

General rules and guidelines for the PhD programme at the University of Copenhagen

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1. Introduction

1.1 General rules

The current Danish University Act (Universitetsloven) (see Ministerial Order no. 367 of 25 March 2013) and the PhD Order (see Ministerial Order no. 1039 of 27 August 2013) (attached as Appendix 1) form the legal framework for the PhD programme and the award of PhD degrees at the University of Copenhagen (UCPH). Other Danish legislation etc. is applicable where relevant, e.g. the Danish Public Administration Act (Forvaltningsloven).

The general rules and guidelines for the PhD programme at the University of Copenhagen (UCPH) lay down supplementary internal rules concerning admission, the organisation of the programme, the appointment of the principal supervisor and any additional supervisors, the supervision of the PhD student as well as the writing, submission and defence of the PhD thesis (see section 25 of the PhD Order). The general rules and guidelines of the UCPH lay down the common standards for all PhD programmes at UCPH and constitute the University-wide minimum rules. Each faculty lays down its own supplementary provisions (see 1.3 below).

These rules and guidelines do not cover terms and conditions of employment, including part-time employment, leave of absence, PhD scholarships, remuneration etc. Reference is made to the general employment rules and collective agreements, including the collective bargaining agreement for academics employed by the state.

1.2 Objective and scope

The PhD programme is a research programme aiming to train PhD students at an international level to independently undertake research, development and teaching assignments in the private and public sectors, for which a broad knowledge of research is required. The PhD programme mainly comprises active research training under supervision (see section 1 (2) of the PhD Order).

The programme is equivalent to 180 ECTS credits, which corresponds to three years of full-time study (see section 4 of the PhD Order). The three-year period is calculated from the date of enrolment up to and including the date for submission of the thesis. This means that the assessment period is not included in the three-year period.

The PhD programme in Denmark is described in the Danish qualification framework for higher education:

	Persons obtaining degrees at this level:
Knowledge and understanding	<ul style="list-style-type: none">• Must possess knowledge at the highest international level within the research field.• Must have made a significant contribution to the development of new knowledge and understanding within the research field based on scientific studies.
Skills	<ul style="list-style-type: none">• Must master the scientific methodologies and tools

as well as master other skills related to research and development tasks within the field.

Competences

- Must be able to analyse, evaluate and develop new ideas, including design and develop new techniques and skills within the subject area.
- Must be able to participate in international discussions within the subject area and disseminate scientific findings and progress to a wide audience.
- Must be able to plan and carry out research and development tasks in complex and unpredictable contexts.
- Must be able to independently initiate and participate in national and international collaboration on research and development with scientific integrity.
- Must be able to independently initiate research and development projects and, through these, generate new knowledge and new skills which develop the research field.

(The Danish Qualifications Framework for Higher Education: see www.ufm.dk).

1.3 Organisation of the PhD programme at the University of Copenhagen

At UCPH, the PhD programme is provided by six PhD schools, one for each faculty. Each PhD school has a head of school who is responsible for the programme and who is assisted by a PhD Committee with equal representation of academic staff and PhD students. Each PhD school may run a range of local or inter-institutional programmes. Each school draws up its own supplementary rules. The UCPH general rules and guidelines should therefore be read in connection with the supplementary ones for the school concerned. Further information about organisation, programmes, supplementary provisions, guidelines and contacts is available on faculty websites <http://www.phd.ku.dk/english>.

2. Enrolment and commencement of studies

2.1 Enrolment

UCPH runs PhD programmes in the subject areas in which the University conducts research and has the authority to decide who to admit (see sections 2 and 6 of the PhD Order).

Decisions on admission and enrolment are made by the head of the relevant faculty's PhD school upon recommendation from the academic members of the PhD Committee. Potential PhD students must submit written applications. Decisions on intake are based on documented academic qualifications, the suitability of the research project as a PhD project, how the project fits into the faculty's academic profile and whether the necessary academic and financial resources will be available to complete the programme in an academically responsible manner. This does not necessarily include the salary of the PhD student, as the terms and conditions of employment fall outside the scope of these rules.

Each faculty may draw up more detailed criteria.

The PhD student is enrolled at the PhD school of the faculty in question and is affiliated to the department where the principal supervisor works. If the faculty is not organised in departments, the PhD student is affiliated to the same or research unit as the principal supervisor.

The procedures for enrolment and appointment (award of PhD scholarship) may take the form of a single process or separate processes. However, enrolment is contingent upon the offer of a scholarship. Each PhD school draws up its own procedure(s) for these matters.

At the time of enrolment, the applicant must normally hold an academically relevant Danish master's degree or be able to document equivalent qualifications, e.g. a master's degree from a university abroad. Each faculty is free to decide whether it will allow enrolment on a PhD programme while the student concerned is still studying for a master's degree. 2.2 below describes the special rules that apply for this.

Enrolment application forms are downloaded from the website of the faculty concerned.

All applications must include a preliminary PhD plan, including the intended research project, an academic curriculum vitae (where relevant including a list of any publications), a copy of the degree certificate (including grades where available), the number of ECTS credits (where possible) and an account of how the student will be funded.

Non-Danish degree certificates not in Norwegian, Swedish, German, French or English must usually be accompanied by an authorised official translation into Danish

or English. Unless the faculty concerned has stipulated different requirements, an official description of the grading scale used must also be attached.

Please also refer to the application forms. If the examination that qualifies the student for the PhD programme is from a non-Danish institution, the faculty can obtain a report from the Danish Agency for Higher Education (www.ufm.dk). If the application includes an evaluation by the Danish Agency for Higher Education, the evaluation must form the basis for decisions on whether the non-Danish qualifications are sufficient for the PhD programme (see the Danish Assessment of Foreign Qualifications Act (Lov om vurdering af udenlandske uddannelseskvalifikationer)).

Each faculty is also entitled to set requirements for English language tests for applicants from abroad. For example, the 3+5 scheme requires students to pass the IELTS or TOEFL. Students must have a minimum score of 6.5 in IELTS, 560 in the written TOEFL test or 83 in the online TOEFL test.

Under normal circumstances, a response to an enrolment application can be expected within six weeks of the PhD School receiving the application. If the applicant is also applying for a scholarship, time for assessing the scholarship application should also be factored in.

2.2 Integrated master's and PhD programme

Some of the faculties at the UCPH offer students the option of starting on their PhD programme while enrolled on their master's programme, e.g. on a 4+4 or 3+5 programme. According to the PhD Order, an integrated master's and PhD programme of this type must ensure that the overall education is of the same extent and on the same level as other PhD programmes (see section 5 (2) in the PhD Order).

If the PhD programme starts before completion of the master's programme, the student is enrolled on both the master's and the PhD programmes simultaneously. If the PhD programme is commenced in connection with the master's programme, the master's programme must generally be completed no later than two years before the expiry of the prescribed study period for the entire PhD programme. Students enrolled on the 4+4 scheme usually have to complete the master's programme in two years. Students enrolled on the 3+5 scheme usually have to complete the master's programme in three years.

If a student withdraws from the PhD before completion of the master's programme, the individual concerned must be given the opportunity to complete the master's degree.

2.3 Approval of credit transfer

When applying for enrolment on a PhD programme, it is possible to apply for approval of well-documented, previously acquired competencies (credit transfer) and have them incorporated into the PhD programme.

Applications for credit transfers are submitted to the relevant faculty PhD Committee. These committees draw up guidelines for the procedure.

2.4 Part-time study

A PhD programme is normally full-time and prescribed to three years of study (see section 4 of the PhD Order). Under special circumstances, it may, however, be part-time. The PhD Committee considers academic and study factors when ruling on applications to study part-time. Each faculty may draw up more detailed rules for part-time study, including transition from full-time to part-time during a programme. However, the PhD programme must always account for at least 50% of working time, i.e. the prescribed period of part-time study cannot exceed six years (excluding any leave of absence). Requests for enrolment as a part-time student may be based on the nature of the research project as well as on personal reasons.

Requests for part-time enrolment from PhD students employed at the UCPH must be approved by the Dean.

Decisions on part-time study must be coordinated with eventual UCPH employment.

The transition to part-time enrolment involves adjustment and subsequent approval of relevant parts of the PhD plan (see 2.8 below).

The faculty may draw up more specific guidelines.

2.5 Leave of absence

The PhD Committee must be notified of any statutory leave of absence for child-birth/adoption/national service etc., and the PhD plan must be adjusted accordingly and then approved again. The remainder of this section refers solely to requests for leave of absence, not to statutory rights to leave.

It is possible to request leave of absence from the PhD programme for both academic and personal reasons. The request must be submitted in writing, stipulating the reason(s) and a statement from the principal supervisor must be attached. The PhD Committee considers the academic and study-related factors. All decisions will be based on an individual evaluation and with due regard to the subsequent completion of the programme. Leave of absence is not usually granted for more than a total of twelve months. However, this does not apply to statutory leave for child-

birth/adoption/national service, etc. Leave of absence automatically leads to a corresponding extension of the PhD programme.

The individual concerned does not have student status during the period of leave. This means that he or she is not allowed to play an active role in study-related activities during the leave and is not entitled to supervision, office space etc. Subject to agreement by all parties, the student may, however, participate in a planned course that is deemed significant to his or her PhD programme if the course is not expected to run again at a later date.

Requests for leave of absence from PhD students employed at the University of Copenhagen must be approved by the Dean. Decisions are reached in consultation with the head of the PhD school. Decisions on leave must be co-ordinated with external employers.

In the event of leave of absence, the PhD plan must be adjusted accordingly and then approved again (see 2.8 below).

The faculty may draw up more specific guidelines.

2.6 Extension of enrolment period

Students are usually enrolled in the PhD programme for a period of three years. Students whose studies are delayed may submit a request for extension of the enrolment period to the PhD Committee. The request must be in writing, must explain the reasons and must include a report from the principal supervisor. Any extension to enrolment on the grounds of delay is not allowed to lead to a corresponding extension of employment status.

The faculties set the limits for extensions to enrolment and to part-time enrolment for those PhD students whose studies are extended beyond the normal study period. If the faculty agrees to extend a part-time enrolment, the maximum extension must be less than 50% of the total time prescribed for the programme.

2.7 Supervision, appointment of supervisor(s) and change of supervisor(s)

The PhD programme takes place under supervision. The PhD student has the right as well as the obligation to be supervised.

Each student has a principal supervisor for the entire duration of the PhD programme. The principal supervisor is responsible for the whole PhD programme, which is planned in consultation with the student (see section 8 of the PhD Order). The principal supervisor's duties are described in 2.8 below. Additional supervisors may be appointed during the programme and must possess qualifications in the relevant subject area (see section 8 (2), item 1 of the PhD Order).

The principal supervisor must have several years of active research experience and must be employed at least at the level of associate professor or senior researcher. The principal supervisor must be a researcher in the relevant subject area, must work at the faculty and must have knowledge of the PhD programme.

The head of the PhD school appoints the principal supervisor and any supplementary supervisors based on recommendations from his or her immediate superior (usually the head of department). The student is entitled to suggest potential supervisors but the head of the school makes the final decision. The principal supervisor is appointed when the student enrolls on the PhD programme.

PhD students whose research is mainly conducted at an institution or company outside the University should also have a supervisor from the institution or company in question.

In addition to the principal supervisor, PhD students with scholarships from the Industrial PhD scheme (industrial PhD students) must also have supervisors at the company employing them. This supervisor is appointed by the head of the PhD school in consultation with the company concerned. These supervisors must be qualified in the relevant field of research (see section 27 of the PhD Order). Please also refer to the guidelines for the Industrial PhD programme at www.ufm.dk

The student may apply for a change of supervisor. Applications for changes must be in writing and stipulate the reasons. Following consultation with the relevant head of department, the head of the PhD school makes the decision. The supervisor must be consulted. In special circumstances, the head of the PhD school may change the principal supervisor without the student requesting it.

2.8 The PhD plan

All PhD students at UCPH must have an approved PhD plan within three months of the start of their programme. This also applies to PhD students who start work on their PhD programme while still studying for their master's degree.

The PhD plan must contain at least the following (see section 9 of the PhD Order):

1. A timetable
2. An agreement on the type and scope of supervision
3. A plan for the PhD project
4. A plan for PhD coursework or other elements of the programme that resemble courses
5. A plan for participation in active research
6. A plan for teaching or other types of knowledge dissemination
7. Agreements on intellectual property rights if relevant
8. A financial plan (budget for the project)

The agreement on the type and scope of supervision must take into account the mutual expectations of the student and supervisor(s).

If there is an external partner, a written agreement must also be drawn up about financial aspects, intellectual property rights and publication. The agreement must be approved by the faculty.

The principal supervisor is responsible for drawing up the PhD plan and making sure it is kept up to date. The plan must be in writing, signed by the supervisor and the student and approved by the head of the PhD school. The plan acts as a project management tool and should be detailed enough to form the basis for ongoing assessments. The plan is a dynamic document that has to be continuously updated e.g. in the event of major changes to the project, changes to time spent at other research environments/institutions, leave of absence etc. Major changes to the PhD plan must be approved by the head of the PhD school.

3. Contents of the PhD programme

The PhD programme comprises (see section 7 of the PhD Order):

1. Independent research under supervision (the PhD project)
2. Completion of PhD courses or other similar programme elements corresponding to a total of approx. 30 ECTS credits.
3. Participation in active research environments, including stays at other institutions (mainly abroad), private research companies, etc.
4. Acquisition of experience of teaching or other types of knowledge dissemination, which is related to the PhD project
5. A thesis based on the PhD project

3.1 The research work

The research project constitutes the main part of the PhD programme and serves as the basis for the thesis. It may be part of an independent project or an integrated part of a larger research project. If it is part of a larger project, the student's contribution to it must be clearly defined and structured in a way that complies with the objective(s) of the PhD programme, including its scope, scientific/academic content and independence.

3.2 Courses

As mentioned in section 3 above, PhD students must complete coursework or other similar programme elements totalling approx. 30 ECTS credits, which correspond to six months of study.

The PhD schools advertise PhD courses on their faculty websites. The courses must be approved by the PhD Committee. Courses run by other providers in Denmark and abroad can also make up part of the PhD programme. Students need agreement in advance with the principal supervisor, and usually approval in advance from the PhD Committee, before taking part in these courses. The Faculty may draw up more exact guidelines for participation in courses run by course providers other than UCPH.

The courses may be of a specific academic nature or of a general, research-relevant nature, e.g. writing articles in English, research ethics or patenting. As mentioned in section 3.3 below, UCPH is obliged to offer all PhD students a course in knowledge dissemination (see section 8 (3) of the PhD Order). Furthermore, it is compulsory for all PhD students at UCPH to pass a course in ethics and good scientific practice.

Each individual faculty draws up additional rules for participation in courses, which usually includes general courses, including the communications course.

For UCPH courses, the PhD student is entitled to have a certificate issued describing in brief the content and scope of the course and certifying that the student completed it successfully.

3.3 Teaching activities and knowledge dissemination

As part of the PhD programme, each student must acquire teaching experience and other types of knowledge dissemination related to the student's PhD project (see section 7 (2), item 4 of the PhD Order).

The scope of this requirement to the PhD programme is not specified in the PhD order and should not be confused with the appointing authority's duty to offer employed PhD students 840 hours of work for the appointing authority, which often involve teaching (see section 7 (2), item 2 of the PhD Order).

In relation to the collective bargaining agreement, the appointing authority has the duty to offer the PhD student work corresponding to 840 hours for the appointing authority when employed for three years full time. The appointing authority is furthermore obliged to pay the PhD student a full wage regardless if the appointing authority does not make use of the 840 hours. The PhD student has the opportunity in consultation with the university to get the amount of the 840 hours reduced or repealed in exchange for a proportionally reduction in wage.

In case of employment for a shorter period there will be a relative deduction in the 840 hours of work. The work corresponding to the 840 hours may not be administrative tasks, but could be tasks within knowledge dissemination, teaching, research, library work, committee work or other academic tasks which can relieve the remaining academic staff members.

UCPH has the opportunity to offer non-employed PhD students an hourly wage employment for teaching activities, assistance in research projects, knowledge dissemination and other tasks that can relieve the pressure on the remaining academic staff (see section 5c in the collective bargaining agreement). There is no upper limit for the number of working hours in these forms of employments.

UCPH may not encourage the PhD students to carry out any kind of work without compensation or to work beyond the 840 hours for any of UCPH's institutions. The tasks that the students carry out in order to meet the 840 hours of work requirements must to the furthest possible extent be planned in collaboration between the PhD student, their supervisor, the head of department and possibly the head of studies at the relevant programme. Finally, the PhD student's 840 hours of work must to the furthest possible extent be compatible with the other work related to the PhD student's project, in such a way that the 840 hours of work are topically relevant to the PhD student's area of research.

A PhD student's teaching will often be approved their as the 840 hours of work, thus giving them teaching experience. But the teaching and knowledge dissemina-

tion requirements apply to all PhD students and should, in terms of scope, only account for part of the educational programme as a whole. Thus there is a distinction between the 840 hours of work and teaching experience even though these concepts can be combined, if teaching is a part of the 840 hours.

3.4 Participation in other research environments

PhD students must participate in active research environments, including during stays at other research institutions (mainly abroad), private research companies, etc. (see section 7 (2), item 3 of the PhD Order). The PhD Order does not specify the scope of this activity. The requirement can be met in many ways and adapted to suit the nature of the research project. The principal supervisor has a special responsibility for ensuring that the PhD student has the opportunity to establish contacts with researchers outside UCPH. Time spent studying abroad is not a requirement, but should be encouraged as much as possible.

Stays at other research institutions or work for private research companies must be organised in such a way that students are also able to continue with their research work, courses, knowledge dissemination etc. during the period covered. Activities at another research institution or private research company must usually be approved in advance by the principal supervisor (see 3.2 above).

4. Regular assessments

During the programme, the University is required to conduct regular assessments of whether the student is following the PhD plan (see section 10 of the PhD Order). UCPH has decided that a minimum of three assessments must be conducted during a three-year PhD programme. The regular assessments will be conducted at 26, 14 and six months before completion of the programme.

For the integrated master's and PhD programmes the regular assessments will be conducted with the following intervals before completion of the programme:

4+4: 38, 26, 14, 6

3+5: 50, 38, 26, 14, 6

The individual faculties may draw up more detailed guidelines for this.

4.1. Assessments

The PhD school conducts regular assessments of whether the student is following the PhD plan. The assessment is based on a written report from the principal supervisor, who confirms that the student is following the plan or accounts in writing for any adjustments needed. Prior to writing the report, the supervisor must consult the student to discuss his or her progress. The PhD student has a deadline of two weeks to submit comments on the report. The consultation with the PhD student may be omitted if both the supervisor and the student have signed an unconditionally positive report.

The assessment documents in writing, which parts of the programme have been completed and which ones have still to be completed. The supervisor must account for and specify any inadequacies and elements of the PhD plan not completed so that the student has a chance to deal with them. The assessment must take into account any documented illness, maternity/paternity leave and other approved leave of absence, as well as any other factors, including academic ones.

4.2 Rectifying problems and termination of enrolment

If the head of the PhD school deems that the student is not following the PhD plan, despite adjustments to it, the student must be informed in writing and given three months to resolve the problem. The letter must clearly stipulate what the student is to accomplish during the three-month period. The three-month period does not trigger an extension to the PhD programme and students are only entitled to one such period during a PhD programme (see section 10 (2) of the PhD Order).

As soon as possible after the end of the three-month period, the head of the PhD school conducts a new assessment based on a new report from the supervisor. The student is given two weeks to submit comments on the supervisor's report. If the assessment is still negative, the student's enrolment on the PhD programme will be terminated (see section 10 (3) and (4) of the PhD Order). The student has two weeks from the day he or she is informed of the decision by the head of the PhD school in which to appeal against it to the Dean.

If enrolment is terminated, employment as a PhD student is also automatically terminated without notice. The faculty informs the HR Employment Law, which terminates the employment.

The Faculty will also inform any other employer(s) that the PhD student is no longer enrolled on the PhD programme (see section 10 (4) of the PhD Order).

4.3 Satisfactory completion

The last assessment takes place in connection with the submission of the PhD thesis. The principal supervisor must submit, no later than at the time of the submission of the PhD thesis, an opinion on the progress of the PhD programme as a whole. The report must be accompanied by a list of the individual study elements, including teaching and knowledge dissemination, links with other research environments, participation in courses, including specification of ECTS credits, etc. The report is drawn up in collaboration with any additional supervisors.

If the principal supervisor states in the report that the PhD programme was not satisfactorily completed, the student has two weeks to submit comments on the report (see section 14 (2) of the PhD Order). On the basis of the principal supervisor's report, any comments by the student and the regular assessments, the head of the PhD School then assesses whether the overall PhD programme has been completed satisfactorily. If the assessment is that the programme was not completed satisfactorily, the student is granted up to three months to redress the situation (see 4.2 above).

The student has two weeks from the day he or she is informed of the decision by the head of the PhD school in which to appeal against it to the Dean. If the PhD student agrees to the three-month period, enrolment on the PhD programme is extended accordingly. A new assessment will then be made. The student has two weeks from the day he or she is informed of the decision by the head of the PhD school in which to appeal against it to the Dean.

Employment as a PhD student cannot be extended.

If the programme has not been completed satisfactorily, the student's enrolment is terminated.

A PhD thesis can only be submitted for assessment if the head of the PhD school deems that the overall PhD programme has been completed satisfactorily (see section 15 of the PhD Order).

5. PhD thesis, defence and award of the PhD degree

5.1 Requirements for the PhD thesis

On completion of the PhD programme, a PhD thesis is submitted. The thesis is submitted in a number of copies laid down by the faculty, and, as far as possible, in an electronic version for use in the assessment. Further requirements on the PhD thesis and submission of it are drawn up by the faculty. Upon submission of the thesis, the author is given a receipt documenting that the PhD thesis has been submitted for assessment.

A PhD thesis cannot be jointly submitted for assessment by two or more authors. It must include summaries in Danish and English. It may also include summaries in other languages. If the thesis includes articles or draft articles written in collaboration with others, written declarations from each of the co-authors must be attached stipulating the contribution made by the author of the PhD thesis to the work (see section 12 of the PhD Order). The lead author of the article must always supply a written report.

The front page of the PhD thesis must state that it has been submitted at UCPH and the name of the faculty. The UCPH faculty-specific frontpages for PhD theses may be attached to the PhD thesis.

The PhD student's enrolment at UCPH ends when the thesis is submitted (see section 13 of the PhD Order). However, the supervisor and the department are expected to assist the PhD student in the period up until the defence.

Employment as a PhD student ceases when the thesis is submitted. The faculty informs HR Personnel Law that the period of employment has come to an end with the submission of the thesis.

The faculty may draw up more detailed guidelines regarding requirements for the PhD thesis.

5.2 Assessment committee

The PhD thesis and defence are assessed by an assessment committee. A three-member assessment committee is appointed no later than on submission of the PhD thesis (see section 16 of the PhD Order). The members must be employed at associate professor or senior researcher level or higher in the relevant subject area. Two of the members must be external researchers, i.e. not employed at UCPH. At least one of the members must be from outside Denmark, unless this is not practicable considering the subject in question (see section 16 (2) of the PhD Order). The third member is usually from the faculty concerned and is appointed by the faculty to chair the committee. Every effort should be made to ensure that both genders are represented on the committee. Co-authors of articles included in the PhD thesis are not eligible to be on the assessment committee. Similarly, the general rules that apply to conflicts of interest must also be upheld.

The PhD student's supervisors may not be members of the assessment committee, but the principal supervisor will be appointed as a deputy without voting rights (see

section 16 (2) of the PhD order). In this capacity, the principal supervisor must answer questions about the PhD programme and the academic progression in the student's research project. The principal supervisor may be invited to any meetings held by the assessment committee for this purpose. The supervisor cannot act as secretary to the committee.

For PhD students with scholarships from the Industrial PhD Programme (Industrial PhD students), at least one of the members of the assessment committee must have research experience relevant to the company concerned and in the relevant field of study (see section 27 of the PhD Order) but must not be employed by the same company as the PhD student.

The PhD Committee submits the proposed composition of the assessment committee to the Dean for approval (see section 16b (2), item 2 of the Danish University Act – it says the rector but at UCPH, authority for this has been delegated to the deans) once names have been put forward by the relevant head of department, who may consult with the supervisor. The author is notified as soon as the committee has been appointed. The author has one week in which to raise any objections to the composition of the committee.

5.3 Preliminary assessment and any revision

The assessment committee has two months after submission of the thesis to make its recommendation to the faculty about whether the thesis fulfils the requirements for awarding the PhD degree. The recommendation must be in writing and the reasons specified. In the event of any disagreement, decisions will be taken by majority vote. A copy of the recommendation must be sent to the author. If the committee's assessment is positive, the defence can be scheduled (see section 18 of the PhD Order).

If the assessment is negative, the committee must state whether a revised version may be submitted and, if so, set a deadline for resubmission (see section 18 (3) of the PhD Order). The committee must clearly stipulate the reasons for a negative recommendation.

If the recommendation is negative, the author and principal supervisor are consulted separately and have two weeks to submit their comments.

If the committee does not think that the thesis is ready for public defence, the head of the PhD school has to make one of the following decisions based on the committee's recommendation and the comments made by the author and the principal supervisor (see section 18 (4), items 1–3):

1. The defence does not take place.
2. The PhD thesis is resubmitted in revised form within a deadline of at least three months. Except in special circumstances, a resubmitted thesis will be assessed by the same committee as the original submission.
3. The thesis is assessed by a new committee.

The author then has the option to submit an appeal against the decision by the head of the PhD School to the Dean within two weeks of being informed of the decision. Appeals must be submitted in writing, and the grounds for the appeal must be specified.

5.4 Announcement of defence

All PhD defences at the University of Copenhagen are public and are usually advertised on the UCPH website (<http://www.ku.dk/phd/>), on the website of the faculty concerned and, whenever possible, also in the publication *Universitetsavisen*.

Prior to the advertisement announcing the defence, the author must prepare a 10–20-line summary in Danish and English which presents the main findings of the PhD thesis in plain language. These summaries can be used as part of the advertisement.

The faculty may draw up additional guidelines for defence.

5.5 Postponement of defence

The defence must take place two weeks after the assessment committee's submission of its preliminary recommendation and no later than three months after the submission of the PhD thesis (see section 20 of the PhD Order). However, in special circumstances, the head of the PhD school may postpone the defence. Postponement of the defence is subject to written agreement between the author and the faculty, where a new date and time is set (see section 20 (3) of the PhD Order).

5.6 Defence

The PhD thesis is defended in public. At the defence, the author is given the opportunity to explain his or her work and defend the PhD thesis before the members of the assessment committee. The PhD thesis must be available to the public in plenty of time before the defence (see section 19 of the PhD order), normally at least two weeks in advance.

A PhD defence cannot be held in private and any confidential parts of the research project cannot form the basis for awarding the PhD degree.

Under exceptional circumstances, the PhD school may decide, in consultation with the student, that the planned defence can be held with only two members of the assessment committee present (see section 19 (3) of the PhD Order).

A permanently employed member of academic staff with insight into the area covered by the PhD moderates the defence on behalf of the head of the PhD school.

The whole defence should not take more than three hours, including any break(s). The author is given up to 45 minutes to present the main findings of the PhD thesis, and the assessment committee then asks the author questions based on the thesis

and the presentation. At the end of the defence, the audience is given the opportunity to ask the author questions based on the thesis and the presentation. The moderator must ensure that the defence proceeds in a dignified manner and may, if necessary, interrupt or prolong the defence.

5.7 Award of the PhD degree

Following the defence, the assessment committee makes its final recommendation as to whether the author should be awarded the PhD degree. Regardless of the result of the deliberations, the committee must immediately inform the author orally of its final recommendation. If this is not possible, the author must be informed when the final recommendation will be made. A final written recommendation must be produced within one week of the defence. The reasons for the recommendation must be stated. If a unanimous decision is not reached, the recommendation must be based on a majority vote

The PhD degree is awarded once the assessment committee submits a recommendation to that effect (see section 22 of the PhD Order). The PhD degree is awarded by the Academic Council (see section 15 (2), item 4 of the Danish University Act).

If the assessment committee's recommendation is negative, the author has the option, within two weeks of receiving the final written recommendation, to submit comments and request that the thesis be reassessed by a new committee.

In these circumstances, the head of the PhD School may decide that the thesis be assessed by a new assessment committee, if requested by the author. The author also has the option of submitting an appeal against the decision by the head of the PhD School to the Dean within two weeks of being informed of the decision. Appeals must be submitted in writing, and the grounds for the appeal must be specified.

5.8 Binding collaboration on PhD programmes with non-Danish institutions – joint and double degrees

The PhD schools at the University of Copenhagen have the authority to issue joint and double PhD degrees to students who have acquired qualifications equivalent to a Danish PhD, provided a mutually binding agreement has been entered into with one or more non-Danish institutions on PhD programmes. The agreement must cover study visits, assessment, defence, degree awarding, etc. (see section 15 (3) and section 23 (3-5) of the PhD Order). This applies both when the University of Copenhagen is the main institution and when the partner institution(s) is the main institution.

5.8a UCPH is the main institution

For PhD students whose main institution is UCPH, agreement may be reached with one or more non-Danish institutions on a mutually binding partnership agreement on PhD programmes, including assessment, defence, degree awarding, etc., which involves the PhD student being awarded a joint PhD degree or a double degree.

The PhD student must complete the PhD programme under the Danish PhD Order, and if any need arises to deviate from key points, e.g. the course requirement in section 7 (2), item 2 or the prescribed period of study for the PhD programme in section 4, an application for an exemption must be submitted to the Ministry.

The partnership agreement must be signed no later than six months after the start of the programme. The agreement covers supervision at the non-Danish institution, duration of stay at the non-Danish institution, agreement on IPR and the organisation of assessment, defence and degree awarding.

Each faculty may draw up additional rules.

5.8b A non-Danish institution is the main institution

For PhD students whose main institution is a non-Danish institution, agreement may be reached on a mutually binding partnership agreement on PhD programmes, including assessment, defence, degree awarding, etc., which involves the PhD student being awarded a joint PhD degree or a double degree. The PhD student completes the PhD programme as per the guidelines and regulations that apply at the non-Danish institution, if necessary with supplementary requirements placed by the PhD school. The student must as a minimum complete a study visit at a UCPH PhD school lasting six months, be assigned a supervisor at UCPH and pass the course Responsible Conduct of Research. The PhD School must also conclude that the programme as a whole meets the requirement that the qualifications obtained are equivalent to a Danish PhD degree.

The partnership agreement must be signed no later than six months after the start of the programme. The agreement covers supervision at the non-Danish institution, duration of stay at the non-Danish institution, agreement on IPR and the organisation of assessment and defence and degree awarding.

Each faculty may draw up additional rules.

5.8c Agreement on assessment, defence and degree awarding

The following conditions concerning assessment committees, defence and degree awarding are valid for all PhD students who complete a PhD programme as part of a binding agreement between a UCPH PhD school and one or more non-Danish institutions – irrespective of whether UCPH is the main institution.

The agreement between the PhD school, the non-Danish institution(s) and the PhD student must stipulate the procedure for completing the degree. This must include: composition of the assessment committee (see section 26 (1) of the PhD Order), the deadline for the preliminary assessment (see section 26 (2) of the PhD Order), and the date for the defence (see section 26, (3) of the PhD Order).

The agreement must also stipulate whether the thesis is to be defended jointly or defended on two (or more) occasions before the student is awarded a PhD degree by the non-Danish institution(s) that are party to the agreement (see section 15 (3) and section 26 of the PhD Order).

Agreement must also be reached on whether the student is awarded a joint degree (see section 23 (3) and (4) of the PhD Order) or awarded a double degree, i.e. a degree by each of the participating institutions (see section 23 (5) of the PhD Order).

5.9 Submission of thesis without prior enrolment

In special circumstances, the faculties may decide that a thesis may be accepted for assessment without the author having completed a PhD programme, if the PhD committee deems that the author has acquired qualifications equivalent to the PhD degree in other ways (see section 15 (2) of the PhD Order). When submitting a thesis, the author must state whether it has been assessed before. Whether the author has documented links with UCPH will form part of the consideration of the application for submission of a thesis without prior enrolment. When assessing a PhD thesis at UCPH without prior enrolment, the faculty may ask the author to pay all of the expenses associated with assessment, defence, etc. These fees are fixed by the faculty. The author may apply to be exempted from these expenses.

The faculty may draw up additional guidelines.

5.10 Documentation of the PhD programme and the PhD degree

If the PhD degree is awarded, a PhD certificate is issued in Danish and English and signed by the Rector and the Dean of the faculty concerned.

The certificate must contain information about the subject area, the thesis subject and the PhD programme (see section 23 of the PhD Order). The certificate must also include an appendix in Danish and English containing information about the approved PhD courses, extended periods spent abroad, any partners and other relevant information.

PhD students who are not awarded a PhD degree may request documentation in Danish and English of the elements of the PhD programme that they did complete satisfactorily (see section 24 of the PhD Order).

5.11 Archiving and access to the thesis

UCPH is obliged to keep a copy of the thesis in its archives. This is the responsibility of the faculty concerned.

In all other respects, the thesis is the property of the author and may not – apart from the requirement in the PhD Order stipulating that it must be publicly available in plenty of time before the defence – be lent, sold or made available to others without the written permission of the author. If, for example, the thesis is uploaded to the Internet prior to the defence, it should be uploaded in such a manner that prevents it from being copied or printed. Copies made available for review at the

University or libraries etc. must be removed after the defence, unless the author has agreed in writing to wider distribution, e.g. digital publication, sale or in public libraries.

6. Appeals, exemptions, etc.

6.1 Appeals procedure

Decisions made by UCPH pursuant to the PhD Order may be referred to the Danish Agency for Higher Education if the complaint concerns legal issues. Appeals must be submitted within two weeks of the complainant having been informed of the decision (see section 28 of the PhD Order). The appeal is lodged with the faculty, which issues a report, and the student usually has a week to comment on it. The Rector will then send the complaint to the Danish Agency for Higher Education, enclosing the faculty's report and any comments on it made by the complainant (see section 28 (4) of the PhD Order).

Complaints concerning decisions made by the head of the PhD school or by the PhD Committee about study conditions that do not concern legal issues may be referred to the Dean. The appeal must be submitted within two weeks of the complainant being informed of the decision. Appeals must be submitted in writing, and the grounds for the appeal must be specified.

6.2 Exemptions

In special circumstances, the Dean may grant exemptions from rules set exclusively by UCPH. The Danish Agency for Higher Education may, in special cases, grant an exemption from the PhD Order (see section 28 of the PhD Order).

Subject to agreement with the Rector, the Dean may also agree to general deviations from rules set exclusively by UCPH, provided special circumstances at the faculty in question warrant the change(s).

7. Evaluation

The activities of the PhD schools are subject to evaluation, including regular international evaluations. The head of the PhD school and the Dean must arrange for follow-up on the evaluations. Evaluations and follow-up plans must be published (see section 16b (5) of the Danish University Act).

PhD students may be requested to submit an evaluation of their PhD programme on completion of the programme.

8. Financial aspects

Tuition fees are paid on PhD programmes. The faculties calculate and publish their tuition fees annually. Fees may be higher for particularly expensive projects. The faculty may grant full scholarships or reduce tuition fees. When awarding PhD

scholarships, tuition fees and fees for the assessment and the defence are usually included in the scholarship.

The faculty must always ensure that the resources are available for each individual PhD student to complete the programme as described in the student's PhD plan (see section 8 (5) of the PhD Order).

9. Interim provisions

PhD students who commenced their studies before 1 September 2013 have the right to complete their PhD programme in accordance with the Ministerial Order no. 18 of 14 January 2008; however, the assessment and defence of the thesis, as well as the decision to award the PhD degree, are subject to the provisions of Ministerial Order no. 1039 of 27 August 2013 (see section 30 (3) of the PhD Order).

PhD students who commenced their studies before 1 September 2013 may submit a request to the PhD Committee for permission to complete the programme pursuant to the provisions of Ministerial Order no. 1039 of 27 August 2013.

10. Appendix