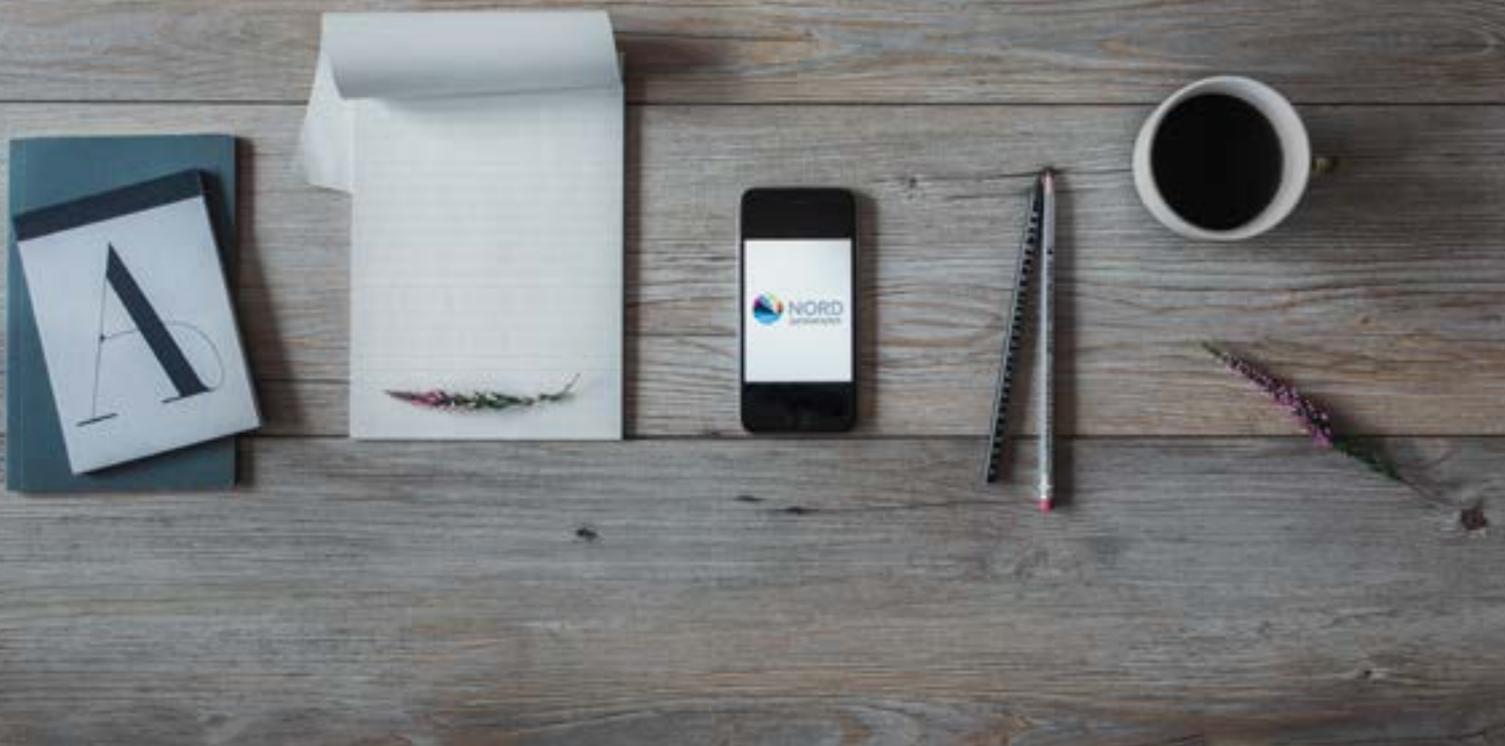


Phd Handbook



NORD
University

www.nord.no/en

CONTENTS

1. INTRODUCTION	4
2. THE COMMENCEMENT PHASE	5
Funding	5
Application for admission to the phd programme	5
Project description requirements	6
Admission decision	6
Phd agreement	6
Tips and advice on getting started	7
3. SUPERVISION AND PARTICIPATION IN RESEARCH COMMUNITY	8
Your rights and duties as a phd candidate	8
Supervision	9
Your main supervisor will	9
Your co-supervisor will	10
If a problem occurs with your supervision	10
4. COURSEWORK REQUIREMENTS	11
Dissemination of research	11
Library	12
Progress report	12
Delays or interruptions to your doctoral education	12
Stay abroad	12
Publishing	12
Tips and advice for completion	13
5. COMPLETION / EVALUATION	14
Approval of required coursework	14
Submission of thesis for evaluation	14
Evaluation committee – appointment, work and recommendation	15
Printing and publishing of the thesis	15
Reworking and resubmission	16
Trial lecture and public defence of the thesis	17
The evaluation committee’s recommendation, conferral of degree and diploma	18
Complaint about rejection of application for evaluation, rejected thesis, trial lecture or public defence	18
6. RESEARCH ETHICS AND PRIVACY	19
Research ethics	19
Privacy and obligation to notify	21

1. INTRODUCTION

This handbook provides information about the PhD programme and aims to facilitate work with and cooperation on doctoral education. The handbook is relevant for potential and present candidates, supervisors and other stakeholders with an interest in doctoral education at Nord University.

The handbook addresses the most important aspects of the commencement phase, the research phase and the completion phase. It also includes an important section about research ethics and privacy. The necessary forms, guidelines and contacts are available on Nord University's website: www.nord.no/en/research/doctoral-degrees. Successful applicants can access further information on our intranet.

Each faculty has professional and administrative responsibility for a PhD programme at Nord University. The programme coordinator, usually a professor, has the overall responsibility for his or her programme, while the programme officer provides administrative support. Research and Innovation Support assists the faculties with some of the common administrative tasks.

The handbook is based on the Regulations for the Doctor of Philosophy Degree (PhD) at Nord University, issued by the Board of the University on 06.01.2016. All activities related to the PhD programme are subject to these regulations. In addition, each faculty has its own supplementary provisions. The supplementary provisions may be stricter than the regulations, but they may not relax the provisions of the regulations. The PhD regulations shall prevail should a dispute arise concerning the interpretation of the content of this handbook and the provisions of the regulations.

Doctoral education is managed by the respective faculties and governed by the following documents:

1. Regulations for the Doctor of Philosophy (PhD) degree at Nord University
2. The supplementary provisions of each faculty
3. Agreement concerning admission to the PhD programme at Nord University
4. Regulations relating to studies and examinations at Nord University
5. Programme plans and course descriptions

All doctoral candidates at Nord University are considered students at the institution. Some doctoral candidates are also employed by the university, which provides their primary source of funding. Others have external employers. Some doctoral candidates may have a national or international organisation as their primary source of funding.

The following documents govern the relationship between doctoral candidates employed by the university (doctoral fellows) and the institution:

1. Employment Contract
2. Regulations concerning terms and conditions of employment for the posts of post-doctoral research fellow (postdoktor), research fellow (stipendiat), research assistant (vitenskapelig assistant) and resident (spesialistkandidat).
3. Nord University Personnel Handbook

Nord University offers the following PhD programmes:

- PhD in Aquatic Biosciences, Faculty of Biosciences and Aquaculture
- PhD in Business, Nord University Business School
- PhD in Sociology, Faculty of Social Sciences
- PhD in Professional Praxis, Faculty of Education and Arts and Faculty of Nursing and Health Sciences

Contents of the PhD programme:

1. A thesis based on independent research
2. A coursework component consisting of relevant courses as described in the programme plan and in the faculties' supplementary provisions
3. Participation in national and international research communities
4. Relevant professional dissemination
5. A final examination consisting of trial lecture and public defence of the thesis

Nord University also confers the degree of Dr. Philos. This handbook does not address the rules and routines relating to Dr. Philos. Please refer to our website or contact Research and Innovation Support for further information.



2. THE COMMENCEMENT PHASE

FUNDING

In order to apply for admission to one of the PhD programmes, you must provide sufficient funding for your programme. The funding must cover the entire period of the study programme. Potential sources of funding are employment as a doctoral fellow at the university, employment at another educational institution, or other external funding. Sufficient funding is an absolute precondition for admission.

Specific information about doctoral fellowships

A doctoral fellowship pays the candidate a salary to participate in doctoral education. However, attainment of a doctoral fellowship does not automatically grant admission to doctoral education. Appointment and admission are two parallel processes to which a potential candidate must apply separately. In order to be considered for a doctoral fellowship, the university considers whether and to which doctoral programme potential candidates have applied. Doctoral fellows at Nord University may be allocated a certain share of other tasks or be subject to conditions governing office time on campus. The appointment of doctoral fellows accords to the university's procedures for appointment of academic personnel. A project description for the doctoral work may constitute part of the terms of employment.

Other funding

Candidates with external funding may also apply for admission to doctoral education. For these, an external employer may fulfil the funding requirement by accepting doctoral research as a part of the employee's primary tasks. Other externally funded candidates may be individuals funded by third parties, like the Research Council of Norway, whereby an employee is given leave to participate in doctoral education funded a party who is not the candidate's primary employer. This can also be the case for candidates with funding from foreign organisations.

APPLICATION FOR ADMISSION TO THE PHD PROGRAMME

Candidates are required to apply for admission to doctoral education within three (3) months of commencement of their doctoral research project, using the university's application form. You will also be required to present a project description that adheres to the university's regulations and supplementary provisions for the PhD programme to which you are applying.

All items on the application form must be filled out. The university's regulations for the PhD programme specify which documents to attach. Each PhD programme may also have its own specific requirements, including requirements related to education or work experience. All programmes normally require a grade point average of at least B from higher education. Potential candidates submit their application for admission to the faculty. Applications for admission are reviewed by the faculties' Research and Education Committees, PhD Committees or the equivalent, and are determined by the dean of the respective faculty.

PROJECT DESCRIPTION REQUIREMENTS

According to the Regulations for Doctor of Philosophy (PhD) at Nord University, the project description shall consist of the following elements:

- Scientific description of the project
- Progress plan
- Funding plan

- Documentation of special requirements for academic and material resources
- Any plans for stay at another institution
- Plans for research dissemination
- Information about any restrictions on intellectual property rights that are intended to protect the rights of others
- Evidence of funding for partial or full grants from industry, other educational institutions or foreign organisations, if relevant.

Each individual programme may have its own requirements concerning the project description, specified in the supplementary guidelines. In processing the application, the individual faculty may ask the applicant to revise his/her project description in order to:

- Adjust the project to the PhD programme
- Uphold programme deadlines
- Satisfy scientific requirements for a PhD project

Doctoral fellows must acquire approval of their project description no later than three (3) months after commencing employment. Depending on which programme the candidate has applied for, approval of the project description at the same time as appointment.

ADMISSION DECISION

Admission is based on an overall consideration of the application.

If admission is granted, a main supervisor for the PhD project is appointed in the admission decision. The decision shall also specify an agreement period. The agreement period will normally be equivalent to the period of funding.

PHD AGREEMENT

When admission to the PhD programme is granted, the faculty should initiate an agreement regarding completion of the PhD programme (PhD agreement). Different parts of the PhD agreement may apply to different parties.

Part A is a general part that regulates the relationship between the candidate and the faculty regarding completion of the PhD programme. This agreement is signed by the candidate and the faculty, represented by the dean.

Part B of the agreement covers academic supervision for the PhD programme and is signed by the main supervisor, co-supervisor, the candidate and the faculty, represented by the dean.

Part C of the agreement is used when an external third party is cooperating on completion of the PhD programme. Part C regulates matters relevant to the external third party, such as infrastructure, patents etc. The agreement is signed by the candidate, a representative of the external party and the faculty, represented by the dean. Under compelling circumstances, the PhD Agreement may be extended. This is regulated in further detail in the university's PhD regulations. Should significant changes occur during the agreed programme period, an additional agreement might be required. If the Agreement is violated, it may be terminated. This implies that the candidate loses his or her right to participate in the PhD programme.

Further information about this can be found in the University's PhD regulations, section 5.6.

TIPS AND ADVICE ON GETTING STARTED

Develop your project description early.

In order to get a best possible start on your studies as a PhD candidate, it is vital that you develop the project description at the earliest possible stage. The project description is the cornerstone of the PhD programme and is the starting point for the entire research process. It is also vital in this regard that you familiarize yourself with the relevant literature.

Establish a working relationship with your supervisor.

Your supervisor will supervise the development of your project description, so establish a working relationship as soon as possible.

Start writing.

It is important to be conscious of which process you are in at this stage; the research process or the presentation process. The writing that you conduct as a part of the research process may not form part of the final product, however, it lays the foundation for the production and presentation phase.

Setting milestones may help you get started on the writing process.

Get started on coursework.

Coursework is intended to support your doctoral research. As such, it is advantageous to start this at an early stage. Furthermore, coursework constitutes an important arena for dialogue with other PhD candidates and professional academics. Much of your research is established through dialogue with colleagues.



3. SUPERVISION AND PARTICIPATION IN RESEARCH COMMUNITY

The work on your doctoral thesis is conducted under individual supervision. Nord University is focused on maintaining high quality in its PhD supervision and has therefore established supervision training courses for our supervisors.

YOUR RIGHTS AND DUTIES AS A PHD CANDIDATE:

1. Familiarize yourself with and meet the stipulated deadlines. This includes for submission of the admission application, PhD Agreement, project description and examination registration.
2. Participate in PhD activities organized by the university and the faculty, as well as in courses per agreement with your main supervisor.
3. Familiarise yourself with the contents of the University's PhD regulations and the respective faculty's supplementary provisions, the PhD Agreement and the PhD Handbook.
4. Agree upon and adhere to a schedule for regular contact with your main Supervisor and for submission of written work. Maintain regular contact through, eg. emails, meetings or telephone contact.
5. Submit agreed work within the agreed deadlines, and provide sufficient time for comments and discussion.
6. Present your work and findings at seminars/conferences when recommended by your main Supervisor.
7. Follow the Code of Conduct for ethical research in your academic field. Remember mandatory reporting to NSD, REK and the Norwegian Food Safety Authority.
8. Conduct your research with efficiency and a high standard and uphold the agreed timeframe.
9. Actively seek advice from your supervisors regarding professional issues related to your research project and thesis work.
10. Submit a progress report about the progress in your doctoral education to the faculty according to the supplementary provisions of the respective faculty.
11. Prepare for mid-term reporting.
12. Document courses, seminars and activities that you complete as a part of your coursework.
13. Inform your main supervisor about any and all conditions that may be of significance for your supervision, and report circumstances that may cause delays.
14. Approach the dean, programme coordinator or programme officer if you wish to change your main supervisor. You may discuss any problems, including those of a personal or medical character, with your main supervisor, dean and/or your PhD programme officer.
15. Consult the co-supervisor if and when needed
16. Inform any external party about all conditions that may affect cooperation and the progress of the project.
17. Comply with the procedures for study leave or other kinds of interruptions to the PhD programme. If you have a notice of sick leave or other approved cause for leave of absence, you must also report this to your PhD programme officer.

18. Discuss all matters related to expenses and funding of your research project with your main supervisor at Nord University, and if applicable with representatives from the institution that funds your position.
19. Publish your thesis in Open Access (see p. 17).

SUPERVISION

The candidate will be allocated a supervisory group consisting of a main supervisor and co-supervisor(s). The supervisors' research qualifications should cover the research areas in question as well as methodology, so that the group as a whole carries the competence required for supervising the research project in question. Together, the faculty and supervisors shall ensure that the PhD Candidate participates in an active research community.

YOUR MAIN SUPERVISOR WILL:

1. Supervise development of the project description
2. Actively participate in the development of your research project and selection of relevant courses for coursework.
3. Deliver counselling of a high academic quality concerning your research project, including advice about which research questions and methods may be appropriate, and feedback on your written work as it evolves.
4. Contribute to securing the chances for the thesis to be finished within the timeframe, which is 3 years (or 4 years with 25 % work duty).
5. Provide timely constructive criticism and feedback on drafts submitted, which enables discussion and ensures that deadlines are upheld. This kind of active supervision should take place at least three times per semester.
6. Assist in finding relevant literature and sources (library, archives etc.).
7. Introduce you to the faculty, other PhD candidates and relevant employees, and encourage you to participate in activities and seminars that are relevant to your PhD education, and to the research field in question. The supervisor should also introduce you to relevant research communities outside the faculty, including internationally, at an early stage of your research programme period so that you can start planning for a potential study period abroad.
8. Identify the PhD programme coordinator and PhD programme officer for your programme. The PhD programme officer should introduce you to the faculty's facilities and procedures. You can discuss matters pertaining to research education, including difficulties that may arise in the cooperation with the supervisor and with regard to the progression of your PhD project, with the programme coordinator and the programme officer.
9. Determine at an early stage, in cooperation with the programme coordinator, whether allocation of Intellectual Property Rights (IPR) is required, and if so, ensure that interested parties enter into agreement about IPR upon commencement of the project.
10. Contribute to ensuring that a risk assessment of potential lab work and/or fieldwork is conducted in accordance with the Nord University HES Handbook.
11. Contribute to ensuring that the research project is approved in accordance with the relevant ethics regulations, and provide advice about ethics relevant to the research work. The Supervisor shall also ensure that you understand your responsibilities in relation to academic integrity and correct conduct (see chapter 6).

12. Contribute to ensuring that you store research data in an appropriate and systematic manner, which facilitates transparency and review by relevant bodies, eg. the Evaluation Committee and the Norwegian Data Protection Authority.
13. Stay informed of your progress, and address any circumstances that may cause delay.
14. Discuss circumstances that imply academic misconduct with you, and report academic misconduct to the faculty.
15. Organise and participate in activities that you are contractually obligated to complete, such as the midterm evaluation and midterm seminar.
16. Submit an annual report to the faculty about your progress, according to deadlines set by the faculty.
17. Ensure that a satisfactory arrangement for supervision is secured in cooperation with co-supervisors and the faculty should the main supervisor be absent for more than 4 weeks. The supervisor shall keep you informed of all matters that may affect your supervision.
18. Encourage you to give progress reports, participate in relevant workshops, conferences and meetings, and investigate relevant sources of information and advice, both within and outside the university.
19. Write a progress report and report any worries or concerns.
20. Contribute to ensuring that any work duty does not exceed 25 percent of your total workload.

YOUR CO-SUPERVISOR WILL:

1. Participate in the planning of your research project and required coursework.
2. Participate in supervising your research project.
3. Stay up-to-date on the progress of your work. The co-supervisor will be present at supervisory group meetings, and/or have regular coordination conversations with the main supervisor via telephone, email etc.
4. Counsel you on matters relating to your research work regarding appropriate research questions and methods, and will provide you with feedback on your written work as it evolves.
5. Strengthen the supervision of your work through drawing in additional evaluation or further specialist areas, should the main supervisor consider it advantageous.
6. Contribute consistently in supervision of your work, in the absence of the main supervisor.
7. May participate in your midterm evaluation.

IF A PROBLEM OCCURS WITH YOUR SUPERVISION

The candidate and supervisors may discuss academic and /or personal issues related to supervision with the programme coordinator, if required. If the supervisor is the programme coordinator, the dean should participate any such discussion. Should the relationship between the candidate and the supervisor develop in such a way as to be an obstacle to progress of the project, it may be appropriate to change supervisor. The dean decides whether or not to replace a supervisor. Supervision must continue until a suitable replacement is found.

4. COURSEWORK REQUIREMENTS

The PhD programme has a scope of three (3) years full-time study and includes compulsory coursework with a scope of 30 ECTS. See supplementary provisions for your faculty.

Courses

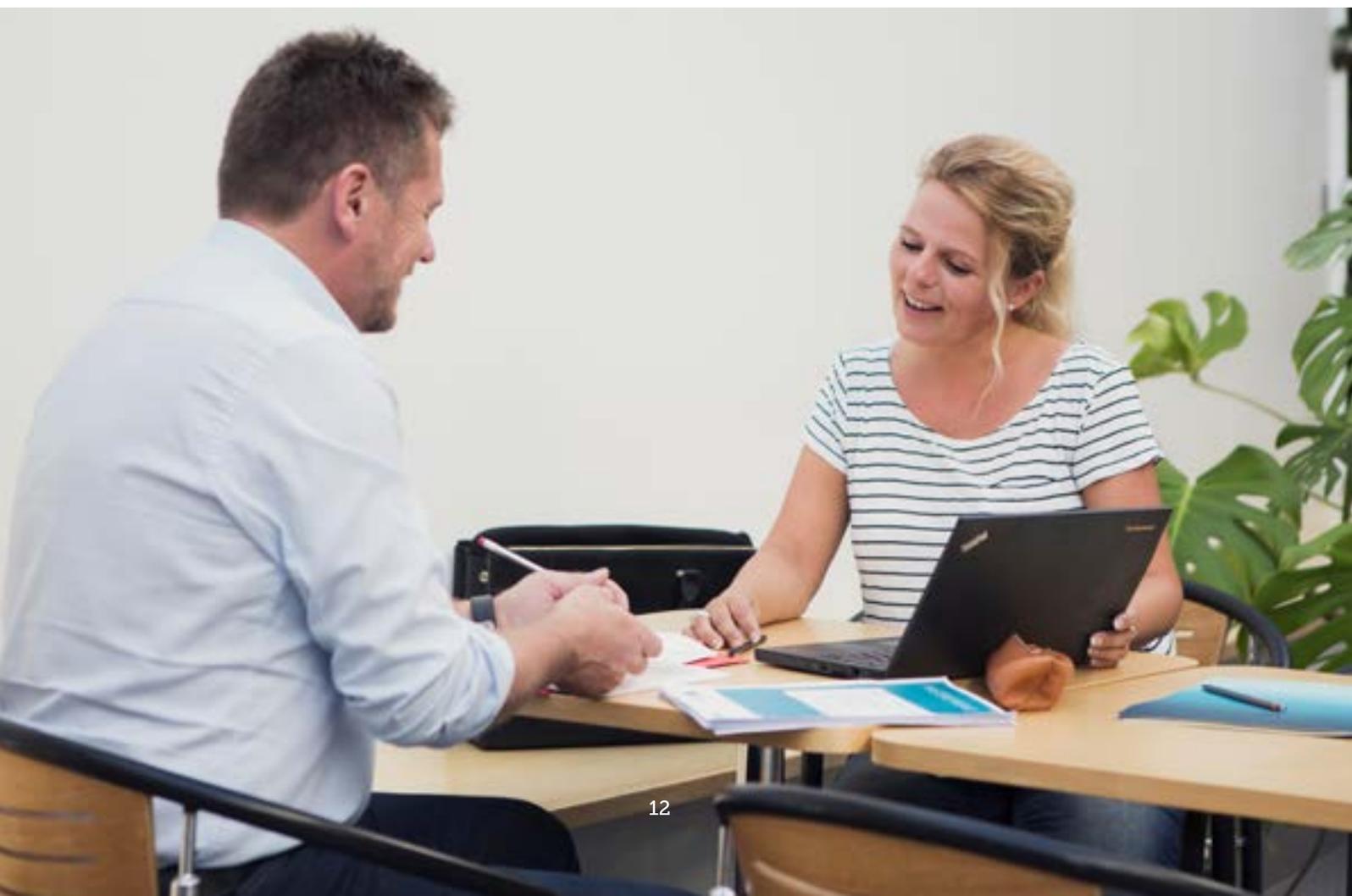
As a PhD Candidate, you may take courses at doctoral level at Nord University or at other institutions in Norway or abroad in order to meet the coursework requirements. A plan for coursework will be developed in consultation with your supervisor upon commencement. We recommend that you consult with your main supervisor and programme officer before registering for courses that are not included in the original plan.

PhD candidates will receive information from their faculty about guidelines for selecting coursework topics. There are common requirements across all faculties for courses in scientific theory and ethics, as well as methodology. Updated information about available courses can be found on your faculty's home page. The Faculty for Education and Arts and the Faculty for Biosciences and Aquaculture may require that the Research Committee/PhD Committee pre-approve external courses.

Coursework must be conducted and approved in its entirety prior to submission of the thesis to the Evaluation Committee.

Funding of PhD courses

Get in touch with the PhD programme officer for information regarding funding of participation.



DISSEMINATION OF RESEARCH

The dissemination of your research may take various forms, such as internal and external presentations, lectures, presentation of papers at conferences, research seminars and similar. You will be required to give several different presentations in the course of your studies. Your faculty specifies the number and form thereof.

LIBRARY

The University Library is an important resource for PhD candidates, with a comprehensive selection of digital resources and books. The library also offers courses in reference management systems, such as EndNote, and advanced literature search.

PROGRESS REPORT

You and your supervisor will submit annual reports to the faculty regarding the progress of your PhD project. The report takes your plan for the PhD programme as its starting point and reports any potential deviations from the plan as well as all factors affecting academic progress.

DELAYS OR INTERRUPTIONS TO YOUR DOCTORAL EDUCATION

Medical certificates and applications for leave of absence are to be submitted to employer. If Nord University is not your employer, a copy must be submitted to the Programme Officer. Extension of study time and any funding may be granted upon application, should the medical certificate provide valid grounds for an extension. It is important that you keep your employer and programme coordinator informed about any circumstances that may affect your progress. If you receive external funding, you are responsible for familiarising yourself with your rights and duties related to extension of funding.

More information about terminating doctoral studies is available in Nord's PhD regulations, section 5.5 Voluntary termination.

STAY ABROAD

The candidate may opt to spend parts of the study period at a foreign education or research institution. The institution should be selected in cooperation with the supervisor. It is preferable that candidates stay at institutions with which the candidate, supervisor or institution have an established partnership.

A stay abroad may be inspiring and provide impulses that you do not receive at home. In addition, it is useful for networking. There are several ways to fund study time abroad. Some of the most common ways are through the Norwegian Research Council's stipend arrangements (<http://www.forskningsradet.no>), with funding from the research project or with funding from the employer/faculty. Contact the programme officer or Research and Innovation Support for further information.

PUBLISHING

A PhD thesis may consist of a longer piece of work (monograph) or a combination of several shorter pieces of work (article-based thesis) with a written account of the connection between them ("kappe").

The candidate and supervisor are jointly responsible for ensuring that candidate is familiar with current research ethics and the relevant ethics guidelines, as well as good referencing practice and the rules for co-authoring.

If the thesis covers a joint piece of work, the authors must adhere to the Vancouver rules. As a rule, the candidate can only attribute credit to Nord University; unless other involved institutions meet the rules for attribution.

Read more: <https://www.etikkom.no/FBIB/Praktisk/Lover-og-retningslinjer/Vancouverreglene/>

See also www.icmje.org for internationally recognised principles for good research ethics in scientific publishing. These were developed for medical research; however, they are transferable to other academic areas.

TIPS AND ADVICE FOR COMPLETION

- Complete your coursework during the first half of your doctoral studies
- Check out possibilities for external PhD courses
- Use compulsory internal PhD seminars actively to get advice and inspiration from colleagues
- Be active in your academic community, both locally, nationally and internationally
- Create discussion forums
- Be an active user of the university library's services
- Start planning your stay abroad as early as possible
- Attend international conferences
- Build a network
- Take on positions in panels and committees



5. COMPLETION / EVALUATION

The PhD degree is evaluated on the merit of:

- an approved doctoral thesis;
- approved completion of the required coursework;
- an approved trial lecture on an assigned topic;
- an approved public defence of the doctoral thesis

APPROVAL OF REQUIRED COURSEWORK

Required coursework must be approved prior to submission of the thesis for evaluation. Coursework is approved based on documentation verifying that the elements included are conducted and passed in accordance with the requirements stipulated in the PhD regulations, and any supplementary requirements stipulated in the PhD programme in which you are enrolled. The dean or the dean's representative approves your coursework.

Submit your application for approval of completion of required coursework to the Programme Coordinator at your faculty along with:

- Grade transcripts/confirmations of courses completed at other institutions (nationally or internationally). You are personally responsible for submitting these to the faculty's Programme Officer for registration.
- Examination results from courses completed at Nord University, which are registered on an on-going basis. The programme officer will print this out and add it to your approval file.
- Any other required documentation.

Ask the PhD programme officer at your faculty about whether your faculty uses an application form or if you can compose the application yourself. The attachment requirement will be identical.

SUBMISSION OF THESIS FOR EVALUATION

You must apply to have your thesis evaluated. Section 13.1 of the PhD regulations stipulates which documents you must submit together with your thesis and application form. You must include confirmation of approved coursework.

In addition, you may be required to submit the following:

- A declaration stating that the thesis work has not been submitted for evaluation at another institution (may be included in the application form text)
- Permission from the Research Ethics Committee, other authorities or third parties where relevant.
- Co-author statement(s), if relevant.

You will be required to submit the thesis to the printers at Nord. The thesis will be printed in A4 format and the faculty covers the cost of the number of copies required for the evaluation.

EVALUATION COMMITTEE – APPOINTMENT, WORK AND RECOMMENDATION

The dean appoints an Evaluation Committee, following recommendations from the PhD Committee, Research and Education Committee or the programme officer, pursuant to

faculty provisions. The Evaluation Committee shall provide a recommendation within the given deadline, usually two to three months after submission.

The coordinator of the Evaluation Committee's work shall produce a recommendation stating whether the thesis is worthy of public defence or not. The recommendation and any potential dissents shall be explained. The candidate is granted a response period of 10 working days to further his/her written remarks to the recommendation. The recommendation is temporarily withheld from public disclosure until after a successful and approved public defence. After this time, the recommendation is no longer confidential.

A recommendation that finds a thesis not worthy of public defence is confidential.

The faculty makes the final determination about whether a thesis is worthy of public defence. Further procedures relating to committee recommendations are described in sections 16-1 and 16-2 of the PhD regulations.

PRINTING AND PUBLISHING OF THE THESIS

A thesis that is found worthy of public defence will be allocated an ISBN number and serial number. The thesis is printed according to Nord University's design handbook. The thesis is produced in the number of copies required for the public defence, the cost of which is covered by the faculty.

It is not possible to make changes to a thesis that has been assessed. However, correcting formal errors, which do not affect scientific content, may be conducted upon application to the faculty. Upon approval by the faculty, a complete erratum should be included in the thesis, according to the PhD regulations' section 15-4, Correcting of formal errors (errata) in the thesis. The candidate shall produce a brief summary of the thesis in English and Norwegian, aimed at making the thesis and its contents known for research communities at home and abroad. If the thesis is not written in English or Norwegian, the candidate should also produce a summary in the thesis language. The summary shall accompany the thesis and, like the thesis, be made publicly available.

A summary written in the thesis language and amounting to no more than 2,000 characters (including spaces) should be printed on the back cover of the thesis.

A summary in Norwegian shall also be produced and submitted to the faculty's programme officer as soon as the thesis has been found worthy. The summary will be used in press statements.

Nord University ensures that the required copies of the thesis are submitted to the National Library and the university library.

The thesis shall be publicly available no later than two (2) weeks prior to the public defence (disputas). Publicly available means that it shall be available for review, but not necessarily for distribution.

No restrictions may be placed on thesis's publication, with the exception of a pre-agreed and valid postponement. Postponements may be allowed in order for the institution and any third parties to address issues related to patents or similar.

Archiving the thesis in Nord University's open archive

The Norwegian government stipulates that all research funded wholly or partially with public funds shall be publicly available. The university's open archive Blix makes theses and other research available to the public.

To facilitate publication in Blix, the university library, has developed procedures and guidelines. Read more about Open Access here: <http://www.nord.no/en/library/open-access/>

REWORKING AND RESUBMISSION

Reworking

The Evaluation Committee may recommend that the faculty allow minor reworking of the thesis before submission of a final recommendation (section 15-2). The Committee must provide a specific, written overview of what the candidate is being asked to revise.

A time limit not exceeding three (3) months for revision may be granted, should the faculty permit minor revisions. The Evaluation Committee will receive a new deadline for submission of their final recommendation.

Resubmission

A thesis that requires extensive revision and which is, as such, not worthy of defence, may not be submitted earlier than six (6) months after the Committee's initial recommendation (section 17). A new evaluation can only take place once. A PhD thesis found not worthy of defence can be evaluated in a revised version no sooner than six (6) months following the initial evaluation. The faculty will then appoint a new Evaluation Committee, which includes at least one member of the original committee.

Upon resubmission, the candidate is obligated to notify the committee that the thesis was previously evaluated as not worthy of defence.

Not worthy of defence

Should the Evaluation Committee find that significant changes regarding theory, hypothesis, materials or method are required for the work to be recommended for public defence, the committee must reject the thesis.

TRIAL LECTURE AND PUBLIC DEFENCE OF THE THESIS

At Nord University, the trial lecture and public defence usually take place on the same day, and both are public. The public defence with a trial lecture is chaired by the dean or the dean's representative. The same committee responsible for evaluating the thesis will also evaluate the defence.

Trial lecture

The chair of the defence commences proceedings by welcoming those present and explaining the formalities.

The trial lecture addresses a topic chosen by the Evaluation Committee. The candidate will receive the title or theme of the trial lecture not less than 10 working days prior to the trial lecture. The candidate has 45 minutes to deliver the lecture.

The Evaluation Committee has the opportunity to ask questions in connection with the trial lecture. Usually, however, the committee reserves questions for the defence.

Upon conclusion of the trial lecture, the chair will close the session and set a time for commencement of the defence.

The trial lecture must be approved before the defence which means there may be a long break between the two events.

Public defence

The chair of the defence commences proceedings by welcoming those present and explaining the formalities. The chair then invites the candidate to deliver his/her defence.

Depending on the faculty, the candidate or first opposing speaker presents the thesis. This usually takes about 30 minutes.

The public defence is an academic discussion between the opponents and the candidate, concerning the formulation of problems, methodical, empirical and theoretical foundation, documentation and presentation form. The opposing speakers will often emphasize proving the durability of important conclusions that the candidate has drawn in his or her work. The issues the opponents chose to pursue need not be limited to those covered in the committee's statement on the thesis. The speakers may ask questions about any of the thesis's contents. The speakers usually investigate different parts of the thesis. The division of the workload between the opposing speakers varies. The committee's third member (the coordinator from Nord University) does usually not participate actively during the public defence.

The candidate should read the committee's recommendation/report carefully prior to the public defence. In addition to providing a general statement about whether the thesis is worthy of defence, the committee usually comments on the strengths and weaknesses of the thesis.

The speakers will often address these issues during the defence.

Each speaker may use up to one (1) hour, but this varies. Normally the entire session lasts for two (2) to three (3) hours.

Upon conclusion of the formal debate, the chair will open for questions from other participants (*ex auditorio*). Any participants who wish to speak in this section must notify the chair before the second speaker commences.

The chair closes proceedings and invites attendees to a reception organised by the faculty. The Evaluation Committee then withdraws to write its recommendation and conclusion, which they deliver during the reception. The reception usually includes speeches and congratulations.

PhD dinner

It is common practice for the candidate to organise a dinner on the evening of the defence. The candidate usually invites the chair, members of the Evaluation Committee and supervisors, as well as family, friends and colleagues. The faculty provides assistance. Contact your programme officer for more information.

THE EVALUATION COMMITTEE'S RECOMMENDATION, CONFERRAL OF DEGREE AND DIPLOMA

Upon conclusion of the defence, the committee submits its report to the candidate and faculty. The Dean submits his/her recommendation to award the candidate the doctor of philosophy degree to the Rector.

The doctor of philosophy degree is awarded on the merit of:

- An approved doctoral thesis and successful public defence
- Approved coursework or other approved academic training or qualifications
- Approved trial lecture on a given topic

The Rector formally confers the doctor of philosophy degree (PhD) on the candidate, based on the Evaluation Committee's report.

A certificate and a diploma are normally awarded at the university's annual anniversary celebrations. The title of the thesis is printed on the diploma. The candidate also receives a Diploma Supplement, which provides information about coursework.

COMPLAINT ABOUT REJECTION OF APPLICATION FOR EVALUATION, REJECTED THESIS, TRIAL LECTURE OR PUBLIC DEFENCE

Pursuant to the provisions of the Public Administration Act, the candidate may appeal a decision to reject an application for evaluation, a determination that a thesis is not worthy of defence, or a non-approved trial lecture or public defence.



6. RESEARCH ETHICS AND PRIVACY

RESEARCH ETHICS ¹

Respect.

People who participate in research, as respondents or otherwise, shall be treated with respect.

Good consequences.

Researchers shall seek to ensure that their activities produce good consequences and that any adverse consequences are within the limits of acceptability.

Fairness.

All research projects shall be designed and implemented fairly.

Integrity.

Researchers shall comply with recognized norms and to behave responsibly, openly and honestly towards their colleagues and the public.

All research conducted at Nord University shall be based on respect for research participants' human rights and human value, and for animal welfare. Regard for the participants' welfare and integrity is a cornerstone of research and shall take precedence over the interests of science and society.

All research conducted at Nord University is subject to international and national guidelines for ethical research and relevant laws and regulations.

Nord University shall contribute to securing the researcher's freedom in choosing topics, methods, conducting research and publishing results. In contract research, the principal has the right in cooperation with the contractor to define the theme, hypothesis and extent of the research task. The principal shall not seek to unduly influence choice of method, conducting or publishing.

As a PhD Candidate at Nord University, you are personally responsible for ensuring that your research is conducted in accordance with good research ethics and recognised scientific and ethical principles. This shall also form the foundation for cooperation with external actors.

Quality

Research should maintain high academic quality. The Candidate must be competent, be able to shape relevant research questions, make appropriate method choices and carry out sufficient and correct data collection, data processing and data storage.

Integrity

The candidate is personally responsible for ensuring the credibility of his/her research. Fabrication, falsification, plagiarism and similar serious violations of good academic practise are not consistent with such credibility. The candidate is expected to have familiarised himself/herself with the ethical aspects of the researcher's role, and with principles of integrity, impartiality and independence in academic work. Candidates must also familiarise themselves with the Vancouver rules for attribution, if others have contributed to the candidate's work. If

¹ <https://www.etikkom.no/en/ethical-guidelines-for-research/general-guidelines-for-research-ethics/>

your field of study operates with other, stricter requirements than stipulated in the Vancouver rules, you must adhere to these. Check with your research colleague and main supervisor.

Good referencing

The candidate must practice good academic referencing, which allows verification of sources and provides a foundation for further research. References in running text shall be registered in a manner that leaves no doubt about the source of information. Use a referencing standard that is common within your field of study. Candidates writing an article-based thesis must adhere to the format and guidelines of the relevant journals.

Publication of results

As a rule, research results must be made available to the public. Transparency is vital for securing verifiability, as well as for giving something back to research participants and society as a whole, and to secure a dialogue with the public. Such communication also carries a democratic function.

Secure storage of data

All research materials shall be stored responsibly and inaccessible to unauthorized personnel. The law stipulates strict requirements for secure storage of lists with names or other information that makes it possible to identify individuals. At the same time, it is important to preserve materials for future generations.

Sensitive data shall not be preserved for longer than necessary for the purposes of the process. If it is necessary to preserve such information, identifying information shall be stored securely and separately from other research data. It is important to establish and follow good routines for securing quality, reuse and potential destruction of registers and other sensitive data.

The candidate must clarify whether data will be destroyed upon completion of the project, and inform participants accordingly. The candidate must also describe how and in what form data will be stored, in order to facilitate verification of analysis and conclusions, and or re-use. The Norwegian National Research Ethics Committees provide more information about good research ethics and ethical guidelines for your field of study: <http://www.etikkom.no>.

PRIVACY AND OBLIGATION TO NOTIFY

- Data Protection Official for Research (NSD – Norwegian Centre for Research Data)
- Regional Committees for Medical and Health Research Ethics (REK)
- Norwegian Food Safety Authority

The candidate must report research or quality assurance projects that are subject to obligation to notify pursuant to the Personal Data Act, the Health Research Act or the Animal Welfare Act.

Norwegian Centre for Research Data

The main task of the Data Protection Official is to assist institutions in fulfilling their statutory duties relating to internal control and quality assurance of their own research. This includes assessment of research projects pursuant to the Personal Data Act and the Health Research Act, in addition to monitoring of changes to and finalisation of research projects. ²

Sensitive data is information and analyses by which it is possible to identify individuals, directly or indirectly. Anonymised data cannot be used to identify individuals, directly, indirectly or using a coupling key. If you will only be collecting and registering anonymous information, your project will not be subject to notification.

If your project is subject to notification, you must file a notification form no later than 30 days prior to commencement of data collection. If you are in doubt about whether or not your project triggers such obligation, you can use the NSD Notification Test – Five brief questions you can answer in less than 1 minute.

More information and notification form:

<http://www.nsd.uib.no/personvernombud/en/notify/index.html>.

Research and innovation support at Nord University is the institution's contact point for the NSD Data Protection Official.

Regional Committees for Medical and Health Research Ethics (REK)

Pursuant to the Health Research Act, the purpose of the project defines whether a project must seek approval from the REK (for the relevant region), or whether it is to be reported to the Data Protection Official according to the Personal Data Act/the Health Research Act.

The Health Research Act only covers research with the purpose of obtaining knowledge about health and disease. This also applies if the projects include collection of health information. Research on patient and health information for other purposes, for instance social science purposes, is regulated by the Personal Data Act and is subject to notification.³

REK pre-approves:

- Medical and health science-related research projects
- General research biobanks
- Dispensation from confidentiality clauses for other kinds of research subject to the Personal Health Data Filing System Act and the Health Personnel Act.

Read more: <http://helseforskning.etikkom.no>.

The Norwegian Food Safety Authority

The regulation on the use of animals in experimentation has two purposes:

- Improve animal welfare for animals in testing
- Promote the 3R principle: Replacement, Reduction, Refinement

The Food Safety Authority ensures that the necessary use of test animals is conducted in a manner consistent with animal welfare principles. The Food Safety Authority makes decisions on individual cases as well as on principles, provides advice, conducts inspections and has the authority to approve test animal departments and projects.

Read more: http://www.mattilsynet.no/dyr_og_dyrehold/dyrevelferd/forsoksdyr/.

Nord University's contact point for animal welfare is the Faculty of Biosciences and Aquaculture.

3 <http://www.nsd.uib.no/personvernombud/en/help/faq.html>

When conducting research using information available online

As a rule, participants must consent to their role in research and receive information about the research they are participating in, and the researcher must obtain the participant's consent.

Exceptions may be granted, depending on whether:

- The information is collected from an open or closed forum/website
- It is practically possible to provide information and obtain consent
- The information is sensitive
- The information is to be published with or without personal information

Information published on the internet that is protected by intellectual property laws cannot be published without acquiring permission from the copyright holder. Copyright is regulated by the Intellectual Property Act. This issue applies to digital materials such as blogs, photographs, videos and music.

More information on: www.nsd.uib.no

Mandatory forms and agreements in research projects

Declaration of Consent

Consent is the rule when conducting research on humans or on information and materials that may be attached to individuals. Valid consent is voluntary, expressed and informed. This implies that any person who is asked to participate must understand what he or she is consenting to and what, if any consequences participation entails. See www.nsd.uib.no for requirements related to consent and suggested contents for declarations of consent and information letters.

Declarations of consent shall be stored in a manner that allows inspection by the Data Protection Official. Participating in research is voluntary and respondents may withdraw from the process at any time, including while the study is ongoing and without providing grounds.

Data processing agreement

In all research projects, ethics awareness is of vital importance. Securing respondents' personal information is core in this context and subject to the Personal Information Act and the Health Research Act. When all or parts of the processing of personal information is outsourced, the researcher shall take necessary steps to ensure confidentiality, integrity and availability for processing of sensitive personal information.

Examples of such processing in a PhD project include transcription assistance, interview assistance in research projects and plotting of data from, eg. health journals. The data processing agreement shall also apply if external parties are engaged to destroy sensitive information, such as interview forms and journals.



NORD
universitet

www.nord.no