



# DTU's rules for the PhD programme

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## 1. Introduction

In DTU's rules for its PhD programme, provisions from the Danish University Act (*Universitetsloven*) and from the PhD Order (*Ph.d.-bekendtgørelsen*) are, in as far as possible, explicitly stated by quotation: either in a framework with the full text of a provision, often supplemented by the wording of the Guidance Notes to the PhD Order if relevant, or by references to sections.

The supplementary text on these provisions constitutes DTU's institutional rules from which DTU may grant exemptions in special cases (see section 25(3) of the PhD Order and section 7.2 of these institutional rules).

The PhD programme pages on DTU Inside contain contributions on the practical management of this area, exemplifications, and supplementary information on DTU's institutional rules.

### 1.1 General rules regulating the PhD programme

DTU offers a PhD programme in the academic fields in which research is currently being conducted. Access to and completion of DTU's PhD programme and awarding of the PhD degree are governed by the following sets of rules, which are not exhaustive:

- The Danish University Act (Consolidation Act no. 778 of 7 August 2019, as amended)
- DTU's Statutes (Statutes of *Den Polytekniske Lærestalt* (the College of Advanced Technology), Technical University of Denmark, 28 June 2018)
- The PhD Order (Ministerial Order no. 1039 of 27 August 2013, as amended)

In addition to the above sets of rules, PhD students are covered by the Danish Act on Research Misconduct etc. (*Lov om videnskabelig uredelighed mv.*) (ACT no. 383 of 26 April 2017), the Danish Public Administration Act (*Forvaltningsloven*) (Act to consolidate the law on public administration Consolidation Act no. 433 of 22 April 2014), etc.

DTU's rules for its PhD programme constitute DTU's institutional rules (see section 25 of the PhD Order) and apply to all PhD students enrolled in DTU's PhD programme regardless of the type of funding and/or employment. DTU's PhD schools may, to a limited extent, lay down supplementary guidelines to DTU's rules for its PhD programme (see section 8). Any supplementary guidelines laid down by DTU's PhD schools apply only to PhD students enrolled in the relevant PhD school.

DTU's rules for its PhD programme do not contain provisions on matters pertaining to employment, including illness, leave, part-time employment, and remuneration. Rules pertaining to employment law are laid down in DTU's HR policies and the Collective Agreement for State-Employed Academics.

### 1.2 Purpose and scope

The purpose of the PhD programme is set out in the PhD Order:

**1.-(1)** The PhD programme is a research programme aiming to train PhD students at an international level to undertake research, development and teaching assignments in the private and public sectors, for which a broad knowledge of research is required.

(2) The PhD programme mainly comprises active research training under supervision.

The PhD programme is the highest level of education in Denmark and follows the Danish and European qualifications framework developed under the Bologna process. The PhD programme is equivalent to

180 ECTS points, which corresponds to three years of full-time studies (see section 4 of the PhD Order). The three years are calculated from the date of enrolment and up to and including the date of submission of the PhD thesis. The period in which the PhD thesis is being assessed is not included in the three years. DTU offers the opportunity to organize the course of the PhD programme as part-time studies (see section 2.4).

In accordance with the Danish qualifications framework<sup>1</sup>, the PhD graduate must have acquired the following learning outcome upon completion of the PhD programme:

#### Knowledge

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

#### Skills

- Must master scientific methods and tools, as well as other skills related to research and development tasks in the field in question.
- Must be able to analyse, evaluate, and develop new ideas, including designing and developing new techniques and skills in the academic field in question.
- Must be able to participate in international discussions in the academic field, disseminate scientific results and progress to a wide audience.

#### Competences

- Must be able to plan, organize, and perform research and development tasks in complex and unpredictable contexts.
- Must be able independently to initiate and engage in national and international collaboration on research and development with scientific integrity.
- Must be able independently to initiate research and development projects and to generate new knowledge and skills through such projects that develop the field of research.

### 1.3 Organization of the PhD programme at DTU

The Dean of Graduate Studies and International Affairs is responsible for DTU's PhD programme. DTU's Academic Council awards the PhD degree.

The PhD programme is conducted at established PhD schools under the management of a head of the PhD school (see section 14(5) of the Danish University Act). DTU has established one PhD school for each department. In addition, PhD schools have been established at some of DTU's centres. To ensure joint coordination and strategic development of the PhD programme, DTU gathers all the heads of its PhD schools in the 'Forum for Heads of PhD Schools'. The Dean of Graduate Studies and International Affairs heads the Forum for Heads of PhD Schools.

A PhD committee has been set up for each PhD school. The purpose of the PhD committee includes

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<sup>1</sup> The Danish qualifications framework, level 8 (<https://ufm.dk/uddannelse/ankendelse-og-dokumentation/dokumentation/kvalifikationsrammer/niveauer-i-kvalifikationsrammen>)

ensuring that the PhD students and scientific staff have influence on the PhD programme. At DTU, the PhD Committee supports the head of the PhD school in running and developing the PhD school, in addition to the tasks laid down in the Danish University Act. For further information about DTU's PhD committees, including composition, purpose, tasks, and activities, reference is made to the Rules of Procedure for PhD Committees at DTU and DTU's election rules. Further details on the organization of the PhD programme and the quality assurance system for the PhD programme can be found on the PhD programme pages on DTU Inside.

## 2. Enrolment and study start

### 2.1 Admission to and enrolment in the PhD programme

The formal admission requirements for the Danish PhD programme are laid down in the PhD Order:

5.-(1)

Admission to the PhD programme is based on a Master's degree or equivalent.

#### Guidance notes

To subsection (1): It is a requirement for admission to a PhD programme that the applicant is at Master's degree level. The institution makes the academic assessment of whether an applicant is at Master's degree level.

(...)

6.-(1)

The institution decides who is to be admitted as PhD students. The institution's rules must stipulate the criteria on which admission is based. The rules of the institution must specify the criteria used by the institution as a basis for admission.

The applicant must either have obtained an academically relevant Danish Master's degree or be able to document similar qualifications. DTU follows the EU's qualifications framework for Master's degree programmes, under which graduates holding a Master's degree have passed minimum 300 ECTS points.

If an applicant wishes to apply for admission to DTU's PhD programme based on a foreign degree, this degree must correspond to a Danish Master's degree. If the PhD school has any doubt as to whether a foreign degree corresponds to a Danish Master's degree, the study programme in question must be assessed by the Ministry of Higher Education and Science.

The head of the individual PhD school makes a decision on enrolment in the PhD school based on advice from the affiliated PhD committee. Research suitability should be the main criterion in the selection of candidates, but grade point average can also function as an indication of suitability. However, it is important that an overall academic assessment of the candidate be made using several criteria.

PhD students will be enrolled in the PhD school, and any employment at DTU as a PhD fellow will be at the department or centre to which the PhD school is belong.

### 2.2 Enrolment in a flexible PhD programme

The PhD Order allows (see section 5 of the PhD Order) that PhD students may be enrolled in a PhD programme in connection with a Master's programme (the 4+4 scheme and the 3+5 scheme). However, DTU does not admit graduates to a flexible PhD programme.

### 2.3 Credit transfer

In connection with submission of the PhD plan, the PhD student may apply for a transfer of credit for previously passed courses in order for these to be included as part of the PhD programme (see section 16b(2) paras (3) and (6) of the Danish University Act by implication). The PhD school's PhD committee are responsible for processing applications for credit transfer.

In order to be granted a transfer of credit for previously passed courses, the courses must not have formed part of another study programme for which the student has obtained a degree. Further, the courses must have relevance for the PhD project.

When applying for a transfer of credit for previously passed courses, the PhD student, must provide documentation for the contents as well as completion of the course.

### 2.4 Part-time studies

The following is stipulated in the PhD Order regarding the possibility of part-time studies:

**4.-(1)** The PhD programme is equivalent to 180 ECTS points and normally takes the form of full-time studies; however, the institutions may lay down rules providing for part-time studies.

(2) 60 ECTS points correspond to one year of full-time studies.

#### Guidance notes

#### **To section 4.**

To subsection (1): The programme is equivalent to 180 ECTS points, which corresponds to three years of full-time studies. The three years are calculated from enrolment and up to and including the submission of the PhD thesis. The assessment time is consequently not included in the three years. The study period may be extended in the circumstances described in section 10(1). The university will decide on a case-by-case basis whether the PhD student can be enrolled in a PhD programme on a part-time basis.

In connection with an application for academic approval, graduates may apply for completion of the PhD programme as part-time studies. Enrolled PhD students can also apply during their enrolment to complete the remaining part of their PhD programme or parts thereof as part-time studies. At DTU, the prescribed study period for part-time studies cannot exceed a total of six years (excluding leave, illness, and extensions).

The head of the PhD school makes decisions on part-time enrolment. As a rule, these decisions must be coordinated with decisions made in connection with any employment at DTU or elsewhere.

Applications for part-time studies may be justified by the nature of the research project or by personal circumstances.

The processing of applications for part-time enrolment will be based on a specific individual assessment, taking into due account a number of factors, including the financial conditions to which the PhD project in question is subject.

In connection with any change to part-time studies during the PhD student's enrolment, the PhD plan must be adjusted and approved through the half-year reports (see section 4.1) so that the part-time studies are reflected in this. For foreign PhD students, enrolment in part-time studies will affect their possibility of obtaining a work and residence permit. Please refer to the PhD programme pages on DTU Inside for further information.

## 2.5 Leave

DTU distinguishes between leave governed by law (maternity/paternity leave) and leave granted on other grounds. Read about leave governed by law on the PhD pages on DTU Inside

In connection with applications for leave that are not governed by law, PhD students may apply for leave from their PhD programme for a minimum of one month and a maximum of up to one year throughout the study period, unless special circumstances apply. The application may be based on academic reasons and/or personal circumstances, must be in writing, and must be accompanied by an opinion from the principal supervisor. The head of the PhD school decides whether leave can be granted taking into consideration the nature of the project, financing, etc. For further information on the process for leave applications, see the PhD programme pages on DTU Inside.

The PhD student must not be actively participating in the PhD programme during the period of leave, regardless of whether this concerns leave governed by law or leave granted for other reasons. Nor is the PhD student entitled to supervision, office space, etc. during the period of leave.

In the event of leave, the enrolment is extended accordingly, and the PhD plan is adjusted via the half-year reports. No PhD salary is paid during the period of leave.

## 2.6 PhD programme in collaboration with external parties

DTU's PhD programme is mainly implemented in collaboration with one or more external parties. If an external party finances all or part of a PhD programme, or if the PhD student stays with a partner for a period of time, a collaboration agreement must be drawn up and include provisions on Intellectual Property Rights (IPR), budget, confidentiality and publication. The negotiations of the collaboration agreement must be conducted and concluded in DTU Legal and Tech Trans, and the agreement must have been signed before the PhD student can be enrolled in the PhD programme. This rule may be derogated from if special circumstances apply, for example where the agreement has been fully negotiated, but not signed, and in cases where a decision on collaboration is made *after* enrolment.

The various PhD agreements are described on DTU Inside under DTU Legal and Tech Trans. The agreements may be accessed by the contract officer at the individual department.

As a rule, the PhD student must be at DTU for minimum half the study period when the PhD project is conducted in collaboration with one or more external parties. In those cases where a PhD student completes an external research stay with a third party, it is accepted that the time spent at DTU may be less than half the study period.

There are a few other exceptions to the requirement for spending minimum half the study period at DTU in cases where a PhD student is enrolled under double and joint degree agreements or where the PhD student is funded by one of the EU's special programmes for PhD students.

## 2.7 Extension of enrolment

PhD students may apply for an extension of their enrolment period for one month and up to six months. In exceptional cases, the enrolment period may be extended beyond six months based on an individual assessment, and there could also be special circumstances that allow for granting an extension of less than one month.



An extension of the enrolment does not result in an automatic extension of either a DTU employment or an external employment. Any extension of the employment must be granted by agreement with the employing authority and must be coordinated with the head of the PhD school.

The head of the PhD school makes a decision following an application for extension of enrolment. The application must be reasoned and supported by the principal supervisor. The application must be submitted before the PhD student's scheduled completion date, however, no earlier than six months before this date.

## 2.8 Supervision of PhD students, appointment of supervisors, and change of supervisors

The PhD programme takes place under supervision. The PhD student is entitled to supervision and is obliged to receive supervision.

### 2.8.1 Appointment of supervisors

The following is stipulated in the PhD Order regarding the appointment of supervisors:

8.-(1) For each PhD student, the institution designates a principal supervisor who is responsible for the overall PhD programme. The principal supervisor must be a recognised researcher within the relevant field, be employed by the institution and affiliated with the PhD school.

(2) On its own initiative or following an application from the PhD student, the institution may:

- 1) Appoint other supervisors, who must be qualified within the relevant field.
- 2) Replace the principal supervisor and other supervisors.

#### Guidance notes:

To subsection (1): The principal supervisor is responsible for the overall PhD programme as described in Section 7(2). It is a requirement that the principal supervisor must be a recognized researcher. A recognized researcher is a person who has been actively involved in research for a number of years at scientific level and who is at least at associate professor or senior researcher level, see section 2 para (1) of the Danish Act on Research Consulting, etc. (*Lov om forskningsrådgivning m.v.*). The PhD student must be designated one principal supervisor.

In accordance with the PhD Order, the PhD student must be designated one principal supervisor throughout the enrolment period. The principal supervisor is responsible for the overall PhD programme and must be at least at associate professor or senior researcher level and be employed at DTU (see section 8 of the PhD Order and the guidance notes to this section).

The PhD school appoints principal supervisors, is responsible for following up if the supervisory process is not satisfactory, and is responsible for ensuring adequate competence development of principal supervisors affiliated with the PhD school. The principal supervisor must thus have an affiliation with the PhD school in which the PhD student is enrolled. However, it is not a requirement that the principal supervisor must be employed at the department or centre to which the PhD school is affiliated.

The head of the PhD school appoints the principal supervisor and co-supervisors in connection with the processing of an application for academic approval and enrolment of the graduate. The appointment must be made in cooperation with the supervisor's HR manager.

Minimum one co-supervisor is appointed for each PhD student. Additional co-supervisors may be appointed if this is regarded as being academically expedient. As a minimum, co-supervisors must have a

PhD degree and be active researchers in the relevant academic field. In connection with the appointment of co-supervisors employed at DTU, the head of the PhD school may, in exceptional cases, derogate from the requirement that a co-supervisor must have a PhD degree. Principal and co-supervisors must not be related or be in a personal relationship.

There is no requirement for the employment level of co-supervisors or that they must be employed at DTU or have an affiliation with DTU.

PhD students employed outside DTU must be assigned a co-supervisor from the employing institution/company. PhD students financed through the Industrial PhD scheme must be assigned two supervisors who are affiliated with the company in which the PhD student is employed. The head of the PhD school appoints these supervisors in consultation with the company. The Industrial PhD scheme has special requirements for a company supervisor. Reference is made to the guidelines for the scheme in force at any given time.

The head of the PhD school is responsible for ensuring that the supervision of the PhD students at the PhD school proceeds satisfactorily and for reacting if this is not the case.

#### *2.8.2 Supervision of PhD students*

All principal supervisors are obliged to keep up to date with DTU's current requirements for further education and training of supervisors and to orient themselves in the tools for supervisors that DTU makes available.

The principal supervisor is responsible for the overall course of the PhD programme (see section 8(1) of the PhD Order), including coherence between the programme elements and compliance with the timetable for the PhD programme. In addition, the principal supervisor has a number of special obligations which are described in the PhD programme pages on DTU Inside.

#### *2.8.3 Replacement of supervisors*

The PhD student may apply for a replacement of principal supervisor and/or co-supervisor(s). The application must be reasoned and the decision will be made by the head of the PhD school (see section 8(2) para (2) of the PhD Order). In special cases, the head of the PhD school may replace the principal supervisor without application from the PhD student.

The head of the PhD school makes a decision on a replacement of supervisor. The head of the PhD school must consult all relevant parties at any given time before the decision is made, including involving the relevant manager of the supervisor.

### 3. Contents of the PhD programme

In accordance with the PhD Order, the PhD programme contains the following:

- 7.-(1)** The PhD programme is set up in accordance with rules laid down by the institution.
- (2) During the programme, the student is required to
- 1) Carry out independent research work under supervision (the PhD project).
  - 2) Complete PhD courses or similar study elements totalling approx. 30 ECTS points.
  - 3) Participate in active research environments, including stays at other, mainly foreign, research institutions, private research enterprises etc.

- 4) Gain experience of teaching activities or other form of knowledge dissemination which is related to the student's PhD project.
- 5) Complete a PhD thesis on the basis of the PhD project.

### 3.1 The PhD plan

The PhD Order stipulates the following regarding the PhD plan:

9.-(1) Within three months of the start of the PhD programme, the institution approves a research and study plan (the PhD plan) for the individual PhD student.

(2) The PhD plan must, as a minimum, contain the following:

1) A schedule. 2) An agreement on the type of supervision provided. 3) A plan for the PhD project. 4) A plan for PhD courses etc. 5) A plan for participation in active research environments. 6) A plan for teaching activities or other types of knowledge dissemination. 7) Any agreements on intellectual property rights. 8) A financing plan (budget).

All enrolled PhD students must submit a PhD plan. This also applies to PhD students who are not employed at DTU and PhD students who must meet special requirements for the funding of their PhD programme course (e.g. EU-funded PhD programmes). In relation to section 9(2) 8) of the PhD Order, it is not a requirement at DTU that a financing plan (budget) must be included in the PhD plan. However, the financing plan must be in place before enrolment and must be regulated in any collaboration agreement between DTU and an external party (see section 2.6).

The PhD school must ensure that all PhD projects have sufficient funding for the implementation of the elements of the PhD programme, including possible stays abroad, participation in conferences, and travel connected with this.

The PhD student must keep up to date at any given time with DTU's requirements for the contents of the PhD plan.

It is a requirement that the PhD student, as a minimum, plan 20 ECTS points in the submitted PhD plan. Planning of the remaining 10 ECTS points will be part of the half-year reports.

The PhD plan is dynamic and is continuously adjusted during the PhD programme through half-year reports (see section 4.1).

The principal supervisor has the overall responsibility for the preparation of the PhD plan. The PhD plan is commenced by the PhD student in collaboration with the PhD supervisor and is finally approved by the head of the PhD school upon advice of the relevant PhD committee. Changes to the PhD plan are expected, and these are described in the half-year reports.

By their approval of the half-year reports, the principal supervisor and the head of the PhD school accept that the PhD plan is adjusted and developed based on the contents of the half-year reports. Accordingly, the most recently approved half-year report is a further development of the original PhD plan.

### 3.2 Research work

The research project (the PhD project) may be an integral part of a larger research project, or it may

constitute a delimited and independent project. For both ways of organizing the PhD project, it must be clearly defined and planned in terms of scope, expected scientific output, and the PhD student's learning outcome (see section 1.2). The project must be implementable within three years, unless the PhD student is enrolled in part-time studies (see section 2.4).

It is mandatory for PhD students to complete the compulsory elements of DTU's teaching of good scientific practice at any given time. Completion of this activity does not yield ECTS credits.

DTU's principles for good scientific conduct can be found on DTU Inside.

### 3.3 ECTS activities

DTU's framework for ECTS activities has statutory authority in the PhD Order which requires that approx. 30 ECTS points be obtained:

Section 7(2) no.2 of the PhD Order:

*Complete PhD courses or similar study elements totalling approx. 30 ECTS points.*

Guidance notes to the PhD Order:

*In accordance with no. 2), the PhD courses must be at a higher academic level than the qualifying Master's programme, unless this requirement is derogated from based on special academic considerations. Other similar education elements may also be included, such as courses in private companies, individually planned courses, or participation in conferences. These education activities must also be at PhD level. The provision reflects that the course requirement is interpreted broadly in practice, so that it is possible to plan and organize courses of study of the greatest possible relevance to the individual PhD student.*

The PhD schools and assigned PhD supervisors must support the PhD student in planning and organizing an individual course of study within the framework of the PhD Order and DTU's own framework, where an important focus is on the composition of ECTS activities, so that these clearly support the PhD student's research or career path.

PhD students at DTU can obtain ECTS points by completing:

1. PhD courses
2. PhD special courses
3. Other relevant ECTS activities, including participation in conferences, Master's courses to a limited extent, etc.

To a limited extent, DTU's PhD schools may lay down additional guidelines for the availability of PhD courses and mandatory courses and/or other ECTS activities, if they do not significantly restrict the PhD student's opportunity to plan and organize an individual course of study.

It is mandatory for PhD students enrolled in one of DTU's PhD schools to pass DTU's course in *Sustainability Assessment and Communication* (2.5 ECTS points) and *Supervision and facilitation of learning* (1.0 ECTS), unless they have acquired similar competences elsewhere.

For all ECTS activities it applies that one ECTS point corresponds to a workload of 28 hours. Overall, 30 ECTS points correspond to six months' study activities. DTU can accept between 27.5-32 ECTS points as part of the PhD programme.

A specification of ECTS activities and the process for approval of these are found on the PhD programme pages on DTU Inside.

It is mandatory for PhD students to complete DTU's general introduction to good scientific practice. Completion of this activity does not yield ECTS credits.

### 3.4 Participation in other research environments

The requirement for participation in other research environments is laid down in the PhD Order and is specified in the accompanying Guidance notes:

#### 7(2)

3) Participate in active research environments, including stays at other, mainly foreign, research institutions, private research enterprises etc.

#### Guidance notes:

The requirement in no. 3) that PhD students must participate in active research environments will often best be met by stays of a certain duration, for example 3-6 months, at another research institution, primarily abroad. Examples of research institutions at which PhD students can stay include private or public foreign or Danish research enterprises and research institutions, including research libraries and museums with research environments. This must overall be an active research environment with a certain volume.

The intention with the reference to private research enterprises is to stress that the provision also provides an opportunity for stays in private research enterprises during the PhD programme, as private enterprises constitute a significant part of the labour market for PhD graduates.

The institutions must provide the PhD students with guidance about participation and stay in external research environments and ensure that the PhD students have the opportunity to establish contacts with active researchers outside the PhD school.

The requirement for participation in other research environments helps ensure that the PhD students achieve the expected learning outcome of the PhD programme. The PhD qualifications framework emphasizes the following relevant learning outcome:

- Must have knowledge at the highest international level within the field of research.
- Must be able to participate in international discussions in the field of study and to disseminate research results and progress to a wider public.
- Must be able to independently initiate and enter into national and international cooperation on research and development with scientific integrity.

The principal supervisor is responsible for ensuring that the PhD student is introduced to active international research environments outside DTU, thus supporting the PhD student in establishing contact with active researchers outside DTU. The definition of an active research environment outside DTU comprises both research environments at other universities, research institutions, and private companies with a sufficient research environment. In some cases, where it is not possible to plan a physical stay outside DTU, a digital long-distance collaboration that extends beyond ordinary digital correspondence could be considered relevant active participation in an external research environment, as part of an alternative.

It is not a requirement that the stay must be abroad, although this should be attempted as far as possible. Short external stays combined may fulfil the requirement for participation in other research environments.

The stay must be planned so that the PhD student can complete all or parts of the elements of the PhD programme during the stay, such as research work, knowledge dissemination, ECTS activities, etc.

For PhD students who are employed with a company or another external institution, a principle applies that the requirement for participation in other research environments can often be met by the PhD student staying with the employing party for a period. For PhD students employed at DTU, but where the course of the PhD programme is financed fully or partly by external funds, this principle also applies.

There may be special rules for a change of environment for PhD students enrolled in the Industrial PhD scheme, and reference is made to the guidelines applicable to this scheme at any given time. For PhD students enrolled at DTU under a joint degree or double degree scheme, the stay with the partner outside DTU is regarded as an external research stay (see section 6.8).

For all assessments of participation in other research environments (see the guidance notes to the PhD Order), it is a requirement that the external company or institution has an active research environment of a certain volume.

When drawing up the PhD plan, the PhD student and the principal supervisor must consider the options that the PhD student has for going on a research stay. When planning the research stay, the nature of the research project must be taken into account as well as the PhD student's personal and family situation.

### 3.5 Experience in teaching or other forms of knowledge dissemination

The PhD Order stipulates the following:

#### 7(2) no. 4

4) Gain experience of teaching activities or other form of knowledge dissemination which is related to the student's PhD project.

#### Guidance notes

The requirement in no. 4) that the PhD student must gain experience of teaching activities or other form of knowledge dissemination does not lay down any quantitative framework. The contents of no. 4) must not be confused with the work requirements connected with employment as a PhD fellow, but will often be taken into account in this connection.

The institution must ensure that the PhD student's teaching and dissemination activities are related to the PhD project. This can, for example, be ensured by the activities falling within the same methodological, theoretical or empirical field as the PhD project. The teaching or dissemination activities must therefore be relevant to the PhD project. However, this does not mean that the teaching and dissemination activities are required to be within the specific academic contents of the PhD project.

All PhD students must obtain experience with knowledge dissemination, for example through teaching activities in their own academic field or dissemination of research results, for example articles, conference presentations, and the like (see section 7(2), no. 4) of the PhD Order).

At DTU, all PhD students must take part in teaching assignments to ensure that they obtain experience with teaching as a form of dissemination. The principal supervisor is responsible for supporting the PhD student in the overall planning of the teaching activities.

At DTU, the PhD students must complete courses that qualify the PhD student to carry out teaching and dissemination tasks (see also section 8(3) and (4) of the PhD Order, as well as section 3.3 of these rules).

### *3.5.1 Employment and teaching at DTU*

According to the collective agreement with the Danish Confederation of Professional Associations (AC), the department or other employing unit at DTU may assign tasks to DTU-employed PhD students to an extent of up to six months (equal to 840 hours) as part of the three-year PhD programme. At DTU, this provision is applied through the possibility of assigning DTU-employed PhD students departmental tasks to an extent of 420 hours.

The departmental work must include teaching and assistance in connection with DTU courses on BSc and MSc levels. In addition, departmental work may consist of scientific tasks such as supervision of BSc students, co-supervision of MSc students, planning of workshops, assistance in connection with laboratory experiments, participation in PhD committee work, or other academic tasks that can relieve the workload of the other scientific staff. Reference is made to Circular no. 9629 of 28 June 2019 on the Collective Agreement for State-Employed Academics.

PhD students who are not employed at DTU (e.g. Industrial PhD students or PhD students with an external stipend) must teach as part of their dissemination activities (see the knowledge dissemination requirement in the PhD Order as well as section 3.5 of these rules). Accordingly, the requirement is not linked to their employment.

An assessment of the extent and type of dissemination activities and any departmental work must be stated in the PhD student's PhD plan and half-year reports.

## 4. Regular assessments

### 4.1 Half-year reports

The PhD Order stipulates the following:

#### 10.-(1)

At regular points in time during the PhD programme, the institution must assess whether the PhD student is following the PhD plan and, if necessary, adjust the plan. This assessment is based on an opinion from the principal supervisor, who, after having consulted the PhD student, confirms that the PhD programme is progressing in accordance with the PhD plan or justifies, in writing, why adjustments are required. The PhD student must be given the opportunity to submit his or her comments on the principal supervisor's opinion within a deadline of at least two weeks. In the assessment, the institution must take account of periods of documented illness, maternity/paternity leave and other approved leave. The institution lays down rules on the frequency of such assessments.

#### Guidance notes

*To subsection (1):* In case of any adjustment to the PhD plan, the institution must ensure that the level and scope of the PhD programme are maintained. It is up to the institution to determine the form of the assessment. However, for documentation purposes and out of consideration for the PhD student, the assessment should be prepared in writing and document which parts of the programme have been completed, which parts remain to be completed, and whether adjustments to the PhD plan have been approved. The department must make the PhD student aware of any shortcomings in such a way that the PhD student can deal specifically with these.

During the PhD programme, DTU's PhD schools must regularly assess whether the PhD student follows the PhD plan. Every six months, the PhD student and the principal supervisor prepare a report (the half-year report) as part of the regular assessment. The half-year report consists of the PhD student's description of the progress made in the past six months (external research stay, dissemination, ECTS activities, etc.) as well as plans for the next six months. The principal supervisor's assessment of and comments on the half-year report constitute the supervisor's opinion on how the PhD study is progressing.

At DTU, one PhD plan is prepared at the beginning of the course of the PhD programme. For each approved half-year report, the PhD plan is adjusted and developed based on the contents of the half-year reports. Accordingly, the most recently approved half-year report is considered a further development of the original PhD plan.

The principal supervisor may assess that the progress of the PhD programme is:

- satisfactory
- not quite satisfactory or
- unsatisfactory

If the progress of the PhD programme is assessed as *not quite satisfactory*, it is recommended that the PhD student describe a plan for how the progress of the PhD programme will get back on track within the next three months. At the end of the three-month period, the PhD student and principal supervisor will assess whether the desired adjustment of the PhD study has been achieved.

If the progress is assessed to be unsatisfactory, a recovery period must be introduced (see section 4.3).

Read more about DTU's workflow system, PhDigital, for creation, filling in, and approval of the PhD plan and half-year reports on the PhD programme pages on DTU Inside.

#### 4.2 First-year interview

First-year interviews with PhD students are one way of assuring the quality of the PhD programme. The first-year interview helps ensure that the individual PhD student's studies stay on track. The interview is to be conducted by an academic staff member from the department's PhD committee. If this is not possible due to conflicting supervisor roles, arrangements are to be made with the head of the PhD school to find another academic staff member to conduct the interview.

A question guide for the first-year interview is available on DTU Inside.



### 4.3 Recovery, termination, and expulsion

The PhD Order stipulates the following:

10.-(1)

(2) If the institution assesses that the PhD student is not following the PhD plan, in spite of any adjustments made to the plan, the student must be given three months to get back on course. The three months do not give rise to an extension of the PhD programme. The chance to get back on course in connection with a regular assessment pursuant to subsection (1) can only be given to the PhD student once during the PhD programme.

(3) The institution must make a new assessment as described in subsection (1) as soon as possible after the end of the three-month period.

(4) If the assessment described in subsection (3) is negative, the student is expelled from the PhD programme. The institution must inform any other employer(s) of the expulsion without delay.

#### Guidance notes

To subsection (2): The recovery period must not give rise to an extension of the overall PhD programme. It is stipulated that a PhD student can only be offered a recovery period once during the overall PhD programme, as further chances to get back on course cannot be regarded as realistic without this leading to an extension of the period of study.

If the principal supervisor assesses that the PhD study is not progressing satisfactorily and according to the PhD plan, including what has been agreed in the latest half-year report, the principal supervisor must account for and clearly describe the areas in which progress is not being made. This opinion is known as a 'negative half-year report'.

The opinion must be described in such a way that the PhD student can deal specifically with the shortcomings. The assessment must take into account any documented illness, maternity/paternity leave, other approved leave and already planned holiday. The PhD student is given an opportunity to comment on the principal supervisor's written opinion within a deadline of two weeks.

The principal supervisor's opinion and any comments from the PhD student on the opinion are submitted to the head of the PhD school. If the head of the PhD school assesses that the PhD student does not follow the PhD plan despite any adjustments, the PhD student must be offered in writing a chance to get back on course (recovery plan) within three months. The recovery plan must clearly state what the PhD student is expected to correct within this period.

If the PhD student does not wish to accept the offer, the enrolment must be terminated at the end of the month. If the PhD student accepts the recovery offer, the principal supervisor must provide a new opinion within one month from the end of the three-month period. The PhD student is given an opportunity to comment on the principal supervisor's written opinion within a deadline of two weeks.

The principal supervisor's opinion and any comments from the PhD student on the opinion are submitted to the head of the PhD school. If the assessment by the head of the PhD school remains negative, a decision is made on termination of enrolment and expulsion from the PhD programme (see section 10(4) of the PhD Order) at the end of the current month.

The PhD student has the opportunity to appeal the decision of the head of the PhD school within a deadline of two weeks from the day on which the PhD student was notified of the decision. Please see section 7.1 regarding the right of appeal.

If the PhD student is employed as a PhD fellow at DTU, the PhD student's employment will terminate without notice on termination of the enrolment and expulsion from the PhD programme. If the PhD student's PhD programme is financed in whole or in part by external funds, the PhD school will notify the grant givers that the enrolment has been terminated. If the PhD student is externally employed, including through the Industrial PhD scheme, the PhD school will also notify the employing party that the enrolment has been terminated.

#### 4.4 Satisfactory and unsatisfactory completion of the PhD programme

The PhD Order stipulates the following:

**14.-(1)** Within one week of the submission of the thesis, the principal supervisor must submit an opinion on the PhD programme as a whole, including the completion of the individual elements of the PhD plan, see section 9.

(2) If the principal supervisor states in the opinion that the PhD programme is not completed satisfactorily, the PhD student must be given at least two weeks to comment on the principal supervisor's opinion.

(3) On the basis of the opinion of the principal supervisor, see subsection (1), the PhD student's comments, if any, see subsection (2), and the regular assessments, see section 10(1), the institution must determine whether the PhD programme has been completed satisfactorily.

##### Guidance notes

To subsection (1): The principal supervisor should submit the opinion as soon as possible to facilitate the further assessment process. It will be useful if the opinion is submitted before the submission of the PhD thesis.

At DTU, the principal supervisor submits a report (corresponding to the *supervisor opinion* mentioned in the PhD Order) on the PhD programme as a whole at the end of the study period. At DTU, the supervisor report must be submitted no later than on the deadline for submission of the thesis in order to observe deadlines in the PhD order and not to delay the assessment process.

In the report, the principle supervisor must relate to the specific educational elements of the PhD programme. The basis of the report must include learning outcomes for the PhD programme (see the Danish qualifications framework). The supervisor report is prepared in collaboration with any co-supervisors.

Based on the supervisor report, the head of the PhD school assesses whether the PhD programme as a whole has been completed satisfactorily and whether the PhD thesis can be submitted for assessment (see section 15 of the PhD Order).

If the principal supervisor reports that the PhD programme as a whole has not been completed satisfactorily, the PhD student must be given at least two weeks to comment on the principal supervisor's report (see section 14(2) of the PhD Order). Based on the supervisor report, any comments by the PhD student, and the half-year reports; the head of the PhD school assesses whether the PhD programme as a whole has been completed satisfactorily.

If the head of the PhD school assesses that the PhD programme has not been completed satisfactorily, the PhD student is given up to three months to get back on track (see section 4.3) in accordance with the intentions of the PhD Order, but only if this option has not already been used.

The PhD student has the opportunity to appeal the decision made by the head of the PhD school within two weeks of having been notified of the decision. Please see section 7.1 regarding the right of appeal.

## 5. The PhD thesis

The PhD Order stipulates the following regarding the PhD thesis:

**11.** The PhD thesis must document the PhD student's or the author's ability to apply relevant scientific methods and to carry out research work meeting the international standards for PhD degrees within the field in question.

### Guidance notes

Reference is made to the Danish qualifications framework for study programmes at higher education level as well as third cycle qualifications, A Framework of Qualifications for the European Higher Education Area (2005).

**12.-(1)** The institution lays down rules on the writing and submission of the PhD thesis.

(2) A PhD thesis cannot be submitted for assessment by two or more authors jointly.

(3) The PhD thesis must contain an abstract in Danish and English.

(4) Any articles included in the thesis may be written in cooperation with others, provided that each of the co-authors submits a written declaration stating the PhD student's or the author's contribution to the work, see, however, subsection (5).

(5) The institution may lay down rules limiting the number of written declarations submitted pursuant to subsection (4). However, the main author of the article must always submit a written declaration pursuant to subsection (4).

### 5.1 Submission of the PhD thesis

The PhD thesis is submitted no later than on the day on which the enrolment expires. After submission, the student cannot make corrections in the PhD thesis. The PhD student may supplement the PhD thesis with a corrections sheet after the defence. Read more about guidelines for the corrections sheet on the PhD programme pages on DTU Inside.

Enrolment in the PhD programme is terminated on the same date as the thesis is submitted. This also applies to any employment as a PhD fellow at DTU. The principal supervisor and the PhD school will however assist the PhD student, when necessary, up to the defence of the PhD thesis.

### 5.2 Requirements for the PhD thesis

The PhD thesis may either be a collection of articles with a synopsis on how the articles relate to each other (article-based PhD thesis) or a monograph. The PhD thesis must meet the objectives described in section 1.2. The individual PhD school may lay down further requirements for the format of the PhD thesis.

All PhD students are obliged to meet the framework for good scientific practice as described in DTU's Code of Conduct for Research Integrity. Reference is also made to DTU's guideline on how to avoid plagiarism and self-plagiarism in PhD theses. The guideline is available on the PhD programme pages on DTU Inside.

If the PhD thesis contains articles or draft articles written in collaboration with others, a written declaration must be enclosed from the lead author and co-authors of the article stating the PhD

student's contribution to the work (see section 12(4) of the PhD order). Read more about the guidelines for co-author declarations and find DTU's co-author declaration template on the PhD programme pages on DTU Inside.

The PhD thesis must be in electronic form and written in English. In special cases, the head of the PhD school may approve, on the principal supervisor's recommendation, that the PhD thesis is written in a language other than English.

The PhD thesis must contain an abstract in both Danish and English (see section 12(3) of the PhD Order). At DTU, a popular science summary must also be prepared in either Danish or English.

The front page of the PhD thesis must indicate that it has been submitted at DTU. Read more about the process for submission of the PhD thesis on the PhD programme pages on DTU Inside.

### 5.3 Publication of the PhD thesis

The PhD thesis is made publicly available 14 days before the defence (see section 19(2) of the PhD Order).

If a PhD programme has been financed by a company or other external party, confidential information regarding the company/external party may be omitted. The further regulation of what is regarded as the company's/external party's confidential information and how this information is handled, will be contained in a collaboration agreement between DTU and the company/external party.

The PhD student must ensure acceptance from the relevant publisher if articles are included as part of the PhD thesis.

### 5.4 Patent

A PhD student who has made an invention of a potential commercial value, see the Danish Ministerial Order on Patents (*Patentbekendtgørelsen*), is obliged to submit a *Notification of Invention* to DTU Legal and Tech Trans. Once DTU Legal and Tech Trans has received a *Notification of Invention*, DTU will decide whether to take over the rights to the invention within two months. If DTU takes over the rights, work will be continued towards commercialization of the invention and a patent application will usually also be submitted.

It is important to keep an invention confidential until a patent application has been submitted and, as an inventor, the PhD student therefore has a duty of confidentiality. The duty of confidentiality applies towards everyone with the exception of the closest colleagues at the department or contacts who have signed a declaration of confidentiality.

The PhD defence may be postponed if a patent process has been initiated (see section 20(3) of the PhD Order). The PhD defence may only be postponed if the PhD student agrees to this.

Read more about the process for notification of an invention, etc. on DTU Inside under DTU Legal and Tech Trans.

## 6. Assessment, defence, and award of the PhD degree

### 6.1 Appointment of assessment committee

The PhD Order stipulates the following:

**16.-(1)** Upon the submission of the PhD thesis at the latest, the institution appoints an expert assessment committee composed of three members. The institution appoints a chairman from among the committee members.

(2) The members of the assessment committee must be recognised researchers within the relevant field. Two of the members must be external researchers, of whom at least one member must be from outside of Denmark, unless this is not practicable considering the subject in question. The PhD student's supervisors must not be members of the assessment committee; however, the principal supervisor assists the assessment committee without voting rights

Guidance notes

*To subsection (2):* To ensure an impartial assessment, the supervisors cannot be members of the assessment committee. However, the principal supervisor is assigned to the assessment committee without voting rights and will thus assist the assessment committee in its work, in particular in relation to answering any clarifying questions about the underlying course of the PhD programme.

To meet deadlines in the PhD Order and to avoid a delay in the assessment process, the principal supervisor will prepare a proposal on the composition of the assessment committee no later than one month before the deadline for submission of the PhD thesis. The proposal must be discussed with the PhD student.

The members of the assessment committee must be at minimum associate professor level or have equivalent qualifications. Emeritus professors who continue to be active researchers within the relevant research field and who are formally affiliated with another university in the capacity of professor emeritus, may in exceptional cases be members of assessment committees. Members from outside Denmark (see section 16(2) of the PhD Order) must be from a foreign research institution.

Members of the assessment committee cannot be co-authors of articles included in the PhD thesis. Previous co-publication does not in itself result in such disqualification, but may do so for other reasons. Previous co-publication must always be assessed on a case-by-case basis by the head of the PhD school.

The chair of the assessment committee must be employed at DTU. The external members of the assessment committee cannot have any employment attachment to DTU.

Immediately after having appointed the members of the assessment committee, the institution must inform the PhD student thereof. The PhD student is entitled to object to the members appointed within a period of one week (see section 17 of the PhD Order).

If the PhD project has been financed through the Industrial PhD scheme (Industrial PhD student), at least one of the members of the assessment committee must have company-relevant research experience and be qualified within the relevant field (see section 27 of the PhD Order). As a rule though, a committee member must not be employed in the company in which the PhD student is employed.

## 6.2 Preliminary assessment and possible revision

The PhD Order stipulates the following:

**18.-(1)** Within two months of the submission of the PhD thesis, the assessment committee must make its recommendation to the institution as to whether the PhD thesis fulfils the requirements for the award of the PhD degree. The month of July is not included when calculating the two-month deadline. The recommendation must be reasoned, and in the event of disagreement, the majority will prevail. The institution sends a copy of the recommendation to the PhD student or the author as soon as possible.

(2) If the recommendation is favourable, the defence of the thesis can take place.

(3) If the recommendation is not favourable, the assessment committee must state in the recommendation whether the PhD thesis may be resubmitted in a revised version. In such case, a deadline for resubmission must be stated. The PhD student or the author and the principal supervisor must be given the opportunity to submit their comments on the recommendation within a period of at least two weeks.

(4) If the recommendation is not favourable, the institution must make one of the following decisions based on the assessment committee's recommendation and the PhD student's or the author's and the principal supervisor's comments, if any:

1) That the defence of the thesis may not take place.

2) That the PhD thesis may be resubmitted in a revised version within a deadline of at least three months. If the PhD thesis is resubmitted, it must be assessed by the same assessment committee, unless special circumstances apply.

3) That the PhD thesis must be submitted for assessment by a new assessment committee.

The chair of the assessment committee is responsible for ensuring that the assessment is made based on the criteria for PhD thesis assessments in force at DTU at any given time. The chair is also responsible for ensuring that the format of the preliminary recommendation complies with DTU's guidelines for the preparation of such a recommendation in force at any given time.

If the recommendation is not favourable (see section 18(4) of the PhD Order), the head of the PhD school must make one of the decision options stated in nos. 1)-3) based on the assessment committee's recommendation and the PhD student's and the principal supervisor's comments, if any (see section 18(4) of the PhD Order). The decision must be justified.

If the head of the PhD school decides that the PhD thesis is to be resubmitted for assessment by a new assessment committee, this requires special circumstances such as formal errors or disqualification. The dean responsible must be involved prior to the decision to appoint a new assessment committee.

In special cases, the head of the PhD school may decide that a PhD thesis may be resubmitted more than once.

The PhD student may appeal the decision made by the head of the PhD school (see section 7.1).

### 6.3 Defence and postponement of the defence

The PhD Order stipulates the following:

**20.-(1)** The institution decides the time and place of the public defence.

(2) The defence takes place two weeks after the assessment committee's submission of its recommendation, at the earliest, see section 18(1), and within three months of the submission of the PhD thesis, at the latest, see, however, subsection (3) and section 18(1), second sentence.

(3) If special circumstances apply, the institution may decide to postpone the defence. Postponement of the defence is subject to agreement between the PhD student or the author and the institution, including on the date and time arranged for the defence.

#### Guidance notes

To subsection (3): This is an exemption which can only be applied in the event of exceptional circumstances. This may, for example, be the case if the protection of intellectual property rights necessitates a postponement of the defence. It may also be the result of other rules, for example in the Danish Act on Inventions at Public Research Institutions (Research Patents Act (*Forskerpatentloven*)). The defence cannot be postponed without the PhD student's or author's acceptance.

In accordance with section 19(1) of the PhD Order, the PhD thesis must be defended publicly and must, as a minimum, be advertised on the PhD school's/the department's website and in the DTU calendar. The PhD student will assist with necessary material for advertising the defence.

The PhD school decides the time and place of the public defence. The defence will be held at DTU unless this concerns a joint or double degree programme to which special rules apply (see section 6.8). In accordance with section 20(3) of the PhD Order, the head of the PhD school may postpone the defence if special circumstances apply, subject to agreement with the PhD student about the postponement. Special circumstances may, for example, be that the PhD student has submitted a patent application (see section 5.4).

To support a reduced climate footprint and strengthen the possibility of attracting academic capacities who reside far from DTU, the PhD defence can be planned with the possibility of virtual participation by external members of the assessment committee.

In special cases, the head of the PhD school may permit, in accordance with section 19(3) of the PhD Order, that a planned PhD defence be completed with participation of only two members out of the three members of the assessment committee. The PhD student must agree to this.

A PhD defence cannot be completely or partially closed to the public, and any confidential parts of the research project cannot be used as a basis for awarding the PhD degree.

The principal supervisor will ensure that the role of moderator in charge of chairing the defence proceedings is handled by a DTU employee at minimum associate professor level or equivalent. Members of the assessment committee as well as the principal supervisor and co-supervisors cannot undertake the role of moderator.

The defence proceedings can take a maximum of three hours, of which 45 minutes are allocated to the PhD student's independent presentation of the main results of the PhD thesis (the lecture).

The defence must be held in English. In special cases, the head of the PhD school may grant an exemption from the requirement that the defence must be held in English.

The defence may be live streamed if those filmed consent to this.

#### 6.4 Award of the PhD degree

The following is stipulated in the PhD Order:

**21.-(1)** Immediately following the defence, the assessment committee must make its recommendation as to whether the PhD degree should be awarded and must notify the institution and the PhD student or the author thereof. The recommendation must be reasoned, and in the event of disagreement, the majority will prevail.

(2) If the recommendation of the assessment committee is negative, the institution may decide to let the thesis be assessed by a new assessment committee, if so requested by the PhD student or the author within a period of at least one week.

##### Guidance notes

To subsection (1): On the basis of the PhD thesis and the defence, the assessment committee must assess whether the requirements for the PhD thesis and the defence have been met. The recommendation must be made without undue delay out of consideration for the PhD student or the author. The recommendation can be provided orally immediately after the defence and must be made available in written form as soon as possible after this.

At the end of the defence, the assessment committee makes a final assessment of whether the PhD student can be recommended for the PhD degree. The assessment committee will submit the final recommendation to the PhD school (principal supervisor) immediately and no later than one week after the defence. The chair of the assessment committee is responsible for the submission. The recommendation must be reasoned, and in the event of disagreement, the majority will prevail. The recommendation must be written in English.

The PhD degree may be awarded if 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) para (4) of the Danish University Act).

If the assessment committee's recommendation is negative, the PhD student must be given the opportunity to submit comments on this within a deadline of two weeks from receipt of the final written recommendation.

In the event of a negative final recommendation, the head of the PhD school may decide, with consultation of the dean responsible, that the PhD thesis is to be assessed by a new assessment committee if so requested by the PhD student within a period of one week from receipt of the final negative recommendation (see section 21(2) of the PhD Order).

The PhD student has the opportunity to appeal the decision of the head of the PhD school within a deadline of two weeks from when the PhD student was notified of the decision. The appeal must be in writing and reasoned.



## 6.5 Submission of PhD thesis without enrolment

As a rule, DTU does not assess a PhD thesis if the author has not completed a PhD programme (see the opportunity for this in section 15(2) of the PhD Order). Any special circumstances will be described on the PhD programme pages on DTU Inside.

## 6.6 Documentation of the PhD programme and the PhD degree

Once the Academic Council at DTU has awarded the PhD degree, a diploma will be issued.

The diploma states title of the PhD thesis, the PhD school in which the PhD student has been enrolled, and the date on which the PhD degree has been awarded. The diploma is issued as a combined Danish/English version. An appendix to the diploma is prepared listing ECTS activities passed during the PhD programme. A separate supplement is also prepared that provides the PhD student with documentation for the PhD programme, including the contents, scope, and level of the programme.

PhD students who have been enrolled at DTU, but are not awarded a PhD degree may, on request, obtain documentation in Danish and English for the elements of the PhD programme that have been satisfactorily completed (see section 24 of the PhD Order).

## 6.7 Storage and lending of the PhD thesis

DTU is obliged to store a copy of the submitted PhD thesis. This obligation is incumbent on the individual PhD school. Read more about DTU's obligations for storage and lending of PhD theses and submission of PhD theses to the Royal Library (*Det Kgl. Bibliotek*) on the PhD programme pages on DTU Inside.

## 6.8 Joint or double degree

DTU may enter into binding PhD programme collaboration with foreign institutions with a view to issuing joint and double PhD degrees to PhD students (see sections 15(3) and 23(3)-(5) of the PhD Order). Read more about DTU's criteria for the conclusion of such collaboration agreements on the PhD programme pages on DTU Inside.

# 7. Right of appeal and exemption

## 7.1 Right of appeal

Appeals against decisions made by the head of the PhD school or the PhD committee on matters pertaining to the PhD programme that do not concern legal issues and DTU's decisions made in accordance with the PhD Order concerning legal issues may be appealed to the Danish Agency for Higher Education and Science. The deadline for submission of an appeal is two weeks from the date on which the complainant was informed of a decision (see section 29 of the PhD Order).

The appeal must be submitted to the relevant PhD school which issues a statement. The complainant must be given the opportunity to comment on the statement within one week. DTU will then send the appeal to the Agency accompanied by the statement and any comments from the complainant.

The Agency's decisions cannot be brought before a higher administrative authority.

If the Agency considers the appeal to be of a non-legal nature, the appeal is returned to the university for a final decision.

## 7.2 Exemptions

The Dean of Graduate Studies and International Affairs may, in special cases, grant exemptions from the rules laid down by DTU (the Institutional Rules).

The Agency for Higher Education and Science may grant exemptions from the PhD Order if unusual circumstances apply (see Section 28(1) of the PhD Order).

In addition, the Dean of Graduate Studies and International Affairs may, by agreement with the President, lay down general deviations from the rules set solely by DTU if special circumstances apply to the individual PhD school.

In special cases, the head of the PhD school may grant exemptions from supplementary guidelines laid down by the PhD school.

## 8. The PhD school's guidelines

DTU's PhD schools may, where needed, lay down supplementary guidelines to DTU's rules for its PhD programme. Any supplementary guidelines laid down by DTU's PhD schools apply only to PhD students enrolled in the PhD school in question.

## 9. Evaluation

In accordance with the Danish University Act (section 3a and section 16b(2) para (5) by implication), DTU must ensure that there is regular international evaluation of its PhD programme. DTU's PhD schools and their activities are evaluated every five to six years as part of the departments' international research evaluation. DTU has a separate evaluation process for the centres that function as PhD schools.

It is the responsibility of the head of the PhD school and the dean responsible to follow up on the evaluations. The head of the PhD school must involve the PhD committee in the planning of and follow-up on the evaluation (see section 16b(2) para (5) of the Danish University Act by implication and DTU's Rules of Procedure for PhD committees).

Read more about evaluation and DTU's quality assurance system for its PhD programme on the PhD programme pages on DTU Inside.

PhD students may be asked to evaluate the course of their PhD programme on completion of the PhD education.

## 10. Financial conditions and insurance

Financial conditions regarding DTU's PhD programme are described on the pages of the Office for Finance and Accounting on DTU Inside.

The same conditions apply to DTU-employed PhD students regarding accident and third-party liability insurance as to other DTU employees. It should be noted in this connection that the employment of a PhD student expires no later than when the PhD thesis is submitted.

PhD students who are either no longer employed and thus formally not employees, or who are only enrolled in the PhD programme, are themselves responsible for taking out accident, third-party liability and travel insurance that provides cover regardless of whether the PhD student is staying in Denmark or in another country during the PhD programme.

## 11. Commencement of these rules and interim provisions

DTU's rules for its PhD programme have been adopted by the Dean of Graduate Studies and International Affairs.

The PhD programme pages on DTU Inside contain contributions on the practical management of cases, exemplifications, and supplementary information on DTU's institutional rules.

Interim provisions for PhD students enrolled before 1 January 2022 are shown on the PhD programme pages on DTU Inside.