

This is an English translation of *Fællesregler for ph.d.-uddannelsen ved Roskilde Universitet*. In the event of a discrepancy between the translation and the Danish version, the Danish version takes precedence.

## **Joint Regulations for the PhD Programme at Roskilde University**

### **Preface**

These joint regulations for the PhD programme at Roskilde University (RUC) are prepared on the basis of the PhD Order, the University Act and the regulations of Roskilde University. The Act, the Order, and RUC's regulations shall prevail over the joint regulations.

The joint regulations describe the legal basis for the PhD programme, determine supplementary internal rules regarding PhD education at Roskilde University (cf. Section 25 of the PhD Order) and the common standards applying to the planning of the PhD programme at Roskilde University. The joint regulations apply to anyone enrolled as a PhD fellow at Roskilde University, regardless of how the project is financed. In addition to the joint regulations, each doctoral school also has guidelines and rules which apply to PhD fellows enrolled in the doctoral school in question.

The joint regulations relate to provisions regarding admission, enrolment, supervision, structure, contents, follow-up and completion of the PhD education. Rules regarding conditions of employment for PhD fellows can be found in Roskilde University's personnel policies and in the collective agreement for University graduates in the state sector.

RUC's departments handle leadership and support of the doctoral schools. Any questions related to PhD education should be directed to the doctoral school, which will take care of the matter and, if relevant, involve relevant parties within RUC Administration.

### **Purpose of the PhD education**

The PhD programme is the highest research-based education in a given field of study. It should therefore provide the PhD fellow with such familiarity with research methods and theory formulations related to the field so that the PhD fellow is able to independently and critically apply and contribute to the development of the methods and theories of the field, thereby creating new knowledge related to the field. In this context, both range and depth are considered, as is the place of the field in a wider context. Formally and specifically, the PhD fellow must, within a delineated area, contribute with independent research and a PhD dissertation at a high academic level. The purpose of the PhD education is to provide the PhD fellow with the qualifications essential to take up positions that require research qualifications. This particularly relates to positions as scientific faculty at the university level, positions in the public or private sector and in Danish and international organisations which require particularly advanced academic qualifications.

## **1 Organisation of the PhD programme at Roskilde University**

RUC has established four departments with four associated doctoral schools that manage the PhD programme. Each doctoral school hosts a number of professional environments which constitute the research context for the PhD fellow. Some of the doctoral schools at RUC have chosen to establish specific PhD study programmes which correspond to the research environments represented in the department.

For each doctoral school, Rector shall appoint a head of the doctoral school. The head of the doctoral school is responsible for the doctoral school's operation and finances (in collaboration with the department management), its foundation of rules, the quality of the PhD programme and the evaluation hereof and the planning of any collaboration between PhD study programmes.

In order to secure common coordination between the doctoral schools, a cross-departmental unit has been established which, on behalf of the Rector, handles the overarching coordination, quality assurance and marketing of the university's PhD programme (Section 40 of RUC's statutes). The name of the unit is Roskilde Doctoral Schools (RDS). RDS is managed by a steering committee with representation from all the doctoral schools. The chairman of RDS is Pro-rector or another person appointed by Rector.

### **Doctoral school executive committees**

According to RUC's statutes, each doctoral school is required to establish a doctoral school executive committee.

The heads of the doctoral schools are supported in their work by the doctoral school executive committees. The doctoral school executive committees has parity between scientific faculty and PhD fellows and consists of members elected by and among permanently employed scientific faculty and PhD fellows enrolled in each department. The doctoral school executive committees elects a chairman among the committee members, who are permanent scientific faculty.

The doctoral school executive committees shall, among other things, handle the following tasks:

- Approve PhD courses;
- Prepare proposals for the head of the doctoral school regarding internal guidelines for the doctoral school;
- Submit statements to the head of the doctoral school regarding evaluation of the PhD programme and PhD supervision;
- Discuss and submit statements regarding other issues of importance to the PhD programme and PhD supervision presented to the committee by Rector or by the head the doctoral school to whom Rector may divest authority to act on Rector's behalf.

## **2 Admission to the PhD programme**

### **2.1 Qualifications**

As a general rule, admission to the PhD programme requires a Master's degree or equivalent qualifications, cf. the Danish qualifications framework for higher education<sup>1</sup>. Under special circumstances, the doctoral school may choose to enrol PhD fellows prior to acquiring their Master's degree (cf. section 3.4).

Enrolment as a PhD fellow requires that the candidate is able to demonstrate sufficient academic qualifications, both in terms of study-related skills as expressed in relevant grades at Master's level and in direct professional qualifications relating to the specific project. The doctoral school is responsible for ensuring that all qualifications are documented and that there is a written academic evaluation of all PhD fellows admitted.

When applying for admission to the doctoral school, applicants should as a minimum enclose certificates for their qualifying examination(s), a CV, a project outline and work plan for the entire period of enrolment. The doctoral school may determine rules for additional documentation that must be included with the application for admission in to the doctoral school, as well as for the assessment of this, if special academic factors which are of relevance to the doctoral school apply.

## **3 The structure of the PhD programme**

### **3.1 Scope of the PhD programme**

The PhD programme is equivalent to 180 ECTS points, or three years of full-time studies. However, the enrolment ends upon submission of the PhD dissertation. Assessment of the PhD dissertation is therefore not included in the three years.

The doctoral school executive committee may approve that the PhD programme has a shorter duration for fellows who can document that they have obtained equivalent qualifications by other means (credit transfer).

The head of the doctoral school may approve an extension of the fellow's enrolment beyond the standard enrolment period. This can only occur on the basis of a motivated application from the fellow which is supported by the main supervisor. The application for extension must be submitted before the ordinary enrolment period expires. The doctoral school is responsible for notifying potential external employers in the case of an extension.

### **3.2 Part-time enrolment**

According to the PhD Order, the PhD programme is a full-time programme. Applications for part-time enrolment or transfer from full-time to part-time studies can therefore only be accommodated under special circumstances. Part-time enrolment cannot exceed 6 years, i.e. half-time enrolment for the standard duration. The PhD plan must reflect the overall programme.

### **3.3 Leave of absence**

PhD fellows may apply for a leave of absence and thereby obtain a new end date for the enrolment. Leave of absence may be applied for on the basis of academic or personal reasons. The head of

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<sup>1</sup> [https://ufm.dk/en/education/recognition-and-transparency/transparency-tools/qualifications-frameworks/other-qualifications-frameworks/danish-qf-for-higher-education?set\\_language=en&cl=en](https://ufm.dk/en/education/recognition-and-transparency/transparency-tools/qualifications-frameworks/other-qualifications-frameworks/danish-qf-for-higher-education?set_language=en&cl=en)

the doctoral school approves the leave of absence. In co-financed agreements, the leave of absence must be agreed upon with an external employer where relevant.

Statutory leave of absence (e.g., maternity and sick leave) is handled by the department and must be communicated to the doctoral school.

Other types of leave of absence must always be approved in advance by the head of the doctoral school. The doctoral school is responsible for notifying a potential employer about any leaves of absence.

### 3.4 Enrolment in parallel with a Master's programme (4+4 scheme)

Under special circumstances, Roskilde University may offer a PhD programme as an integrated part of a Master's programme.

The integrated programme is intended for fellows who show exceptional research potential.

It requires that the PhD fellow has completed a relevant Bachelor's programme and passed 60 ECTS points of a relevant Master's programme which is a part of or can be transferred to one of RUC's Master's programme or alternatively have passed relevant subjects equal to 240 ECTS points prior to enrolment. For the first two years, the PhD fellow will be concurrently enrolled as a Master's student and will receive the Master's Degree at the end of their second year on a RUC Master's programme. For the remaining two years, the student will be enrolled as a PhD fellow.

The doctoral school will determine further rules governing the intake and progress of the integrated programmes where there are academically justified grounds of particular importance to the doctoral school.

### 3.5 Double enrolment

Roskilde University may award PhD degrees in collaboration with an university abroad. In cases where the fellow is enrolled in several universities at the same time, there must be a mutually binding collaboration agreement (a double degree agreement), to be negotiated, approved, and agreed on at department level, prior to the enrolment.

The principles of a double degree agreement (also called a cotutelle agreement) is that two universities enter into an agreement regarding joint supervision of a PhD fellow with the ambition of issuing a PhD degree from the two collaborating universities based on a joint PhD dissertation (a so-called joint programme with the purpose of a double degree). The PhD programme must satisfy the national and local rules of both universities and there is, generally speaking, no financial obligation between the parties. In case of disagreements or issues arising during the programme, one university may elect to award the PhD degree even if the other university does not intend to do so.

As a general rule, the PhD fellow is expected to share their time equally between the two universities (18 months at RUC and 18 months at the foreign university). RUC is obligated to cover the costs associated with the employment at RUC.

When concluding a mutually obliging collaboration agreement on a PhD programme, the institution may derogate the PhD Order's requirements related to (cf. section 26 of the PhD Order):

- 1) The composition of the assessment committee, cf. section 16(1) para. 1 and 16(2) para. 2.

- 2) The deadline for the preliminary assessment of the PhD dissertation, cf. section 18(1) para. 1 & 2.
- 3) The deadline for scheduling the defence of the PhD dissertation, cf. section 20(2).

*RUC recommends the pursuit of the greatest possible adherence to the provisions of the PhD Order in relation to the issues mentioned. In certain instances, however, it can be accepted to waive the rules of the PhD order with reference to the guidelines below.*

*Regarding 1) Exemption can be requested regarding the approval authorisation which, cf. para. 8.4 of these rules, prescribes that Pro-rector approves the formation of the assessment committee. Additionally, the assessment committee can consist of five (5) members, of which each university is represented by one member and three are external.*

*Regarding 2) The deadline for submitting the preliminary assessment can be adjusted so that it is acceptable to both universities. The deadline should always, however, be within reasonable boundaries and not be a nuisance to the PhD fellow.*

*Regarding 3) The deadline for determining a date for the defence can be adjusted so that it is acceptable to both universities. The deadline should always, however, be within reasonable boundaries and, as far as possible, not be a nuisance to the PhD fellow.*

Further guidelines regarding the conclusion of double degree agreements are described in a separate document.

#### **4 Contents of the PhD programme**

In accordance with the PhD Order, a research and education plan (the PhD plan) must be prepared in connection with the PhD education for each individual PhD fellow. The PhD plan must initially be approved within three months of the commencement of the PhD programme (further information regarding this in section 5).

##### **4.1 PhD courses**

PhD courses are at a higher academic level than graduate level. The courses are quality assured by the doctoral school and satisfy the requirement for courses of highest international quality. The courses offered by RUC shall be included in the course overview for each doctoral school in RUC's course database.

PhD courses are offered under the auspices of each doctoral school, but can also be offered in collaboration with other doctoral schools. RDS also offers PhD courses and other PhD programme related activities. These will also be included in RUC's course database.

The individual plan for courses is compiled by the PhD fellow in consultation with their supervisor(s). The main supervisor approves all courses and ensures that compilation of courses satisfy the requirements of the PhD Order. The main supervisor is also responsible for ensuring that the courses selected are of a sufficient academic range and depth, are relevant for the PhD education and are of a suitable academic level as determined by the doctoral school executive committee at the doctoral school in question. Some doctoral schools may have requirements regarding specific, mandatory courses and/or regulations for which activities lead to ECTS points (and how many). These will be indicated in the doctoral schools' internal guidelines.

As of 2018, a course is offered in research ethics and integrity which is mandatory for all PhD fellows enrolled at RUC.

#### 4.2 Change of environment - national and international

The PhD fellow's main supervisor must ensure that the PhD education includes a lengthy residency at another research institution of high international quality, primarily abroad. The change of environment should be seen as an integral and important part of the research education, contributing to internationalisation and knowledge exchange. In addition, networking across borders and research environments can significantly benefit the future career of the PhD fellow. The environment could, for example, be a university, a research institute or the R&D department of a public or private company.

In accordance with section 5, the residency must be described in the PhD plan. As a general rule, the residency should be of a duration of 3-6 months unless special circumstances apply. In planning the location as well as the duration, the nature of the research project should be considered, and the individual PhD fellow's background and family situation may also be considered. The change of environment should always be agreed upon with the main supervisor.

Where justified by special circumstances, an alternative to a lengthy change of environment/residency abroad may be exceptionally applied for. Such an application must include a justification for the reason and a description of how it is planned to satisfy the requirement regarding change of environment in the PhD Order. This must be approved by the head of the doctoral school upon recommendation from the main supervisor.

In connection with industrial PhD programmes or other business-oriented programmes, the head of the doctoral school can approve an alternative based on a recommendation from the main supervisor, the PhD fellow and the company in question. However, RDS's view on this, is that it is also in these instances advantageous to include a residency at another, primarily foreign, research institution out of consideration for the quality and internationalisation of the PhD education.

#### 4.3 Acquiring teaching experience

All PhD fellows must be given the opportunity to work with the dissemination of their research. Either through teaching or some other dissemination activity. PhD fellows employed under the collective agreement for university graduates in the state sector are subject to mandatory work, part of which must take the form of teaching. It is the responsibility of the main supervisor that the teaching is organised in alignment with the PhD fellow's education in dialogue with one or more study leaders and that the PhD fellow is offered courses and guidance which will qualify the PhD fellow in undertaking teaching and dissemination.

## 5 The PhD plan and its contents

### 5.1 Working with the plan

The PhD plan is a central document in the PhD education, and it follows the PhD fellow throughout the education and forms the basis for ongoing evaluation and adjustment. It must reflect the agreements concluded regarding the progression of the education. Due to its importance as documentation for the PhD education, a PhD plan must therefore be prepared no later than 3 months after enrolment which, as a minimum, must include the elements mentioned below in 5.2.

The plan is prepared by the PhD fellow in collaboration with the main supervisor who will subsequently consider it and recommend it for approval. Depending on the guidelines of the individual doctoral school, it is approved either by the head of the programme, the head of the doctoral school, or both.

The head of the doctoral school can, based on recommendation from the PhD fellow and the main supervisor, approve the exclusion of one or more educational components if it is considered that the PhD fellow in question has completed similar activities in other ways (credit transfer).

The PhD plan must be updated on an ongoing basis in collaboration between the PhD fellow and the supervisor(s). As a minimum, the PhD plan is updated in connection with the half-year evaluations. Changes to the plan are to be expected and fully align with a well-functioning supervisory effort. The PhD fellow and the main supervisor confirm, when acknowledging the half-year evaluations, that they agree on and accept the PhD plan in the format that it has at the time of evaluation. In connection with the half-year evaluation process, the head of the doctoral school or the head of the programme will approve the current PhD plan.

## 5.2 Contents of the plan

*Description of the PhD project:* The PhD plan must contain a description of the PhD project, including, a research question, a review of existing literature, theory and method selection as well as any ethical considerations related to the collection of empirical evidence.

*PhD courses:* The PhD plan must (cf. 4.1) contain a description of which of the doctoral school's own and which external courses the PhD fellow is expecting to take.

*Residency at another research institution:* The PhD plan must (cf. 4.2) contain a description of when a lengthy change of environment is planned and an explanation for the choice of research institution. If a lengthy residency is not planned, the plan must include an explanation for why this is the case and how it is instead planned to satisfy the PhD Order's provision regarding change of research environment for which permission has to be applied for, cf. section 4.2.

*Teaching and dissemination:* The PhD plan must (cf. 4.3) contain a description of how the PhD Order's requirement regarding acquiring teaching experience or other knowledge dissemination experience relative to the specific PhD project is considered to be satisfied. The PhD plan should indicate the type of activities and the scope of these, and it must indicate when these activities are expected to happen during the education.

*Time schedule:* The time schedule must be realistic and must therefore be evaluated and, if relevant, adjusted on an ongoing basis, which will often take place in connection with the half-year evaluations.

*Activity overview:* The PhD plan must contain an overview of intended main activities in the form of a description of semester activities, for example courses, teaching and dissemination activities, change of environment and publications in the form of project descriptions, working papers, articles, etc.

*Budget:* The PhD plan must contain a budget in order to ensure clarity and agreement regarding the specific financial framework for project.

*Agreement on the type of supervision provided:* The plan must contain a description of the mutual requirements and expectations regarding the supervision, including the format and frequency of the supervision. Changes to the agreed supervision provision must be approved on an ongoing basis by the doctoral school. With their approval of the half-year evaluation, the main supervisor and the PhD fellow confirm that the supervision process has been satisfactory.

*Format of the PhD dissertation:* The PhD plan must contain a description of the expected format of the PhD dissertation. Requirements regarding the format and scope of the PhD dissertation are determined by the doctoral school's internal guidelines based on relevant and academically justified factors.

## **6 Follow-up on the PhD plan**

The doctoral school must regularly follow up on the PhD fellow's PhD plan. The purpose of the follow-up is to ensure that the PhD project is progressing and that both the PhD fellow and the supervisor are satisfied with the progression.

### **6.1 Regular follow-up**

The doctoral school must follow up on the PhD fellow's PhD plan at regular intervals, usually in connection with a half-year evaluation conducted by both the PhD fellow and the main supervisor.

Evaluating the PhD fellow's progression is based, among other things, on a statement from the main supervisor who, after discussion with the PhD fellow, confirms that the PhD programme is progressing in accordance with the PhD plan or explains any necessary adjustments to the same in writing. The PhD fellow must be given at least two weeks to return their comments to the statement. The evaluation must consider documented illness, maternity/paternity leave and other approved leave of absence.

### **6.2 Negative evaluation**

If the evaluation shows that the PhD fellow does not adhere to the PhD plan (in its most recently updated version) in spite of any adjustments imposed, the doctoral school is obligated to take action as quickly as possible. The PhD fellow is offered at least three months to re-align the progression in accordance with the specific circumstances described by the supervisor (cf. section 10(2) of the PhD Order).

The three months' realignment progression must not in itself cause an extension of the PhD education. The offer of realignment can only be given once during a project (cf. section 10(2) of the PhD Order).

After the end of the realignment period, a new evaluation is performed as soon as possible. If the new evaluation also is negative, the enrolment will cease, cf. section 10(3&4) of the PhD Order.

The doctoral school can prepare supplementary internal rules for following up on the progression.



## **7 Supervision**

### 7.1 The role of the supervisor

PhD education is carried out under supervision. The supervisor is the PhD fellow's academic sparring partner and is responsible for ensuring that the PhD education is planned and implemented in accordance with the rules that apply to PhD programme. PhD supervision encompasses academic inspiration, work with structure, dissemination, choice of method and theory, etc., in accordance with good scientific practice in the relevant field of research. The PhD supervisor must consider the entire PhD education, including the connection between e.g. teaching assignments, change of environment, courses and network creation.

### 7.2 Selection of supervisor

All PhD fellows must have a main supervisor, who as a minimum is at the level of associate professor and must be employed at Roskilde University.

The head of the doctoral school approves candidates for supervisors at the individual doctoral schools and assigns one or more supervisors to each PhD fellow.

The head of the doctoral school may appoint supervisors who are not affiliated with RUC as secondary supervisors.

#### 7.2.1 Emeritus status

An associate professor emeritus or professor emeritus may be associated as secondary supervisor, but will not be able to act as main supervisor, as the individual must be employed by Roskilde University (cf. 7.2).

### 7.3 Ensuring satisfactory supervision

The doctoral school is responsible for ensuring that supervision of PhD fellows is satisfactory. In connection with the half-year evaluation (cf. 6) both the PhD fellow and the main supervisor must make a statement as to whether they are satisfied with the collaboration.

### 7.4 Change of PhD supervisor

Ongoing adjustments to a PhD project, including the change of a PhD supervisor due to academic and/or personal reasons, can be approved by the head of the doctoral school under special circumstances. A change of PhD supervisor may occur at the initiative of the PhD fellow, the PhD supervisor, or the head of the doctoral school. It is the duty of the head of the doctoral school to respond to any inquiries regarding change of supervisor.

## **8 Completion of the PhD programme and submission of the PhD dissertation**

### 8.1 Rules on the submission of the PhD dissertation

The PhD dissertation must be submitted in its final form no later than on the day the enrolment terminates. The submission is made to the doctoral school.

#### 8.1.1 Text-similarity screening of PhD dissertations

All PhD dissertations submitted to Roskilde University are screened for text-similarity or other types of text-overlap, including plagiarism. Descriptions of procedures and processes for this is described in a separate document.

## 8.2 Documentation of satisfactory completion/supervisor statement

In connection with the submission of the PhD dissertation, the main supervisor must draw up a written statement to the head of the doctoral school on whether the PhD education has been satisfactorily completed. The statement must include a statement on whether the PhD fellow has met the formal requirements regarding:

- Teaching/dissemination
- Change of environment
- Course participation (including the number of ECTS points)

The statement is based, among other things, on what is recorded in the University's IT system.

The statement must also include an assessment of the PhD fellow's research progress based on an evaluation of whether the progress has been satisfactory. The PhD dissertation can only be accepted for assessment if the overall PhD education is considered to have been satisfactorily completed.

If the main supervisor states that the PhD education has not been satisfactorily completed, the PhD fellow must be given at least two weeks to submit comments to the main supervisor's statement.

On the basis of the main supervisor's statement, any comments from the PhD fellow, and the regular evaluations, the head of the doctoral school will assess and determine if the overall PhD education has been satisfactorily completed.

## 8.3 Submission of a PhD dissertation without prior enrolment

In accordance with section 15(2) of the PhD Order, it is possible to submit a PhD dissertation without prior enrolment. Submission of a PhD dissertation without prior enrolment can take place based on payment of a fee determined to cover the cost of assessment of the PhD dissertation and its defence.

The following procedure is applied in connection with the submission of a PhD dissertation without prior enrolment:

1. The PhD dissertation is submitted to the doctoral school together with a statement of how the applicant lives up to the requirements related to a PhD programme, as stated in section 7(2) of the PhD Order, with documentation for the activities detailed in the explanation. The PhD dissertation must also be accompanied by a declaration from the applicant on whether the dissertation has previously been submitted for assessment and, if so, where.
2. The PhD dissertation will initially be evaluated by an academic staff member appointed by the doctoral school with the purpose of determining whether the dissertation can be accepted for assessment, including whether the applicant can be said to have acquired qualifications comparable with a completed PhD education at the doctoral school. This can only take place if the department assess that they possess available academic resources related to the subject of the PhD dissertation.

If the evaluation of the PhD dissertation and the applicant's qualifications have a positive outcome, a payment agreement will be immediately concluded and an assessment committee will be appointed in accordance with relevant rules. The procedure will subsequently follow the standard procedure for assessment of a PhD dissertation and the public defence of same.

#### 8.4 Assessment committee

It is the responsibility of the main supervisor to propose the composition of the assessment committee to the head of the doctoral school. The proposal must include names and CV's for each of the committee members. This must be done as soon as possible prior to the submission of the PhD dissertation for assessment. On the basis of the proposal, the head of the doctoral school recommends the desired composition of the assessment committee to Pro-rector, who makes the final approval. The doctoral school may have guidelines which describe special requirements/guidelines for this procedure.

#### 8.5 The role of the supervisor in the assessment work

The supervisor(s) cannot be member(s) of the assessment committee, but the main supervisor assists the committee without the right to vote.

It is the responsibility of the assessment committee chairman to involve the main supervisor to the extent required. The main supervisor follows the committee's work, such as to respond to clarifying questions and to ensure that the committee's assessment of the PhD dissertation is performed on as informed a basis as possible. Prior to the submission of the preliminary assessment to the head of the doctoral school, the main supervisor will be able to comment on it.

#### 8.6 Preliminary assessment and possible revision

##### 8.6.1 The preliminary assessment

No later than two months after the submission of the PhD dissertation, the assessment committee must prepare a preliminary assessment (the month of July is not included in the calculation of the two months). The target group for the preliminary assessment is the author, who shall be able to use the text in preparing for the oral defence (or, in case of a negative assessment, for possible revision of the PhD dissertation) and the head of the doctoral school, who will oversee that the assessment is acceptable in terms of formalities and contents.

The chairman is responsible for collating the written contributions to the assessment and must ensure the linguistic quality of the text, such that it is presented as a cohesive document with a clear connection between premises, arguments and conclusion. The language used must be unambiguous, factual and objective.

The assessment must state whether the PhD dissertation in its current version is suitable for oral defence. The assessment must be reasoned and take the form of an independent document with a short presentation of the theme and structure of the dissertation, as well as indications of the strong and weak aspects of the dissertation. The premises and arguments forming the basis of the committee's evaluation must be clearly indicated. The assessment must result in a conclusion which must be consistent with the premises and arguments for the assessment. The assessment must have the necessary level of detail, including an explicit description of how the PhD dissertation contributes to scientific field and, in case of co-authorship of parts of the PhD dissertation, an explicit description and evaluation of the scope of the PhD fellow's contribution. The assessment must be sufficiently detailed, clear, and exhaustive so that lay persons can follow the rationale from premises to conclusion.

In case of disagreement as to the result of the assessment, the result shall be determined by majority vote.

The preliminary assessment is submitted to the main supervisor who will have the opportunity to comment and then to the head of the doctoral school, who will notify the PhD fellow and the main supervisor. If the PhD dissertation is not considered suitable for defence in the form submitted, the PhD fellow and the main supervisor are entitled to comment, cf. section 18(3) of the PhD Order.

#### 8.6.2 Need for revision and resubmission

If the PhD dissertation, in the submitted version, is considered to be *not suitable* for defence the assessment committee's recommendation should state whether the PhD dissertation can be resubmitted in a revised version and, if so, the necessary time needed for revision. The assessment must include a specification of the need and scope of revisions. The PhD fellow and the main supervisor shall be able to submit their comments to the assessment within 2 weeks, cf. section 18(3) of the PhD Order.

On the basis of the assessment committee's recommendation and any comments from the PhD fellow and the main supervisor, the head of the doctoral school will reach one of the following decisions (section 18(4) of the PhD Order):

- 1) That the defence may not take place.
- 2) That the PhD dissertation may be resubmitted in a revised version within a period of at least 3 months. If the PhD dissertation is resubmitted, it must be assessed by the previously formed assessment committee, unless special circumstances apply.
- 3) That the PhD dissertation shall be assessed by a new assessment committee.

In special circumstances, including formal errors or ineligibility, it can be necessary to replace members in the assessment committee and thereby form a new assessment committee; this is something which shall be considered by the head of the doctoral school in consultation with the chairman of RDS.

In particular cases, a PhD dissertation can be resubmitted more than once.

#### 8.7 Rules in the case of multiple authors and co-author declarations.

The PhD dissertation must be able to clearly document the PhD fellows' individual work. However, a PhD dissertation may also consist of articles written by several authors. As a general rule, the submission of the PhD dissertation must be accompanied by co-author declarations from the other authors of the article, which describe the co-authors' contribution to the article. This is to facilitate the assessment committees' evaluation of the PhD fellow's own contribution (cf. *Advisory guidelines for the PhD assessment committee*).

#### 8.8 Rights

PhD fellows usually retain the copyright to their PhD dissertation. A possible exception exists if the copyright has been transferred under a collaboration agreement with external stakeholders. This may only occur with the approval of the PhD fellow. Moreover, if the PhD fellow is employed by Roskilde University, the results of the PhD dissertation may be subject to the *Act on Inventions at Public Research Institutions*. According to the Act on Inventions, the PhD fellow is obligated to notify RUC if, as a part of the work, inventions or discoveries are made which are deemed patentable or which have a commercially applicable content. In such cases, RUC may require the rights to be transferred to the University.

The PhD dissertation must always be published in connection with the defence. The PhD dissertation should be made available to the public in due time before the defence.

## **9 Defence**

The PhD dissertation must be defended at a public defence. The defence may not be confidential, and no confidential parts of the research project may be used as the basis for awarding the PhD degree, but may be included in supplementary materials that are accessible only to the assessment committee and are not published.

### **9.1 Venue**

As a general rule, the defence must be held at Roskilde University.

Only in connection with the conclusion of a double degree can the head of the doctoral school, where necessitated by special circumstances, grant an exemption from this rule.

### **9.2 Defence procedure**

The defence is chaired by the head of the doctoral school or by a person appointed by said person.

## **10 Award of the PhD degree**

Roskilde University may award a PhD degree in the main areas in which the University conducts research. The title of the PhD dissertation and the name of the doctoral school and any programme in which the PhD fellow may have been enrolled must be indicated on the PhD diploma.

## **11 Regulations prevailing over the joint regulations**

Current legislation, including the University Act and the PhD Order and RUC's Statutes prevail over the joint regulations. In cases where the joint regulations deviate from current legislation or regulations, or in case of lack of clarity as to how the rules are to be understood, legislation and RUC's Statutes shall apply.

## **12 Exemptions**

Roskilde University can only grant exemptions from rules that the University has itself established.

## **13 Complaints**

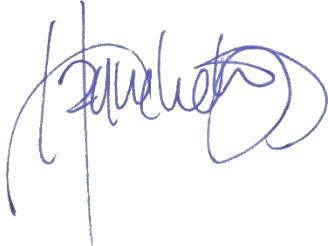
Complaints against these joint regulations may be brought before Rector.

## **14 Transitional rules**

The regulations shall enter into force on 1 February 2020 and shall apply to all PhD fellows at the University, regardless of enrolment date.

Approved by Rector Hanne Leth Andersen after consultative recommendation from the Academic Council and the Research Committee.

Date: January 20, 2020

A handwritten signature in blue ink, appearing to read 'Hanne Leth Andersen', written in a cursive style.

Hanne Leth Andersen

Rector