned topic must not have a direct connection to the topic of the thesis.

The public defence is normally to be held within six (6) months after the thesis has been submitted for assessment. The trial lectures must be approved before the public defence is held.

The lectures and the public defence must be held in the language in which the thesis is written, unless the Faculty approves the use of another language.

The assessment committee is responsible for determining whether the trial lectures are approved or not. If the trial lectures are not approved, an explanation must be provided. If the assessment committee finds the trial lectures satisfactory, the candidate is to defend the doctoral degree thesis in a public defence (disputation).

The defence is to be open to the public. There are normally two opponents. The two opponents must be members of the assessment 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 provides a brief account of the submission and the assessment of the thesis and of the trial lectures and their assessment. Thereafter, the candidate reviews the objectives and the results of the scientific research.

The first opponent opens the discussion, and the second opponent concludes the public defence. Other persons present who wish to participate in the discussion (*ex auditorio*) must give notice of this during the public defence to the leader of the public defence within the time limit that the chair specifies and announces at the start of the defence.

After the public defence, the assessment committee submits a report to the Faculty, in which it explains how it has assessed the trial lectures and the defence of the thesis. The report is to conclude whether the examination as a whole has been deemed satisfactory or unsatisfactory.

If the assessment committee does not approve the trial lectures, new trial lectures must be held. The new trial lectures must be held on new topics and not later than six (6) months after the first attempt. New trial lectures may only be held once. As far as possible, the lectures must be assessed by the same committee that assessed the original lectures, unless the Faculty decides otherwise.

If the Faculty does not approve the public defence, the candidate may defend the thesis once more. The Faculty sets the time for the new public defence. If possible, the defence is to be assessed by the original committee.

Section 12 Conferral of the degree, certificate and diploma

On the basis of the report from the assessment committee that the trial lectures and the public defence have been deemed satisfactory, the Faculty awards the degree of dr. philos. to the candidate and issues the certificate.

A doctoral degree diploma is issued by the institution. The diploma is to state the title of the thesis and the discipline in which the doctoral degree has been awarded.

Section 13 Appeals

Rejection of an application for assessment of the thesis and a decision not to approve a thesis, trial lectures, 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 can 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 14 Entry into force

These regulations enter into force immediately.

At the same time, the regulations on 7 December 2005 concerning the dr. philos. degree at the Norwegian University of Science and Technology (NTNU), passed by the Board of NTNU in accordance with the Act of 1 April 2005 no. 15 relating to Universities and University Colleges Section 3-9 no. 7, are revoked.