

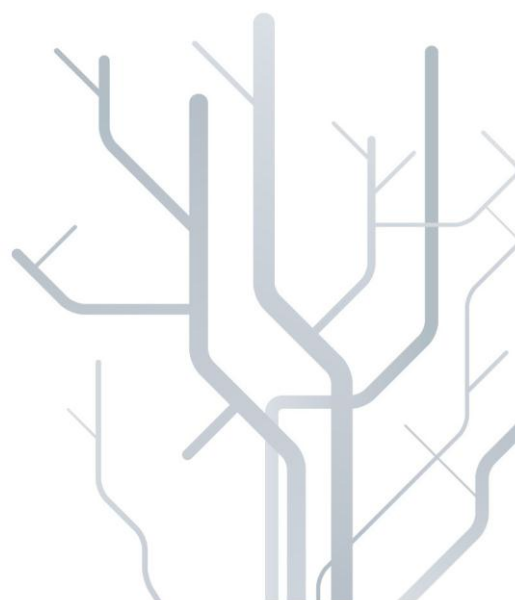
UNIVERSITY OF TROMSØ UiT

Faculty of Humanities, Social Sciences and Education

Guide for the PhD programme in Humanities and Social Sciences



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1) Introduction

This guide is designed to provide a summary of the different aspects of being a PhD student at the Faculty of Humanities, Social Sciences and Education (HSL-fak). It is aimed in particular at new admissions, but is also a good source of reference for all PhD students admitted to the PhD programme in Humanities and Social Sciences.

You will find information about many aspects of being a PhD student. However, we emphasise the importance of familiarising yourself with the regulations:

- 1) Regulations for the degree of Philosophiae Doctor (PhD) at the University of Tromsø
- 2) PhD programme in Humanities and Social Sciences – supplementary regulations
- 3) Programme description for the programme option to which you are admitted (14 programme options at HSL-fak).

Other sources of information are as follows:

- PhD Committee (responsible for the PhD programme at HSL-fak). The PhD students have one representative and one substitute on the PhD Committee.
- The Head of Department, Head of Office and academic supervisors at the department to which you are admitted
 - o Section for Research Services (which administers the PhD education)
 - o Office of the Faculty Director (which can among other things assist with questions of a HR nature)
 - o Section for Financial Services (which can among other things assist with travel and subsistence claim forms and the like)
 - o Section for Education Services (which among other things will produce your diploma)

When it comes to your rights and obligations as a PhD student, the **PhD Committee and Section for Research Services** are the most important bodies. The Section for Research Services and the PhD Committee both have their own websites, which you will find by visiting the faculty's website: <http://uit.no/hsl>

The Faculty of Humanities, Social Sciences and Education comprises seven departments and two centres:

- Department of Archaeology and Social Anthropology (IAS)
- Department of Philosophy (IFF)
- Department of History and Religious Studies (IHR)
- Department of Culture and Literature (IKL)
- Department of Education (ILP)
- Department of Sociology, Political Science and Community Planning (ISS)
- Department of Language and Linguistics (IS)
- Centre for Peace Study (CPS)
- Centre for Advanced Study in Theoretical Linguistics (CASTL)

The Faculty of Humanities, Social Sciences and Education also has two local graduate schools: the above-mentioned CASTL and the interdisciplinary graduate school CEPIN (Citizenship, Encounters and Place enactment In the North). As well as these two, various research groups are involved in national and Nordic graduate schools. You will find information about the various graduate schools on the faculty's website.

From an organisational perspective, all PhD students are attached to a department based on which programme option you are admitted to. This happens regardless of where you are employed (centre, other units at UiT or an external workplace) or which graduate school (local, national or Nordic) you belong to.

2) Being a PhD student

When you are admitted as a PhD student, you are included in a research community with the responsibilities and expectations that this entails. The aim is to provide an independent contribution to the research front in a field or subject area. You will need to complete an instruction component and to communicate findings and challenges with an academic group – and first and foremost with your appointed supervisors. You also have a more formal reporting obligation in the form of annual progress reports to the department and faculty.

Departments and faculties are obliged to make the conditions favourable so PhD students can make progress with their research projects and complete the necessary courses. However, the individual student has an independent responsibility to keep up to date with what is happening in the field and to participate actively in relevant activities. It is particularly important that PhD students create networks among themselves and keep informed about relevant people and groups within and outside the subject/department. This type of network is an important resource both for implementing your PhD project and also for ongoing research after completion of your PhD.

A PhD student is on the one hand a student who is subject to a programme of study and the applicable rules. As such the student is in an educational or training role and will not immediately attain the status of being an equal researcher in an established research community. This status must be acquired over time through effort in research work and participation in the training.

On the other hand a PhD student is also a colleague in a research community and someone who is expected to contribute to new research knowledge in a field. By being admitted to the PhD programme the student has also received an academic recognition for representing research-related expert knowledge in a field, even though to remains to “prove” that you can complete a project and achieve the new knowledge that is anticipated.

This is an ambiguous status that you need to live with as a PhD student and it is important to be conscious about this. In some situations it is your status as a student that will be in focus, e.g. in relation to questions about progress and how you complete the courses that are required in the instruction component. In other situations it is your status as a colleague that is the most important, e.g. when you present your findings and reasoning in an academic environment, at conferences or in the form of publications.

PhD students have extremely different links with their department and faculty. Some are employed in university PhD positions with 25 % required duties (four-year contract), while others are employed for a three-year period without required duties. In such cases the university is your employer and you are employed at a department/centre.

Some PhD students are employed outside the university, some with required duties and some without. These students may experience difficulties becoming integrated in the department's academic group. This means that various individuals/groups will experience extremely different challenges in the course of their PhD programme. This places a responsibility on the departments to integrate all their PhD students in the academic group/activities even though not all will have a continual presence. This is a challenge we are constantly working on as many of our students are employed at other institutions.

Various types of electronic web-based applications have been developed, which makes it easier to be a PhD student without your workplace at the faculty. For more information, please contact Orakelet – IT user support at UiT or visit their website: <http://orakel.uit.no>.

3) Regulations and admission

Regulations for the degree of Philosophiae Doctor (PhD) at the University of Tromsø and the supplementary regulations in the PhD programme in Humanities and Social Sciences with its 14 programme options regulate most matters related to the PhD programme. You will find the regulations, PhD programme and programme description on the website (search for PhD programmes at the Faculty of Humanities, Social Sciences and Education).

Applications for admission to the PhD programme should be submitted on the official application form. Among other places you will find the form on the Department of Research and Development's website: <http://uit.no/afu>. You must complete the entire form and it is important to attach the following documents:

- Project description (maximum 10 pages, see the PhD programme for more information)
- Diploma showing formal qualifications
- Confirmation of funding

Other enclosures may include a CV, confirmation of courses requiring approval within the programme's instruction component and documentation of other relevant education or work experience. Applicants from outside Scandinavia and who do not come from an English speaking country must document English skills equivalent to the Norwegian Higher Education Entrance Qualification. **All photocopies of diplomas/references must be stamped and certified by the photocopying office or a public office. REMEMBER that the applicant must always sign personally.**

Send your application to the following postal address:
Faculty of Humanities, Social Sciences and Education
University of Tromsø
9037 Tromsø

We have two application deadlines for external applicants: **April 1 and October 1**. PhD candidates (both university PhD positions and externally financed positions employed at UiT) shall submit a completed application form for admission to the PhD programme along with their application for the position. In other words, they will be admitted to the PhD programme at the time of their appointment.

Many applicants find it difficult to complete the "**Plan for the instruction component**" in the application form. We appreciate this and it is therefore all the more important to spend time on this section. We regard it as extremely positive if you complete the instruction component during the first one and a half years of the programme. Consequently, it is sensible even during the application process to investigate possibilities for relevant courses and conferences at the faculty and other educational institutions in Norway or abroad.

Applications received by the faculty are forwarded to the relevant department for expert assessment and a recommendation of supervisors. An expert assessment, undertaken by persons other than the intended supervisors, must be carried out in accordance with set criteria. The Department Board shall provide a recommendation on whether the applicant shall be admitted or not, as well as a recommendation of academic supervisors. The PhD Committee then makes the final decision and appoints the supervisors.

When the applicant is admitted to the PhD programme, he/she is sent a formal contract (2 or 3 parts) which shall be entered into:

- A) between the PhD student, the department and the faculty, and
 - B) between the PhD student, the supervisors and the department.
- External PhD students also receive contract C) between the faculty and the external employer (the student's employer)

It is the student's responsibility to sign these contracts and return them to the Section for Research Services at the faculty. The section has the following postal address:

Faculty of Humanities, Social Sciences and Education
Section for Research Services - TEO-H1,
University of Tromsø
9037 Tromsø

Financial requirements

In the application for admission, the applicant must include a plan outlining funding for the programme. These are the most common sources of funding:

1. PhD position at UiT. All vacant positions are announced on "Tavla" in Norwegian. Some positions are also announced on EURAXESS jobs, the European Commission's employment portal for researchers.
2. A grant from an external contributor, e.g. the student's employer, the Research Council of Norway or the EU

Regardless of your funding source, we require that a minimum 50 % of your work time each year is set aside for your PhD work. The nominal length of time for the PhD programme is three working years (the instruction component and the doctoral thesis).

Salary level/salary grade

PhD candidates (students who have received a normal PhD scholarship from the university, Research Council of Norway or others) normally receive a salary at State salary grade 1017, LR 20. Contact the Executive Officer for HR (Office of the Faculty Director) or the Head of Office at the department for questions relating to salary level. Salaries for assistant professors and employees at external research institutions are arranged with their employers and these can vary greatly.

Annum/ operating costs

With respect to operating costs for the project (expenses for data collection, field work, courses and other necessary travel), those employed in a PhD position will normally be allocated an amount annually from the institution that allocates the scholarship. The faculty and department also have limited funds which you may apply for.

Please contact the Head of Office at your department for more information.

Moving to/staying in Tromsø

PhD students who have gained a scholarship / position affiliated with the university will receive a letter containing various information including about a moving allowance, housing and the like. For more information, please contact the Office of the Faculty Director at the faculty administration.

For questions relating to housing, you may contact the Housing Office on phone +47 77 64 59 79. The Housing Office is part of the Department for Human Resources and Organisation in the university's central administration.

Absences due to sickness during your PhD period

If you are absent due to sickness, you shall deliver a medical certificate to your immediate manager (Head of Department/Head of Office). It is his/her responsibility to follow up those who

are absent due to sickness. External PhD students must arrange this with their employer. If you have to extend your admission period, please contact the Section for Research Services.

If you are sick for 14 days or more in succession, you have the right to extend your contract period. The PhD candidate must apply for this extension on the basis of his/her absence due to sickness. Send your application to your department. A new final date will then be worked out. Some PhD candidates may experience several periods of absence due to sickness during their contract period. If you know that this may be the case, it is sensible to wait before you submit your application to extend your contract period (but you must progressively submit your medical certificates to your immediate manager).

If you have a chronic ailment, are pregnant or have an illness that leads to frequent absences due to sickness, your faculty may apply to the Norwegian Labour and Welfare Service (NAV) for exemption from the employment period (the employer covers the initial 16 days of a period of absence due to sickness). It is up to you whether you want to convey this to your department or faculty. This has practical/economic benefits for the faculty/department as it is difficult to catch up with such circumstances. The department suffers a financial loss if we do not apply to NAV for a reimbursement.

Admission period and right to study

Students are admitted to the PhD programme for a set period, normally three or four years (admission period). If you do not complete your doctoral thesis within the admission period, you retain the right to study for a further two years (cf. Section 12 of the PhD regulations). If you have not completed your thesis when your right to study elapses (3 or 4 years + 2 years), you may apply for an extension of your right to study (cf. point 12 in the supplementary regulations in the PhD programme). Send such applications to the faculty outlining the grounds for the delay and a plan for completing the programme. The application must be signed by both the PhD student and his/her supervisor.

4) Instruction, courses and credits

The instruction component must be approved by the PhD Committee and **MUST** be approved before you may submit your doctoral thesis for assessment. You need to send a **letter** to the faculty asking for your entire instruction component to be approved (there is no form for this):

Faculty of Humanities, Social Sciences and Education
University of Tromsø
9037 Tromsø

In your application, you must outline which courses/conferences you want included in the various elements of the instruction component. If you have earned more credits than the required 30 credits, you must state which courses/conferences shall count towards your degree. This will appear on your diploma. If you have not provided details of this, you risk that the faculty must choose randomly which courses/conferences appear on your diploma.

The instruction component has a scope of 30 credits - collectively equivalent to one semester's work (1 credit for approximately 25 hours of work). **All students must thoroughly familiarise themselves with the programme description** for their programme option in order to gain an overview of the instruction requirements.

We recommend that you plan and complete the measures that are necessary to attain the 30 credits that comprise the instruction component as early as possible – preferably during the first one and a half years of the programme. The aim of the instruction component is to provide

training to assist you with your ongoing work with your doctoral project. We recommend that you discuss your choice of courses/conferences with your supervisors and/or academic group.

You will find information about the procedures for gaining approval for all or part of the instruction component in point 15 of the supplementary regulations, which is repeated here:

Approval of instruction component:

- An application for the approval of credits shall be sent to the faculty (Faculty of Humanities, Social Sciences and Education, University of Tromsø, 9037 Tromsø).
- An application should as a minimum contain approval of parts of the instruction component (theory, method, philosophy of science/ethics and/or dissemination), and preferably the entire instruction component.
- In instances where there is doubt about whether a course/conference may be approved, a separate application should be sent about the approval of the course/conference in question.
- The student must specify which course/conference he/she wants approved in the various elements of the instruction component.
- There should be no direct academic overlapping between courses and/or conference participation.

Required documentation in order to gain approval in the instruction component for PhD courses (which are fixed with credits):

- Local, national and international PhD courses which are arranged with credits (ECTS) are normally approved with the stipulated credit scope.
- Approved participation/paper/examination must be documented by transcript of records, certificate of conformity or equivalent.

Required documentation in order to have conference participation evaluated as credits:

- It shall be a scientific or academic conference, or in other words that the topic of the conference is scientific and that the speakers are scientists/scholars. The content of the conference must be relevant for the instruction element for which the credits shall be entered (theory, method, philosophy of science/ethics and/or dissemination)
- In order to gain 5 credits, the conference must last a minimum two days and the PhD student must have a presentation of a minimum 20 minutes. The student's presentation must be documented (in the form of a manuscript, PowerPoint presentation as a PDF file or equivalent)
- Participation in conferences of a shorter duration or participation without making a presentation will not be approved.
- Documentation of participation and presentation must be attached, to be checked against the delegate list and conference programme. The presentation must be attached in the form of a manuscript, PowerPoint presentation as a PDF file or equivalent.

How the approval occurs in practice:

- The Section for Research Services receives applications.
- Applications are forwarded to the student's departments and the Head of Department recommends whether the application should be approved or not.
- The Chairperson of the PhD Committee (Vice Dean, Research) receives the department's recommendation and approves the entire instruction component. The committee members are informed by being sent copies.
- When awarding credits, the academic supervisors(s) is disqualified as having a vested interest, but is expected to contribute necessary information.
- When necessary, applications may be presented to the PhD Committee for consideration.
- The Section for Research Services prepares a letter of reply to the student.
- Appeals are dealt with by the committee.

With respect to the last clause "How the approval occurs in practice", we would like to inform you about two different practices at the faculty. For PhD students affiliated with IS/IKL/CASTL, the

procedure is as outlined above with the first assessment at the department and then approval by the Vice Dean, Research. For PhD students at the other departments, the Chairperson of the PhD Committee, the Vice Dean, Research, receives the application directly and approves the instruction component, in collaboration with the department where this is required.

5) Academic supervision and doctoral thesis

Academic supervision

Many PhD students have already made more or less formal agreements about supervision, e.g. in connection with preparation of a project description for applications for grants and funding. However, the PhD Committee formally appoints supervisors at the time of considering the student's admission. The department is responsible for ensuring the appointed supervisors have the necessary competence in the project area and available supervisory capacity.

Consequently, all PhD students are assigned supervisors when they are admitted to the PhD programme. In the new updated supplementary regulations for the PhD programme at the Faculty of Humanities, Social Sciences and Education (approved by the Faculty Board on June 10, 2010), it has been adopted that each PhD student must have a minimum two supervisors, of which at least one must be employed at the department at which you are affiliated (point 16 of the supplementary regulations).

During the course of the PhD programme, PhD students are entitled to a **total of 240 hours of supervision**, including the time the supervisors require for preparation (e.g. to read chapter drafts etc.) This equates to 40 hours per semester over three years or 30 hours per semester over four years.

The faculty wants changing supervisors to be a simple matter. If the PhD student and/or supervisor feel that it is not functioning properly, that there is a requirement for other competence in the supervision or for other reasons want a change, this shall be a simple decision. Students may seek advice from the Head of Department/Deputy Head of Department/Head of Office/others at the department or from the Section for Research Services. The PhD Committee may then appoint a new supervisor.

The academic dialogue with the supervisors is a central element in the work with the doctoral thesis. This collaboration should commence as soon as the formal admission is in place. The supervisor's main task is to assist the student in the work with his/her doctoral thesis. However, this covers far more than reading through completed chapters and articles. The student's requirements will often be individual and varied. The supervisor may be regarded as an academic mentor who assists the student to establish an academic network, learn to be familiar with an international research environment and discuss work routines etc.

In the initial stages the supervision will often involve adapting the work plan for the project. It is also important to discuss the scope of the supervision. During this phase it is important that the student and supervisors become well acquainted with each other, such that a positive basis is established for the future collaboration. As the programme continues, discussions about the actual research process and results will steadily become more central. Most experience problems to some extent during the process, either of an academic or personal nature. If you have developed a mutual position of trust early on in the process, it will be easier to contact your supervisor also when problems arise. The supervisor is there not least to assist you during the periods you get stuck, so that you can solve the academic tangle in fellowship. However, if the problems are of a more personal nature, it can still be useful to contact your supervisor to discuss possible revisions in the work plan.

Towards the end of the programme, many experience a dilemma between on the one hand wanting to submit an outstanding result and on the other that the funding is about to end. Your supervisors can assist with assessments of where your doctoral thesis still requires improvements and when it is of a sufficiently high quality. **In the end it is always the student who has to make the final decision to put a stop to the work and to submit the doctoral thesis for assessment.**

It is normal that both the student and supervisors experience uncertainty about the submission and assessment of the thesis. "Will the thesis be approved?"

Even though your supervisor is the academic expert, he/she cannot provide any guarantee about the result even though he/she believes the work is so accomplished that it should be presented to a committee for assessment. The student and supervisors to some extent become "blind" from having been involved in the project for such a long time. The HSL faculty has department-based systems in which PhD students in the course of the PhD programme receive the offer of a midway evaluation and/or a final reader (other than your supervisors).

On admission the student and supervisors enter into a formal and mutually binding contract. The University of Tromsø has also drawn up ethical guidelines for supervision (these are also available on the UiT website):

Ethical guidelines for supervision at the University of Tromsø

Adopted on 13.4.2004 by the University Board (S 13-04 - DL 200305499-15).

Ethical guidelines for supervision at the University of Tromsø are to be enclosed with contract of supervision and contract of employment.

The supervisor is to ensure that the student/research fellow has good academic support in his/her work.

- The academic competence of the supervisor should be made available to the student/research fellow.
- The supervisor should follow the work of the student/research fellow, and keep updated on the progress.
- The supervisor should help the student/research fellow get in touch with other researchers and research groups with special competence in the relevant field.

Both the supervisor and the student/research fellow are to do their best to ensure a qualitatively good result.

- The supervisor should provide constructive, relevant and thorough feedback.
- The supervisor should, at an early stage, notice and act if a project seems unrealisable, or if there are signs that the student/research fellow will have problems completing it.
- The student/research fellow must be prepared to completely invest the time and effort required by the project.
- The student/research fellow must be open and susceptible to suggestions from the supervisor.
- The student/research fellow must give the supervisor complete access to information about the work and its progress, and accept advice from the supervisor at an early stage if problems arise.

The supervisor and the student/research fellow have a mutual responsibility for the supervision to take place in an acceptable way.

- The supervisor is to give the cooperation with the student/research fellow the priority agreed to when accepting the responsibilities of a supervisor.

- The supervisor is to keep regular contact with the student/research fellow according to the agreement between the two parties.
- The supervisor should read all texts submitted by the student/research fellow as soon as possible.
- If the supervisor is unable to read a text immediately, the student/research fellow must be informed of this, and receive information about when the text will be read.
- The supervisor must be well prepared for conferencing with the student/research fellow.
- The supervisor must keep to the agreed times for supervision, and make sure that the conference is undisturbed (turn telephone off etc.).
- It is the supervisor's responsibility to provide satisfactory academic support and supervision for the student/research fellow in the supervisor's absence (during sabbaticals etc).
- The student/research fellow is to keep in regular contact as agreed between the two parties.
- The student/research fellow must, to the extent possible, keep all deadlines and complete all tasks as agreed.
- The student/research fellow must submit texts for reading within a reasonable time before conferencing.
- The student/research fellow must be well prepared for conferencing with the supervisor.

It is the responsibility of the supervisor to impart the basic ethical rules of research relevant to the field.

- If the supervisor wishes to use the student's/research fellow's data or research results in his/her own publications or research, he/she must get permission from the student/research fellow and follow the rules of conduct for reference and credit to the contribution of other people's work.

Both parties must respect the academic and personal integrity of the other party, and refrain from any action or statement that can be perceived as offensive.

- The supervisor has the main responsibility for ensuring that supervision takes place in an objective and professional manner, and should be aware of the authority the role of supervisor entails.
- The supervisor should refrain from all comments about the student/research fellow personally, physically or related to gender. The student/research fellow should show the same respect for the supervisor as a person.
- The supervisor must not use his/her position of authority to take advantage of the student/research fellow in any way, or to achieve private favours or services.

Personal and confidential information imparted in connection with supervision must be treated confidentially by both parties.

- The supervisor should avoid discussing internal, collegial matters with the student/research fellow.
- The supervisor should not discuss the student's/research fellow's affairs with other students/research fellows. The student/research fellow should show the same consideration towards the supervisor.

Private relations which are incompatible with the academic relationship should not occur.

- It is the supervisor's responsibility to ensure that the necessary professional distance is kept, and to avoid situations that can lead to it being disturbed.
- The supervisor and the student/research fellow must not be related, romantically involved, or have common private economic interests.
- If a romantic relationship should arise, the heads of the institute or department must be notified, and the supervision contract be terminated.
- If the supervisor and the student/research fellow are friends, both parties must be aware of the importance of clear boundaries between the professional and the private spheres.

- The supervisor must not accept any form of payment for the supervision apart from what is agreed with the university.

The supervisor and the student/research fellow have a mutual responsibility for solving conflicts.

- Both parties should be able to address problems in the professional relationship or related to the progress of the work, and make an effort to contribute to a constructive solution.
- If a conflict between the supervisor and the student/research fellow has arisen which the two parties cannot solve on their own, an independent third party is to be involved as a mediator. This position can be filled by different persons - head of institute, research coordinator, vice-dean or dean - in different departments.
- If the supervisor and the student/research fellow find it necessary to terminate the supervision, it is the faculty's responsibility to handle the change of supervisor in an orderly and satisfactory manner.

Doctoral thesis

A PhD programme comprises many important processes attached to courses, other training, teaching and that of working your way into a research faculty and acquiring your own network. However, work on the doctoral thesis remains the core of the PhD project and shall be in focus right from the start. The other elements of the programme, such as the instruction component, are designed as an aid with the research process and the work with the thesis. The fact that the focus is on the doctoral thesis is important with respect to both formal and real considerations. It is through the submission, assessment and defence of your doctoral thesis that your doctorate is awarded. For the individual researcher, the doctoral thesis is important because the insight that is attained through this work sets the conditions for how you will later work and think as a researcher. A doctoral thesis is also a major research work of significance for your wider career.

Requirements for the doctoral thesis

The PhD is the highest examination which may be attained at a Norwegian university and consequently there are strict requirements in order to pass.

The doctoral thesis shall be an independent piece of academic research of a high academic level which meets international standards in the discipline within which it is written, with respect to the formulation of research questions, precise conceptual definition, methodical, theoretical and empirical basis, documentation and style.

The doctoral thesis may be a detached piece of research or a continuation of a Master's thesis or equivalent. The doctoral thesis may also be a continuation of another piece of scientific work carried out earlier in association with other examinations.

The doctoral thesis can either be a monograph or a collection of several smaller research papers (an article-based thesis).

(Point 19 in the supplementary regulations for the PhD programme in Humanities and Social Sciences; cf. Section 19 of the Regulations for the degree of Philosophiae Doctor (PhD))

This objective emphasises the central requirements placed on doctoral theses and it underscores that PhD projects shall have high ambitions. But what does it mean in concrete terms that the doctoral thesis shall contribute to the development of new knowledge and that it shall achieve a level meriting publication in scientific literature in the field?

The requirement about contributing to the development of new knowledge is an ambitious objective. One way to grasp this is that a doctoral thesis shall push back the frontier of research. This implies that the PhD student must actively relate to other literature and the research of others, and place their own project in relation to a research agenda. This applies right from the

project description, but the thesis should contain even clearer arguments about what makes the project original.

The requirement to push back the frontier of research applies not only to the approach and formulation of research questions, but is also displayed methodically and through use of scientific literature. From a methodical perspective, you shall appear well-acquainted with existing approaches or techniques and state the reasons for both the design and choice of technique based on what is the existing research front.

At other academic levels it is possible to rely on secondary literature in the presentation of relevant theories and scientific literature. However, in a doctoral thesis you should document familiarity with the scientific literature by using primary sources, by accounting for the scientific debate linked to the literature and by undertaking your own interpretations.

Consequently, it is the academic quality that places a doctoral thesis in the research front. This may also be expressed by publication, e.g. that empirical results or theoretical reasoning from the doctoral thesis may be published in the form of articles or briefer contributions in journals/anthologies.

Monograph or article-based thesis?

The doctoral thesis can either be a monograph or a collection of several smaller research papers (an article-based thesis). It is important that you consider these options at the start of the project period. Also consider whether it is relevant to have supervisor(s) as co-author. If so, this should be clarified at the earliest possible opportunity.

The best way of gaining an insight into the requirements of a doctoral thesis are to read doctoral theses within your own and adjacent fields or subject areas.

Point 19 of the supplementary regulations for the PhD programme in Humanities and Social Sciences outlines specific requirements for doctoral theses.

Collectively, one can say the following:

- A monograph shall not normally exceed 300 pages in length.
- An article-based thesis shall normally comprise three articles of normal length and a summary that documents the connection in the thesis as a whole. In other words, you can say there should be at least three articles unless scientific content or other circumstances say otherwise.
- The inclusion of co-authored articles can form the basis for extending the number of articles.
- A declaration from the co-authors must be attached to co-authored articles. This declaration shall contribute towards identifying and documenting the student's individual input into the article. You can download a form which shall be used for this purpose from the faculty's website. If you cannot find this form, please contact the Section for Research Services.
- All publications that form part of the doctoral thesis shall follow the rules for research ethics and conventions for quality assurance of research.
- If the thesis contains previously published articles, this summary should also contain any necessary updates so that the thesis as a whole emerges as academically up-to-date.
- The length of such summaries should normally be between 40 and 60 pages.

The doctoral thesis shall follow rules for research ethics and conventions for quality assurance of research. For co-authored articles, the criteria of the Vancouver Protocol shall normally form the basis. You should acquaint yourself with the Vancouver Protocol. See the information on the website of the National Committees for Research Ethics (www.etikkom.no). If there are departures from the criteria of the Vancouver Protocol, the reasons for this must be outlined in the declaration of co-authorship.

About the Vancouver Protocol in brief:

In 1978 several editors of medical journals met in Vancouver. The result of this meeting forms the guidelines for manuscripts submitted for publishing. This is also used in other subject areas. Even though these rules do not have any formal or legal status, the criteria of the Vancouver Protocol have great authoritative power within research environments.

The Vancouver Protocol states three important criteria for authorship. All three criteria shall be fulfilled.

- 1) You should have made a significant contribution to the conception and design of the project or participated in the data collection or in the analysis and interpretation of the data
- 2) You should have made a significant contribution when the manuscript was drafted or revised
- 3) You shall be involved in approving the final version to be submitted for publication

Contributors who do not satisfy these criteria shall be listed in the footnote.

6) Submission, assessment and disputation

Submission

It is up to the student himself/herself to decide when to submit his/her doctoral thesis. The supervisors may not be held responsible for the content and the result.

The faculty receives submission of doctoral theses year-round. The University of Tromsø has an electronic submission portal for all Master's and Doctoral theses, "Munin":

Munin is the university's repository for scientific and research-related material. The university offers all students the possibility of publishing their doctoral thesis in full or in part in this open research archive.

All doctoral theses at the faculty shall be submitted via this portal regardless of whether you want your thesis to be published in this archive. The URL for the submission page, which is available in both Norwegian and English, is: www.ub.uit.no/munin/. There is also information on the faculty's website about the PhD programme.

There is no submission deadline for doctoral theses. You may submit your thesis when you choose, but the working hours for support staff is 8am-3.45pm (summer hours 8am-3pm). However, you may save your submission at any stage and complete the process at a later stage. It will not be registered until you complete the submission process. You submit your actual doctoral thesis by uploading a PDF file(s), and completing an electronic form. When the submission has been registered, it is regarded as an application to be assessed for a PhD and the administrative procedure takes its course. Once you have submitted your doctoral thesis, you may not withdraw it until a final decision has been made on whether it is found worthy of public defence. You will find more information about this below.

Five copies of the submitted doctoral thesis will be printed by the faculty's print shop. These copies will be sent to the members of the Assessment Committee and used at the faculty. You will find more information about printing on the next page.

Publishing of doctoral thesis in Munin

The purpose of the university's digital research archive is to enhance the accessibility of quality assessed research work through open and free publication on the internet. Your doctoral thesis is stored in Munin and you and others may access it in the future via a permanent website address. This makes it extremely easy for you to refer to your doctoral thesis in applications and references.

You may search for and easily find the content in Munin locally, nationally and internationally. The University Library of Tromsø (UB) takes care of this through collaboration with archives and other institutions. Your thesis will also be registered as an electronic document in the library database BIBSYS.

Your doctoral thesis must be part of a PhD taken at the University of Tromsø. Your thesis must not contain any material that breaches any declarations of confidentiality you have entered into, considerations relating to protection of personal information or copyright. If your thesis is going to be made accessible in Munin, you also need to obtain permission to use illustrations and other material to which others have copyright. For article-based theses, as mentioned previously, you require a declaration from any co-authors.

When you submit your thesis in the submission portal, you will receive some questions about publishing your thesis in full or in part, whether you have permission, and a field for an abstract. The Munin group at UB which administers this will contact you if they require further information. If your thesis comprises published material in full or in part, the Munin group will, in collaboration with you, check what restrictions if any the publisher has against making the thesis accessible in Munin.

Your doctoral thesis will not be available in Munin until it has been approved by the Assessment Committee.

Contact details: If you have any questions about the procedure, guidelines or other matters relating to publishing your thesis in Munin, please contact the Munin group at the University Library of Tromsø: Leif Longva (+47 77 64 62 55) or Jan Erik Frantsvåg (+47 77 64 49 50). E-mail: munin@ub.uit.no.

Appointment of Assessment Committee

Prior to submitting a doctoral thesis, a student may discuss possible committee members with his/her supervisors. However, it is not a good practice for a student to contact a committee member once they have submitted their thesis.

The Assessment Committee is appointed by the PhD Committee based on a proposal from the student's department.

The composition of the committee shall be such that: (cf. Section 27 of the PhD regulations)

- both genders are represented, to the extent possible
- at least one of the members has no association with the university
- at least one of the members is from a overseas institution, to the extent possible
- all members hold doctoral degrees or the equivalent
- at least one of the members must be a Professor or Associate Professor

The Assessment Committee must comprise a minimum three members. Appointed supervisors may not be members of the Assessment Committee.

The PhD student will be notified of the composition of the Assessment Committee by receiving a copy of a letter that is sent along with the thesis to the Assessment Committee.

Schedule

The disputation shall, to the extent possible, be held within four months of the date you submitted your thesis for assessment. This excludes any holidays. If this is going to be possible to achieve in practice, you as a student should agree the timing of the submission with your

supervisors/department so there is sufficient time for the task of putting together an Assessment Committee.

The committee's report should be available within three months of receiving the thesis, unless otherwise determined by the faculty. This excludes any holidays.

A minimum of four weeks should elapse from the time the faculty receives the committee's report until the date of the disputation. This is owing to administrative procedures following the assessment and practical arrangements concerning the disputation.

Printing of the doctoral thesis

The graphic design services at the HSL faculty prints 60 copies of your thesis at the faculty's expense. Eight of these copies are sent to the University Library of Tromsø and the remaining copies are presented during the trial lecture and disputation. You may not reserve any of these 60 copies for your own use. You may order extra copies of your thesis from the graphic design services at HSL faculty at your own expense. A thesis of 250 pages will cost around NOK 100 per copy at today's prices (November 2010). Colour printing is charged separately in accordance with the current prices.

About colour printing:

Colour printing is available on a limited scale. Any photos and illustrations where colour is important for understanding/portrayal of the scientific content will be printed in colour. The PhD candidate must outline which pages he/she wishes to have printed in colour when submitting the thesis in Munin (in the comments section of the electronic form).

Consequently, headings and the like will not be printed in colour! A tip for this is to turn off the automatic function for this in the latest versions of Word.

The thesis should be submitted as a PDF file edited for double-sided printing. The cover must be supplied as a separate file. The thesis submitted for assessment should be in A4 format. For approved theses, there are two alternatives: A4 or a reduced, smaller format of 17 x 24 cm. If you want 17 x 24 cm as the final version, you should use a 13-point size, as in practice this gives a 12-point size in the final printed version. (17x24 is scaled down by about 20 % from the original A4 version.) We recommend margins of 25 mm on each page.

You will find more information about printing, including a template for the cover, on the webpage of the graphic design services. You need to contact the print shop about printing of your thesis. Refer to corrections which may be made in a thesis after submission (see next paragraph).

For questions relating to printing, please contact Leif Martinsen and Torje Jenssen at faculty's graphic design services by e-mail trykkeriet@hsl.uit.no or phone +47 77 64 43 01. You will find them on the 3rd floor in House 1 of the Non-experimental Sciences Building (Teorifagbygget).

Corrections which may be made in the submitted thesis

A submitted doctoral thesis may not be withdrawn until a final decision has been made on whether it is found worthy of public defence. However, you may correct technical errors after submission. In such circumstances, the candidate must submit a summary of all the corrections which have been made no later than one month before the disputation. This shall be sent to the Section for Research Services.

What does the term "correction of technical errors" mean?

On April 29, 1999, the following standard was set: There is an opportunity to correct errors in references, names, dates, numbers in tables and the like. It is not necessary to state on the list which words have been corrected, but instead refer to which pages on which corrections have been made.

Assessment Committee report

The committee issues a written report (assessment) to the faculty, which is rapidly conveyed to the candidate. The length of the report varies considerably within and between subjects, from a minimum of a couple of pages. The length of the report does not in itself indicate anything about the conclusion or whether it was particularly difficult assessments. As so many different people from different places and with different traditions participate in the committees and write their contributions in a combined report, the variations in length are great.

It is the norm that on the one hand the report shall outline the strong points of the thesis and its contribution to the research front in a subject or field. On the other hand the report shall express (main features) of the committee's criticism of and objections to the thesis. This may apply to theoretical, methodical and empirical aspects. The report shall then end with a conclusion. The following are the three main variants:

- 1) It is concluded that the doctoral thesis is found worthy of public defence.
- 2) It is concluded that the doctoral thesis is not ready for approval in its current form, but that the committee finds it sufficiently good enough that within the space of six month it may be reworked with a view to being resubmitted.
- 3) The committee does not approve the doctoral thesis, but recommends that it may be submitted after reworking. In such circumstances, a minimum six months must elapse before the thesis may be re-submitted.

Whether the thesis is defined under the above-mentioned point 2) or 3) is of major consequence for the ongoing procedure in the case.

About point 2): The Faculty Board makes the final decision about whether Section 3 (clause 3) of the PhD regulation shall be made use of. In other words, that they agree with the committee's recommendation that the student may re-submit his/her thesis in a re-worked form within six months. The Faculty Board will then set an exact submission deadline. Such a submission will not be regarded as "not approved" but as a part of the initial submission. The re-worked thesis is then sent back to the committee that assessed the thesis in the first place.

It is recommended that you prepare an attachment (approximately one page) outlining (the main points in) the changes that have been undertaken in light of the original committee report.

If you do not meet the submission deadline, the initial submission will be regarded as concluded – with "not approved" as the final conclusion. The thesis may in such cases not be resubmitted until six months have elapsed. Point 2 only applies during the initial submission.

About point 3): If your thesis has not been approved, you may not re-submit it until six months have elapsed (cf. Section 34). The Faculty Board often determines the earliest date such a re-submission may occur. When the thesis is submitted a second time, a new Assessment Committee shall be appointed.

If your thesis is not approved on the second submission either, you do not have the possibility of submitting yet another reworked version for assessment (cf. Section 34).

In the case of a negative assessment, the candidate receives a two-week deadline to submit any notes about the committee's report. Any such notes shall be sent to the Section for Research

Services which will forward them to the committee. The matter then goes to the faculty, cf. information above.

It is not uncommon that a doctoral thesis is not approved. This does not mean that “all hope is lost” even though it is a difficult message to receive. The committee’s critical feedback provides guidelines to the student’s reworking of the thesis for later submission. If your thesis is not approved in one of the two above-mentioned variants, it is important you have a detailed conversation with your supervisor(s) to plan the future work with a view to submission.

Trial lecture and disputation (points 35 and 36 in the supplementary regulations for the PhD programme)

In the event of positive assessment, the candidate has a one-week deadline to submit any notes about the committee’s report. Any such notes shall be sent to the Section for Research Services which will forward them to the committee. The matter is then approved by the faculty (in practice this is done by the Faculty Board).

The committee’s assessments (both strengths and weaknesses) may form the basis for discussion during the disputation.

The Assessment Committee receives a letter stating that the thesis has been approved by the faculty, and the candidate receives a copy of this letter along with a list of his/her obligations in the lead up to the disputation.

This is administered by the Section for Research Services. The practical arrangements for the disputation will be handled by the department administration.

The trial lecture and disputation are normally held on the same day, and the faculty only departs from when special grounds exist.

The committee decides the **title/topic of the trial lecture**. It is common that the committee chooses a topic to examine something that is not (thoroughly) dealt with in the thesis, but which has a certain link with its problematics. This may apply to theory, methodology/method and empirical content.

The candidate must provide the title no less than 10 working days prior to the date of the trial lecture. Unless otherwise arranged with you, you will receive the trial lecture text by contacting the faculty’s main reception (always attended during opening hours). Phone: +47 77 64 30 00, office number D-1010 at Breivika III.

It is not natural for a candidate and the committee to have contact prior to the trial lecture and disputation.

You may discuss the approach to and interpretation of this with your supervisors. It is up to the candidate to interpret the title of the trial lecture and choose his/her own approach based on the scope for interpretation the title allows. In exceptional circumstances, if you are particularly uncertain about something, you may ask the chairperson of the committee if there is something in particular the committee is looking for you to discuss. The candidate shall not use time during the trial lecture to present/repeat findings/reasoning from his/her thesis. You shall do this at the start of the disputation (cf. Section 36 of the PhD regulations and point 36 of the supplementary regulations in the PhD programme).

Dress for trial lecture and disputation: well dressed.

The Head of Department shall lead disputations at his/her department. If the Head of Department is unable to attend, he/she delegates this to a Senior Researcher at the department. The Department administration has a contact person for carrying out disputations, and this contact person is available and will assist you with practical arrangements.

Disputation procession: The person leading the disputation leads the procession into the auditorium after all the guests are seated. He/she is followed by the doctoral candidate, the first opponent, second opponent and the third opponent/committee chairperson. Everyone is expected to stand when the procession enters the auditorium, so it is a good idea to advise your friends and family about this in advance.

When the procession enters the auditorium, the doctoral candidate and the committee sit in reserved places while the person leading the disputation gives a brief introduction of the procedure to date, including the submission and assessment of the doctoral thesis and the trial lecture.

The doctoral candidate then explains the objective and the findings of the scientific research. The doctoral candidate's presentation shall have a scope of approximately 15 minutes (cf. point 36 of the supplementary regulations).

The person leading the disputation shows the doctoral candidate and opponents to their places during the disputation. During the disputation the opponent and doctoral candidate normally stand half facing each other. The person leading the disputation is normally placed in the background between them.

The first ordinary opposing speaker then commences the discussion, the length of which should be no more than 90 minutes (cf. point 36 of the supplementary regulations). The second opposing speaker then concludes the disputation. The length of this discussion should be no more than one hour (cf. point 36 of the supplementary regulations).

With respect to content, the two opponents will have agreed in advance who raises what during the disputation. The committee report may provide suggestions of relevant themes for the disputation.

Members of the audience who wish to pose questions during the disputation *ex auditorio* must notify the leader of the disputation. This must occur within a designated time stipulated and announced by the person leading the disputation during his/her introduction.

The faculty pays for lunch for the person leading the disputation, the assessment committee, supervisors, doctoral candidate and, if desired, his/her closest family. The department administration handles the practical arrangements of the disputation and you will receive information/invitations in advance from the contact person.

Doctoral dinner

The dinner the doctoral candidate hosts for invited guests is not mandatory, but is a common conclusion to the formalities. It has become less formal over the years. For those wishing to maintain this form, we can provide the following information: The person leading the disputation should be invited along with the members of the committee. Unless the rector or another person of higher rank is in attendance, the speeches are commenced by the person who led the disputation. This is followed by the third opponent (committee chairperson) who holds his/her traditional speech. If another member of the department management (other than the person leading the disputation) is represented, he/she should speak next, followed by the supervisors. Other speakers may then follow.

7. Relevant information

All relevant information associated with the PhD programme at the HSL faculty is published on the faculty's website: www.uit.no/hsl. See for instance PhD programme under the image in the middle (marked research) on the faculty's website and/or choose "Research" in the left-hand menu.

Examples include the following:

- Regulations for the degree of Philosophiae Doctor (PhD) at the University of Tromsø
- PhD programme in Humanities and Social Sciences - supplementary regulations
- Programme descriptions for the 14 programme options:
 - Archaeology
 - Document science
 - Philosophy
 - History
 - Art science
 - Literature and culture
 - Education
 - Tourism
 - Religious studies
 - Planning and Local Community Research
 - Social anthropology
 - Sociology
 - Linguistics
 - Political Science

Graphic design services at the HSL faculty

Contact the Head of Office at your department for information about the PhD candidate's required duties.

The Department of Research and Development has other useful research information. Visit www.uit.no/afu for information about topics including:

- Research ethics
- Protection of personal information and research
- Internationalisation
- Ethical guidelines for supervision at UiT