

06-09-2016

AARHUS SCHOOL OF ARCHITECTURE AND DESIGN SCHOOL KOLDING

# Rules for PhD Programmes

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at Aarhus School of Architecture and  
Design School Kolding

2013, rev. 2016



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In case of any discrepancies between the Danish and the English version of the Rules, the Danish version shall prevail.

## Introduction

The rules governing PhD programmes can be found in the Ministerial Order, currently *bekendtgørelse nr. 1039 af 27. august 2013* an order issued by The Danish Ministry of Higher Education and Science, in accordance with the ministry's guidelines of 9 October 2013. These rules supplement the Order in force at the time in question.

From February 2016 onwards, Aarhus School of Architecture (AAA) and Design School Kolding (DSKD) will be running a joint PhD School and the rules apply to PhD students at both schools. Consequently, in all matters regarding PhD students affiliated with DSKD, the head of the PhD School, who is affiliated with AAA, shall consult the head of Research and Development at DSKD.

Pursuant to Section 10, subsection 25 of the ministerial order, it is the responsibility of Aarhus School of Architecture and Design School Kolding to lay down rules for admission, structuring of the programme, appointing principal supervisors, supervision, preparing and submitting PhD dissertations, and the PhD dissertation defence. Such rules must be made available on the website of AAA and DSKD.

The following is a review of these rules, in accordance with the structure of the ministerial order of August 2013. In the interpretation of the rules, the ministerial order shall prevail whenever there is a divergent interpretation between these texts.

Sections 1 and 2 are concerned with the overall purpose of the PhD programme and with admission requirements. Following this, sections 3, 4 and 5 describe the content and components of the programme.

Section 6, 7, 8 and 9 outline the rules for the various stages of the completion of the PhD Programme.

Sections 10, 11 and 12 concern themselves with transitional rules, avenues of appeal, and special rules for the Industrial PhD Scheme (Section 11).

**Enrolling in the PhD programme often – but not always – implies employment as a PhD fellow at AAA or DSKD. Each rector is responsible for employing PhD fellows. These rules do not include regulations regarding employment conditions, such as part-time employment, leave of absence, wages, holidays, illness etc.**

## Organisational structure

The rectors of AAA and DSKD have set up a PhD committee and appointed a head of the PhD School, who refers to the AAA head of research and the DSKD head of Research and Development. The head of the PhD School is chairman of the PhD Committee.

It is the responsibility of the committee and the head of the PhD School to ensure that education carried out on the PhD programmes is of the highest possible quality by means of, inter alia, competence development for PhD students and supervisors, and by taking the appropriate actions necessary to ensure that admission, enrolment and all stages of the education are carried out in accordance with the applicable rules.

The PhD School includes a doctoral training programme, which consists of, inter alia, PhD courses and dialogues with supervisors and PhD students affiliated with the programme.

The head of the PhD School is responsible for designating principal supervisors and other supervisors to individual PhD students.

The PhD degree is awarded by the relevant Academic Advice Council<sup>1</sup> upon the recommendation of the PhD Assessment Committee.

## 1. Objectives, Structure, Etc.

### 1.1 Objectives

The PhD programme is a doctoral training programme which at international level qualifies PhD students to independently carry out research, development and teaching in the private and public sector for which a broad knowledge of research is required. The focus of the PhD programme is: carrying out research under supervision.

The Danish PhD programme is described in the Danish qualifications framework:

#### Knowledge

- Must have knowledge at the highest international level within the specified field of research
- Must have made a significant contribution to the development of new knowledge and the understanding of research within the specified area of research based on scientific studies

#### Skills

- To master scientific methods and tools and master other skills related to research and development tasks within the area
- Must be able to analyse, evaluate and develop new ideas, including designing and developing new techniques and skills within the subject area
- Must be able to take part in international discussions related to the subject area and disseminate scientific results and progress to a wide audience

#### Competences

- Must be able to organise and carry out research and development work in complex and unpredictable contexts
- Must be able to independently initiate and form part of national and international cooperation on research and development characterised by scientific integrity
- Must be able to autonomously initiate research and development projects and thereby produce new knowledge and new skills that contribute to developing the area of research in question

The AAA and DSKD can award PhD degrees in the subject areas of architecture and design.

### 1.2 Structure

Officially the study programme is equivalent to 180 ETCS, which corresponds to three academic year of study supplementing a completed Master's degree. This three year period shall be counted from the date of registration until the dissertation has been submitted. The assessment process is consequently not included in the three year period. The PhD programme may be shortened if students have in other ways acquired equivalent qualifications (merit).

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<sup>1</sup> DSKD has a joint committee for research and development. When, in the following, reference is made to the Academic Advisory Council, we actually refer to the Research and Development Board where it concerns DSKD.

### 1.3 Part-time Studies

The PhD Programme is ordinarily organised as a three-year full-time study, but, in response to a reasoned application, it may, in special circumstances be organised as a part-time study. The PhD study must always constitute at least half-time (50%), i.e. the official duration of the study programme may not exceed six years (excluding sabbatical leave). Part-time studies can be justified both by the nature of the research project as well as by personal circumstances. The PhD Committee shall decide on professional/academic and study-related circumstances in respect to applications for carrying out PhD studies on a part-time basis. Applications for part-time studies from PhD students employed at AAA or DSKD must be approved by the relevant rector and, possibly, by the grantor, as agreements on part-time studies, need, if relevant, to be coordinated with employment. In connection with the transition to part-time studies, the PhD plan shall be adjusted and approved by the head of the PhD School. PhD students cannot expect to be able to retain the same principal supervisor or office facilities during the entire PhD education if the programme is part-time.

### 1.4 Leave

The PhD Committee must be notified of any statutory leave in connection with maternity or paternity leave / adoption / military secondment etc. and the PhD plan must be adjusted accordingly and approved. The rest of this section does not concern statutory leave, but solely leave that has been applied for.

It is possible to apply for leave from the PhD programme for academic as well as personal reasons. Applications for leave must be in writing, reasoned and accompanied by a statement from the principal supervisor. The PhD Committee decides on the academic and study-related conditions in connection with applications for leave. Each decision about leave is made on the basis of an individual assessment and with due regard for the further progress of the PhD education. Normally leave is not granted for more than a total of 12 months. However, this does not include statutory leave in connection with maternity or paternity leave / adoption / military secondment etc. When leave is granted, the enrolment is extended correspondingly and the PhD plan adjusted and approved.

Leave implies that the person in question is not considered a student during the leave period. This means that the person in question has no right to supervision, office space, courses etc. However, if all parties agree to this, the student may participate in courses already planned, if this is significant for the PhD education and cannot be expected to be repeated at a later time.

### 1.5 Illness

Illness must be reported to the institution where the student is employed on the first day of illness in accordance with this school's usual procedure for notification of illness. Prolonged illness (of more than three weeks' duration) must also be reported to the PhD School, accompanied by a duration declaration in order for enrolment to be extended with a period corresponding to the course of illness (more than three weeks). In connection with prolonged absence due to illness (more than four weeks), the PhD plan must be adjusted and approved by the PhD Committee.

### 1.6 Extended Registration

PhD students who have been delayed in their studies shall be given *one* opportunity to apply to the PhD Committee for extended registration of up to six months; cf. section 4.3. The application must be in

writing, be reasoned, and be accompanied by a statement from the principal supervisor. The extended study period may take the form of a part-time study. In the event of extension of registration, the employment period of PhD fellows shall not necessarily be extended correspondingly.

## 2. Access to PhD Programmes etc.

### 2.1 The Structure of PhD Programmes

AAA and DSKD offer a three-year PhD programme (5+3 scheme).

The 5+3 programme requires students to have completed a relevant Bachelor's and Master's degree programme (or having passed examinations which correspond to a three-year Danish Bachelor degree and a two-year Danish Master's degree) prior to registration on the PhD programme. Students are registered on the PhD programme for a three-year period.

### 2.2 Admission Criteria

Decisions regarding admission and registration shall be made by the head of the PhD School based on the recommendation of the expert assessment committee. However, as stated in the introduction, decisions regarding employment can only be made by the rector of the relevant institution.

In making the above decisions a special emphasis will be placed on the applicant's documented educational background and professional qualifications, on the suitability of the research project as a PhD project, and on how it matches the academic profiles of the schools, but also on whether it will be possible to make the academic and economic resources available which are necessary for carrying out the programme in a satisfactory way. PhD students shall be registered with the PhD School and connected with a professional research environment.

Registration is in response to a written application.

If there are any extraordinary operating costs connected with implementing the research project (long-term stays abroad, field studies, experiments, equipment, etc.), the application for admission to the PhD programme must contain a summary of estimated extraordinary costs.

## 3. Contents of PhD Programmes etc.

### 3.1 The PhD Programme

The education includes:

- 1) Carrying out independent research work under supervision
- 2) Carrying out PhD courses, or similar, equivalent to approx. 30 ECTS. The PhD School offers courses and similar activities at PhD level, but it is the responsibility of the PhD student in consultation with the principal supervisor to plan participation in PhD courses and other activities in and outside the institution to the required extent. PhD students must in addition to PhD courses complete a course in dissemination specified by the PhD School.
- 3) Participation in active research settings, including stays at other research settings, primarily ones based abroad
- 4) Experience from teaching or other types of knowledge dissemination related to the project of the PhD student in question. In relation to this, PhD students are offered guidance on teaching
- 5) Preparing a PhD dissertation.

Credits can be awarded for previous activities equivalent to one or more of the above-mentioned educational components. Awarding such merit is subject to the approval of the head of the PhD School upon the recommendation of the PhD Committee (see section 4.1, 1 timetable).

### 3.2 Supervision

The head of the PhD School shall appoint supervisors to PhD projects.

The principal supervisor must be an active, recognized researcher and be employed by AAA or DSKD as either professor, associate professor or at an equivalent level. Project supervisors must be professionally qualified in the area of research of the PhD project.

As a rule two or up to three supervisors shall be appointed to a PhD project:

- A principal supervisor with overall responsibility for the total PhD education and for all supervision
- A project supervisor who shall provide academic supervision for carrying out PhD projects or parts hereof
- If relevant, other specialists, e.g. post docs or assistant professors, or researchers employed by other institutions, may be attached to a project as secondary supervisors.

If the project, or substantial parts hereof, is carried out outside the Schools, a secondary supervisor from the institution, or similar, where the project is carried out will ordinarily be appointed.

#### Changing Supervisors

In the course of the study supervisors may be replaced by other supervisors or further supervisors may be affiliated with a project. Changes in supervisors may be on the initiative of the PhD students, the principal supervisor or the head of the PhD School. The head of the PhD School shall decide on changes of supervisors or the appointment of new supervisors. If in the course of the study the principal supervisor or another designated supervisor is prevented from attending for a period exceeding one month, this must be communicated to the research administration and shall result in the head of the PhD School appointing a new acting principal supervisor or other supervisor.

#### The Form and Extent of Supervision

PhD students are offered 300 hours PhD supervision - i.e. ordinarily 50 hours supervision per semester divided between the individual supervisors on the project. This includes the preparation time of supervisors. The need for and extent of supervision may, however, vary throughout the study. The principal supervisor should meet regularly with PhD students he or she supervises.

### 3.3 Responsibilities of Supervisors

*The principal supervisor* has the overall responsibility for the total PhD education of a student, for all supervision, for drawing up a PhD plan, for assessments, etc. In respect to the timely completion of the course, the principal supervisor must form a general impression of the progress of the PhD student's research project, as well as the process of preparing a dissertation. The Principal supervisor shall be responsible for institutional contact to project and secondary supervisors regarding the progress of the PhD project. This particularly applies if a PhD student in part carries out his/her PhD education outside the institution.

*In addition to academic supervision, the principal supervisor has the following responsibilities:*

- To prepare, together with the PhD student, a realistic PhD plan at project start
- To biannually assess the progress of the PhD student's research project and report on this in

- evaluations
- To support and supervise the PhD student in developing national and international contacts and collaboration within the research community
- To support and supervise PhD students in their efforts to publish research results in the course of the PhD study
- To ensure the timely delivery of PhD plans and evaluations during the PhD study

*All supervisors must:*

- Ensure they are informed about ongoing changes to the Ministerial Order on the PhD Programme and other rules and guidelines relevant to the PhD programme
- Be in continuous contact with individual PhD students
- Facilitate contacts to other relevant research settings, national as well as international
- Ensure that PhD students when they participate in joint research projects, joint experiments, joint research publications, etc. are guaranteed the rights to their own research results, including by means of co-author statements
- Attend and contribute to the mandatory activities at the PhD School.

### 3.4 Duties of PhD Students

PhD students must keep supervisors up to date on the progress of the education, including

- All significant research results
- Drafts for abstracts, publications and PhD dissertations
- External inquiries relevant to the project
- In due time inform the principal supervisor about all relevant information regarding the progress of the PhD education and work on the dissertation - including necessary information relating to evaluations
- Participate actively in the research environment and general activities of AAA or DSKD.

It is also the responsibility of PhD students to familiarise themselves with ongoing changes to the Ministerial Order on the PhD Programme and other rules and guidelines of relevance to the PhD programme and actively update their research portfolios in the schools' research database (PURE).

## 4. PhD Progression

### 4.1 The PhD Plan

PhD students must, in consultation with their principal supervisors, draw up a plan for research and education (the PhD plan). The PhD Committee shall approve the PhD plan on the basis of an assessment of feasibility and compliance with the quality standards of the PhD School. The PhD plan must be submitted no later than 2.5 months after the student in question was registered, and must be approved no later than three months after the student was registered on a PhD programme. The PhD plan shall be adjusted in connection with the biannual evaluations.

The PhD plan must contain the following:

### **1 Timetable**

The PhD plan must include a timetable for all components of the PhD education - including PhD courses, changes of setting, study periods abroad, field studies, work on the PhD dissertation, work tasks at AAA, DSKD or at partner institutions, etc. If the PhD education is carried out in cooperation with external partners, periods of work at AAA or DSKD and with external partners must appear from the timetable.

*Credit:* the PhD plan shall be accompanied by a detailed summary of already performed study activities which the principal supervisor can recommend as being credit awarding without changing the level of the PhD programme (see also section 3.1.).

### **2 Agreement on the form of supervision**

An agreement on the extent and frequency of supervision.

In the event of changes in supervisors/designation of additional supervisors, the agreement included in the PhD plan must be updated and approved by the PhD Committee.

### **3 Plan for the PhD project**

A description of the scientific content of the PhD project – including its essential components, considerations of methods and theories, as well as its empirical basis, if any, etc. The PhD plan must include a realistic description of the work, divided into tasks distributed over the semesters of the PhD education. The PhD plan must contain information of the language in which the PhD dissertation is required to be written.

Enclosed with the PhD plan must be submitted a description and, if relevant, an illustration providing an account of the project in Danish and English in ten to twenty lines of writing. This material will be used by AAA and DSKD for the purpose of communicating PhD projects.

### **4 Plan for PhD courses etc.**

PhD courses must, in total, correspond to approximately 30 ECTS. Participation in PhD courses must be planned in cooperation with the principal supervisor. A PhD course must be of an academic level above the level of a Master's degree, unless specific academic considerations make it relevant to deviate from this principle.

By arrangement with the principal supervisor, PhD students may participate in courses offered by the PhD School, by national or international study or research networks, or by other bodies.

The principal supervisor shall recommend the actual determining of ECTS credits for PhD courses in which PhD students have participated. One ECTS credit normally corresponds to 25 hours of study work, including preparation time etc. ECTS credits can, to some extent, be awarded to PhD students for participation in scientific conferences, if the benefit of such participation is estimated to be equivalent to participation in a PhD course.

A course in dissemination is mandatory and must be placed early in the PhD Programme in order that the course may qualify PhD students to carry out their duties, including teaching. An exemption may be granted if a student has previously in any other way acquired equivalent qualifications (credits) (see also section 3.1 and 4.1.1 Timetable).

### **5 Plan for participation in active research settings**

In order to ensure the international standard of the PhD education, long-term, coherent periods of research, if possible of three to six months' duration, in an active research environment, primarily

abroad, must form part of individual courses. Considerations on changes in research settings or international research periods must be reflected in the PhD plan. If specific professional or other substantial reasons apply, the head of the PhD School may choose to exempt from this rule.

In order to accommodate the submission of the dissertation when the period of registration ends, long-term stays abroad may not be placed in the final semester of the course.

PhD students are expected to participate actively in international scientific conferences and workshops.

## **6 Plan of teaching activities or other types of knowledge dissemination**

Teaching and other dissemination activities must be related to the PhD student's project.

In the course of their PhD education, PhD students must acquire experience with different kinds of dissemination. (For PhD fellows employed at either AAA or DSKD this can be achieved through the 840 hours of work duties required in the agreement between the Danish State and The Danish Confederation of Professional Associations).

This work must contain a dimension of learning or experience related to the training of PhD students or to PhD students' future career opportunities. PhD students shall be offered supervision in connection with teaching activities. To the extent possible, the aim should be to obtain a balance between teaching and dissemination.

Work must be planned while taking into consideration the central parts of the PhD plans of PhD students and must be recorded in the PhD plan. Evaluations should include information on the extent of the work of the PhD student in the past six months.

It is the responsibility of the principal supervisor to plan teaching activities and other activities aimed at disseminating the research of PhD students in the best possible way in dialogue with relevant academic leaders. In the event that the study of a PhD student aims at an article-based dissertation, the PhD Plan must contain a list of publications, see section 5.2.2.

## **7 Agreements on intellectual property rights**

In connection with the drawing up of the PhD plan, issues regarding copyrights and rights to collected data, if any, must be decided on.

In the event that a PhD education is carried out in cooperation with other parties, the PhD plan must include an agreement on copyrights and rights to collected data. In the event that a PhD student publishes parts of his/her research results in cooperation with others, a co-author statement must be drawn up. Any restrictions on copyrights must be approved by the head of the PhD School.

## **8 Financing plan (budget)**

A realistic budget of project-related costs associated with the implementation of the planned research project must be prepared, including costs for any special equipment, long-term stays abroad, tuition fees at universities abroad, etc.

The budget must be adjusted in connection with the drafting of the PhD plan and must be enclosed with this. Those parts of the budget which are intended to be covered by the funds of the school in question must be approved by the head of research<sup>2</sup> of this school.

### **4.2 Work Place**

It is assumed as a starting point, that PhD students have their daily places of work near and are actively and regularly present in the PhD School environment, unless PhD students take part in another research setting in accordance with their PhD plans.

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<sup>2</sup> At DSKD that is the Head of the Research and Development department

In cases where the PhD programme is carried out in cooperation with an external institution/company, the ratio between presence at AAA or DSKD and presence at the institution, or similar, in question shall be decided on when the PhD student in question is enrolled in the PhD programme. Any written agreements shall be entered into by the head of the PhD School.

#### 4.3 Assessments

Every six months, it shall be assessed whether the study of individual PhD students is progressing satisfactorily in accordance with the approved PhD plan. For this assessment, documented illness, maternity/parental leave, other approved leave or other professionally-related factors are to be taken into consideration. The study must be evaluated for each six months' of active studies for as long as the student is enrolled in the PhD programme. This assessment must be carried out by the principal supervisor (on 1 February and 1 September) and is subject to the approval of the head of the PhD School.

Along with the fifth assessment must also be submitted proposals for members of the future assessment committee, see section 6.2.

#### 4.4 Assessment Not Approved – Three Month Trial Period

In the event of a negative evaluation, a three month procedure shall be initiated. The PhD Committee shall, based on the recommendation of the principal supervisor and the head of the PhD School, decide whether the PhD student in question is to be offered a three-month trial period. The trial period may not in itself extend the duration of the PhD programme. Within a deadline of no less than one week, the PhD student must inform the PhD school, whether he/she wishes to accept the offer of a three-month trial period.

The principal supervisor must propose to the PhD Committee a target for the amount of material a PhD student must present for the PhD study to meet the requirements of the PhD plan and to ensure that it is likely that the PhD dissertation can be completed at a satisfactory academic level. The assignment shall be communicated to the PhD student in question in writing.

The head of the PhD School and the principal supervisor shall assess the result of the work of the PhD student in the trial period within one month and shall present a recommendation to the PhD Committee on whether the study can be resumed. The month of July and official holiday periods shall not count towards the aforementioned periods.

PhD students shall be deregistered by the end of the month in the following cases:

- 1 The PhD student has not before the end of the deadline accepted the proposal of the PhD School for remedying the progress of the PhD study within a three-month trial period.
- 2 The head of the PhD School and the principal supervisor have assessed the outcome of the trial period to be negative.

If a PhD education is carried out in cooperation with an external institution or company, or if the PhD student in question is employed externally, the PhD School shall inform the relevant institution/place of employment before the three-month period is begun.

In the event that a PhD student interrupts his/her study before the normal period of registration expires, the PhD School and any possible external partner(s) must immediately be notified of this.

## 5. The PhD Dissertation

### 5.1 Requirements for the Dissertation

The PhD dissertation is expected to be submitted to the PhD School by the end of the registration period (said period may be extended due to maternity leave, illness, or other leave).

The PhD dissertation must demonstrate that the author has carried out a research project by independently applying relevant academic methods and that the author has consequently produced research corresponding to the international standard for PhD degrees in the subject area of architecture or design.

A PhD dissertation may not be submitted for assessment by several persons jointly. The research project on which the dissertation is based may, however, be carried out in cooperation with others. The dissertation must as a rule be written in Danish or English. The head of the PhD School can approve a PhD dissertation to be written in another language.

The summary of the dissertation must be submitted in both Danish and English. The summary must not exceed five of 400 words each and should give an account of the main results of the project in easily accessible language. Along with the dissertation must be submitted an illustration. These must be submitted separately in digital form and will be used for advertising the defence.

The dissertation must be submitted to the PhD administrator at AAA in six copies (for assessment committee and supervisor) and an electronic file no later than 12:00 noon on the day of submission. The front page of the PhD dissertation must state that the dissertation was submitted at AAA or DSKD. After acceptance for public defence, another seven copies (for the libraries at AAA, DSKD, KADK and the Royal Library) must be submitted, and it must be agreed on with the relevant school how many additional copies are to be printed for the school to use.

For a text-based dissertation, the length of the written part of the dissertation, excluding footnotes, appendices and bibliography, should be in the proximity of 100,000 words regardless whether the research is practice or text-based. The length of a practice-based dissertation supplemented by non-verbal material should, as a minimum, be approximately 30,000 words (75 pages). The total volume of the dissertation may not exceed 250 pages of 400 words each (excluding images, bibliography, catalogues, appendices, etc.). The head of the PhD School may choose to exempt from the above requirements in special circumstances. A reasoned application must have been submitted to the head of the PhD School before the student's sixth semester. In the event that the Assessment Committee recommends that the dissertation be revised before its defence, the head of the PhD School shall, as a rule, grant an exemption to the PhD student in question for exceeding the stipulated number of pages.

### 5.2 The Form of the PhD Dissertation

The PhD Dissertation should – regardless of form – apply to the general standards for research and account for the following:

- A. New knowledge and realisations
- B. The methodology and theories used
- C. Relations to other knowledge within the field

The PhD dissertation must always include an independently prepared summary statement stating the following:

- The research project as a whole
- The overall focus of the dissertation
- A clarification of the field of research - including method and theory
- The relationship between the individual parts and the project as a whole
- A presentation of the results obtained, including an account of the methods used
- Putting into perspective own research findings in relation to other material research in the area.

The dissertation may only have one author and must be prepared personally by the author (the PhD student). It may take the following forms:

### **5.2.1 A monograph**

A monograph is a classical dissertation comprised of one overall text which has not previously been published.

### **5.2.2 A dissertation based on articles**

A plurality of elements or articles related with regard to content and/or method and unified by a summary of the three general aspects mentioned in section 5.2., in which the results obtained during the PhD education are presented and, if relevant, published/disseminated, either by the candidate for the doctorate on his own or in conjunction with others. (Regarding co-authorship, see also section 5.3). If a PhD Student aims at producing this type of dissertation a clear publication plan should be submitted together with the PhD plan at the beginning of the study.

### **5.2.3 A dissertation based on a body of work<sup>3</sup>**

This type of dissertation is comprised of a collection of works etc. and a 'cappa' of text submitted with a view to obtaining a PhD degree.

The dissertation comprises a collection of works that require a special kind of representation (or satisfactory documentation hereof) and a text summarising the general aspects mentioned under 5.2.

The work can be documented in e.g. models, drawings, video, photos, diagrammes or digital media. Such material must be in a standard retrievable form that has been agreed with the head of the PhD School in advance.

#### 5.2.3.1 "Dissertation exhibit"

PhD students who submit a dissertation that includes a body of creative work may choose to arrange a presentation of this work, thus allowing the assessment committee to view it prior to the defence. The normal procedure would be as follows:

- The exhibit of the dissertation is recorded on video and in photos for the external examiners to see
- The examiners ask for access to view the work during a specific period of time agreed on with the PhD student
- The dissertation exhibit is subsequently viewed by the committee together with the PhD student shortly before the PhD defence.

The PhD student in question is responsible for making all the practical arrangements relating to the PhD exhibit. AAA or DSKD allocate a limited sum for the dissertation exhibit, which is at the disposal of the PhD student (after application).

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<sup>3</sup> Works are to be understood as creative productions, design objects, experiments with fabrication, etc.

### 5.3 Copyrights, Co-author Statements, Etc.

All rights to the dissertation belong to the author, unless special arrangements regarding intellectual property rights with external parties were agreed upon when the PhD student was enrolled in the PhD programme. If the author should enter into agreements with publishers or similar on the publication of his dissertation or parts hereof, the author must make sure that he/she has the publisher's acceptance of the dissertation being assessed according to the applicable rules.

In all cases where works by multiple authors are involved in a PhD dissertation, statements from individual co-authors stating that they are aware of the work being included in the PhD dissertation in question must be presented together with an account of the extent and nature of the author's (the PhD student's) share of the work. Such statements must be dated and signed by the co-authors as well as the author of the submitted dissertation.

### 5.4 Other Statements

On submitting a dissertation the author must state whether the dissertation has previously, in full or partially, been assessed with a view to obtaining an academic degree in Denmark or abroad, and, if so, with what result.

In the event that a PhD dissertation, due to considerations to companies that have been involved and similar, has to be divided into a public and a confidential part, it must be possible to read and assesses the publicly available part independently of the confidential part. Only the publicly available part shall be included in the assessment of whether a PhD degree can be awarded. The PhD student must, when he/she submits a dissertation, notify the PhD School in writing of whether he/she wants parts of the dissertation to be treated as confidential.

### 5.5 Statement from the Principal Supervisor of a PhD Programme

No later than 8 weeks prior to the submittal of the dissertation, the principal supervisor must present to the PhD School a statement on the total PhD Programme, including the implementation of the individual elements of the PhD plan. Along with the statement from the principal supervisor must be submitted a summary of the qualifying portfolio of the PhD student in question (participation in PhD courses, seminars, scientific conferences, etc., stays in other research environments, including periods of study abroad as well as teaching activities and/or other types of knowledge dissemination).

The summary must be submitted in an English version and, if relevant, in a Danish version; it will subsequently be included as a degree supplement to the PhD certificate. The statement must contain the principal supervisor's statement as to whether he/she can approve the PhD Programme as having been completed in accordance with the requirements stipulated in the Ministerial Order on the PhD Programme.

In the event that the principal supervisor finds that the PhD education has not been completed satisfactorily, the author must be given an opportunity to submit any remarks he or she might have on the statement of the principal supervisor within a period of no less than 2 weeks. The PhD Committee shall, based on the statement of the principal supervisor, on presented assessments, and on remarks by the author, if any, assess whether the total PhD education has been completed satisfactorily. A PhD dissertation can only be accepted for assessment if the total PhD education is evaluated as having been completed satisfactorily.

## 5.6. Cessation of the PhD Course

Registration as a PhD student shall cease the moment the PhD dissertation is submitted. If the dissertation is not submitted by the end of the registration period, registration shall cease by the end of the stipulated period of registration.

In the event that a student fails to submit his/her dissertation to the PhD School when the registration period expires, an evaluation containing a status of the project, including a timetable for completion of the project and for submitting a PhD dissertation, must be submitted by the PhD student. In such cases the head of the PhD School may decide to postpone the submission deadline.

## 5.7 Submitting a Dissertation without Being Registered on a PhD Programme

The PhD Committee may approve the assessment of a dissertation without the author having completed a formal PhD education, if the author has otherwise obtained qualifications that may be considered equivalent to such an education.

The dissertation must be submitted to the PhD School in one copy, together with a statement explaining why the applicant believes he or she meets the requirements for a PhD education as stated in the Ministerial Order on the PhD Programme.

The dissertation must also be accompanied by a statement from the candidate on whether the dissertation has previously been submitted for assessment, and, if so, at which institution.

The PhD School shall seek the expert opinion of the nearest expert professors, expert associate professors, or others with equivalent qualifications, on whether the dissertation can be accepted for assessment.

Based on this expert opinion, the PhD Committee shall decide whether the PhD dissertation can be accepted for assessment.

# 6. The Assessment Committee

## 6.1 The Composition of the Assessment Committee

The assessment committee shall consist of three members. At least two members must be from other institutions, and at least one member must, as a rule, be from abroad. The members must have associate professor or equivalent professional qualifications. All committee members must be professionals, be active and be recognized researchers within the subject area of the PhD project. Ordinarily, the local committee member is appointed chairman of the committee.

## 6.2 Procedure for Setting up the Assessment Committee

The PhD Committee shall set up an expert assessment committee, including a chairman, based on the recommendation of the head of the PhD School. Suggestions for committee members should be sent by the principal supervisor to the head of the PhD School together with the fifth evaluation. The suggestions should, if possible, include additional candidates who might be contacted in the event that the candidates who were first contacted reject the task. The head of the PhD School shall subsequently draw up a recommendation to the PhD Committee who shall set up an expert assessment committee.

PhD students may object in writing to the composition of the committee within one week from having been informed of the composition approved by the PhD Committee.

The principal supervisor shall, by presenting a principal supervisor's statement, communicate to the head of the PhD School the imminent receipt of a PhD dissertation at the latest eight weeks before it is

submitted. In the event that a dissertation is expected to be submitted in the period between 1 July and 31 July, or between 15 December and 31 December, the head of the PhD School must be notified no later than three months before the expected time of submittal.

### 6.3 The Tasks of the Assessment Committee

The principal supervisor of the PhD student is appointed an advisory role in the Assessment Committee without the right to vote, in order to keep the Assessment Committee up to date on any possible circumstances which might influence the academic assessment. The principal supervisor has the right and the duty to participate in all stages of the work of the Assessment Committee.

The Chairman of the Assessment Committee shall instruct the committee about the applicable rules for the assessment. The Chairman is responsible for coordinating the work of the committee and for ensuring that deadlines and other formalities are complied with. The chairman must also ensure the quality of the language of the text: the text must appear as a whole with clear connections between premises and conclusions.

The head of the PhD School shall assist with advice and guidance and should be contacted in case of doubt. Any necessary contact between the Assessment Committee and PhD students must go through the administration of the PhD School.

### 6.4 Timetable for the Assessment of the Dissertation

The preliminary recommendation must have been presented no later than two months after the dissertation has been submitted, and the defence must take place no later than three months after the dissertation has been submitted to the PhD School. The month of July and the period between 15 and 31 December shall not count towards the aforementioned deadlines.

When preparing the timetable one week must be allocated for the PhD School to approve the preliminary recommendation. The preliminary recommendation must be sent to the PhD student no later than two weeks before the defence. The final date of the defence must be agreed on with the PhD student when it can be determined whether the dissertation is suitable for defence.

## 7. The Preliminary Assessment of the PhD Dissertation

No later than 2 months after the dissertation has been submitted, the Assessment Committee shall deliver a preliminary, reasoned unanimous or majority recommendation to the PhD School on whether the dissertation is in its present form suitable as a basis for awarding a PhD degree. In the event that the committee should disagree, the decision shall be based on the majority of votes. The recommendation must be drawn up in accordance with the PhD School's template for drawing up PhD recommendations. The length of the recommendation must not exceed 5-7 pages.

The preliminary recommendation should include a brief summary and a reasoned and critical assessment of the scientific quality and international level of the dissertation. It must be made clear on what premises the committee has based its assessment and conclusion. The recommendation must state whether the recommendation was unanimous. The recommendation must be concluded by one of the following conclusions: a) the PhD dissertation is suitable for defence, or b) the PhD dissertation is not suitable for defence.

To secure that an unbiased and thorough assessment of the dissertation has taken place, the preliminary recommendation must be approved by the head of the PhD School.

### 7.1 The PhD Dissertation Is Assessed as Suitable for Defence

If the dissertation, based on the recommendation of the Assessment Committee, is found to be suitable for defence, the defence may take place.

The recommendation shall be sent to the author.

The chairman of the Assessment Committee may, to a very limited extent, allow changes in the dissertation prior to the oral defence, which, however, must not be delayed due to such changes.

### 7.2 The PhD Dissertation Is Assessed as Not Suitable for Defence

In the event that the Assessment Committee should find the dissertation not suitable for defence, the preliminary recommendation, including an academic account and an individual statement on any majority or minority assessments, must include an assessment of whether the dissertation can be re-submitted in a revised form and, if so, within which time limit.

The recommendation shall be sent to the author and to the principal supervisor, who must be given an opportunity to comment on the recommendation within a period of not less than two weeks.

Based on the recommendation of the Assessment Committee and on any possible comments from the author and the principal supervisor, the PhD Committee shall make one of the following decisions:

- 1 The PhD defence cannot take place
- 2 The PhD dissertation may be re-submitted in a revised form within a period of no less than three months. If the dissertation is re-submitted, it shall be assessed by the previous assessment committee, unless special circumstances apply
- 3 The PhD dissertation shall be assessed by a new assessment committee

## 8. Defence of the PhD Dissertation

The defence may take place at the earliest three weeks after the Assessment Committee has presented its recommendation. The defence must take place no later than three months after the dissertation has been submitted. The month of July and the period between 15 and 31 December shall not count towards the aforementioned three-month period. The date of the defence must be agreed on with the author. The PhD Administration shall be responsible for any practical tasks in connection with the defence.

The PhD Administration shall publish the precise time and place of the defence.

### 8.1 The Defence

The defence of the PhD dissertation must be public.

During the defence the author must be given an opportunity to explain his/her work and he must defend his/her PhD dissertation to the members of the Assessment Committee. The PhD dissertation must have been made available to the public in reasonable time before the defence. The PhD Administration shall send copies of the dissertation to the libraries of AAA and DSKD, The Royal Library, and the library of the Royal Danish Academy of Fine Arts at least 14 days before the defence takes place.

As a rule, any confidential parts of the research project shall not be taken into account in awarding the PhD degree. Any issues regarding confidentiality must, as a rule, be agreed on in advance by the parties to the programme and must not give rise to postponement of the PhD defence. See also section 5.4.

The defence shall preferably be led by the head of the PhD School (AAA), the head of the Research and Development Department (DSKD) or by a senior member of the academic/scientific staff with insight into the area of the PhD. The entire defence should not take more than three hours, including breaks, if any. The author shall be given up to 45 min. for his/her presentation of the main results of the PhD dissertation; although The PhD School recommends presentations of no more than 30 min. Subsequently, the Assessment Committee, on the basis of the dissertation and the presentation, shall present questions to the author. By way of conclusion the audience shall be given the opportunity to present questions to the author on the basis of the dissertation and the presentation.

The leader of the defence must ensure that the defence is carried out in a dignified manner. He/she may, if necessary, break off or extend the duration of the defence.

## 9. Awarding the PhD Degree

### 9.1 The Final Recommendation

The Assessment Committee shall immediately after the defence submit its final written recommendation, including an overall assessment of the dissertation and the oral defence. The recommendation of the Assessment Committee must be reasoned; in the event of disagreement it shall be based on the majority of votes.

The Academic Advisory Council of the relevant institution shall award a PhD degree if this is the recommendation of the Assessment Committee.

In the event that the recommendation of the assessment Committee is negative, the PhD School must inform the author of this as soon as possible. If the recommendation of the Assessment Committee is negative, the Academic Advisory Council of the relevant institution may decide to allow the dissertation to be assessed by a new assessment committee according to the standard rules stated in section 6.2, if the author so requests, within a period of no more than one week.

### 9.2 PhD Diploma

AAA and DSKD shall issue a PhD Diploma. The certificate shall be drawn up in Danish and in English. A summary of the completed education must be enclosed with the certificate.

### 9.3 Certificate of Approved Elements of a PhD education

A PhD student who has not completed the PhD education by being awarded a PhD degree, may by written request to the PhD School receive written documentation in Danish and English of the elements of the education that have been completed satisfactorily.

## 10. The Rules of the PhD School and Complaint Procedures

The PhD Committee may, when justified by special circumstances, grant exemption from rules laid down solely by AAA and DSKD. Applications for this must be submitted to the PhD Administration.

### 10.1 Complaints

Appeals against decisions regarding a PhD education must be submitted to the PhD Committee, which shall decide on the appeal.

Complaints about supervisors must, however, first be submitted to the head of the PhD School, who shall present the matter to the PhD Committee, if the situation cannot be resolved by means of dialogue.

Decisions made by the PhD Committee or the Academic Advisory Council can within a period of one week be referred to the rector of the relevant institution, who has the authority to make a final decision on *non-legal* matters.

Decisions on *legal issues*, cf. *Bekendtgørelse nr. 1039 af 27. august 2013, § 29*, may be submitted to the Ministry of Higher Education and Science within a period of two weeks.

Appeals against decisions regarding legal matters must be submitted to the rector, who shall ask for the opinion of the PhD Committee or the Academic Advisory Council. The complainant must be given an opportunity to comment on said opinion within a period of not less than one week. The relevant rector shall forward the complaint to the ministry, enclosing the opinion and any comments the complainant might have.

The following are entitled to appeal: PhD students and authors mentioned in the Ministerial Order on the PhD Programme. Authors who have not completed a PhD education must in order to be entitled to file a complaint have had their PhD dissertations assessed.

## 11. Other rules

### 11.1 The Industrial PhD Programme

According to the Ministerial Order on the PhD Programme, section 27, the following rules apply to PhD students whose study is funded through The Industrial PhD Programme:

In addition to the principal supervisor appointed by the head of the PhD School, the head of the PhD School shall appoint a supervisor who is affiliated with the company in which the PhD student is employed. The supervisor must be qualified in the relevant subject area.

At least one of the members of the committee tasked with assessing the PhD dissertation must have industry-relevant research experience within the relevant subject area. According to section 28 of the Ministerial Order on the PhD Programme, The Danish Ministry of Higher Education and Science has the authority to exempt from the provisions of the order.

## 12. Entry into Force and Transitional Provisions

PhD students who have commenced their PhD education before 1 August 2013 have the right to complete their course in accordance with the ministerial order: *bekendtgørelse nr. 114 af 8. marts 2002*, however, the assessment and the defence of the dissertation as well as the awarding of PhD degrees shall be carried out in accordance with the rules laid down in *ph.d.-bekendtgørelse nr. 1039 af 27. august 2013* and the rules stated herein. Any applications from PhD students registered before 1 August 2013 to complete their PhD education based on the order of 8 March 2002 must be submitted to the PhD School. It is the responsibility of the head of the PhD School to decide whether such applications can be approved.

The present revised version of the rules regarding the PhD programme enter into force on 1 September 2016.