



AALBORG UNIVERSITET

Doctoral School of Social Sciences and Humanities

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Internal Rules

Internal Rules for the PhD Programme at Doctoral School of Social Sciences and Humanities, AAU

OBJECTIVE AND DEFINITION

The Doctoral School of Social Sciences and Humanities at Aalborg University offers PhD education pursuant to *Ministerial Order No 1039 of 27 August 2013 on the PhD Programme at the Universities and Certain Higher Artistic Educational Institutions (PhD Order)*, cf. *The Danish University Act (Universitetsloven)* and *Statutes of the self-governing institution Aalborg University*.

Internal Rules for the PhD Programme at the Doctoral School of Social Sciences and Humanities, AAU supplements the PhD Order and stipulates the internal rules laid down by the Dean upon recommendation from the Doctoral School Director and the PhD Board. The Internal Rules apply to PhD students who commenced the PhD programme at the Doctoral School of Social Sciences and Humanities, AAU from 1 January 2022 onwards. PhD students who commenced the PhD programme at Doctoral School of the Humanities or the Doctoral School of Social Sciences before 1 January 2022 are entitled to follow the internal rules applicable at the time of enrolment, please see the website of the doctoral school for information on previous rules.

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Part 1. Purpose, structure etc.

Ministerial Order on the PhD Programme

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.

2.-(1) The ministerial order applies to PhD programmes at the universities and at the higher artistic educational institutions under the Ministry of Science, Innovation and Higher Education.

(2) The institutions, see subsection (1), may award the PhD degree within fields within which they carry out research and within which they have set up a PhD school, either independently or in cooperation with other institutions covered by the ministerial order.

3.-(1) The PhD degree is awarded to students who have successfully completed the PhD programme, see, however, section 15(2) and (3), and successfully defended their PhD thesis.

(2) Persons who have been awarded a PhD degree have the right to use the title PhD.

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.

Rules applying to the Doctoral School of Social Sciences and Humanities at Aalborg University

1. The PhD programme may be organised as part-time studies. Part-time study periods may vary from 4 to 6 years. It is possible to be enrolled as part-time PhD student during the entire enrolment period or during parts of the enrolment period.
2. Leave for academic or personal reasons may be granted in special circumstances, in agreement with the principal supervisor and the head of programme, and on the basis of a reasoned application to the head of department. Decisions concerning leave are made on the basis of an individual assessment and in consideration of the further completion of the PhD programme.
3. When leave is granted, the enrolment period is extended accordingly and the PhD plan must be adjusted and reapproved by the principal supervisor, the head of programme and the head of department immediately after the PhD student has reentered the PhD programme.
4. PhD students on leave are not entitled to receive supervision, attend PhD courses, and retain their office space etc.
5. PhD students may apply for up to two extension periods of six months, at the end of the enrolment period. The PhD student must use the application form available on the doctoral school's website. The application must be approved by the principal supervisor and the doctoral school director.
6. The maximum extension period will also be six months for part-time PhD students, unless special circumstances apply. The extension only concerns the enrolment and not the employment of the PhD student.

Part 2. Admission etc. to the PhD programme

Ministerial Order on the PhD Programme

5.-(1) Admission to the PhD programme is based on a Master's degree or equivalent.

(2) The university may decide to let the PhD programme start in connection with a Master's programme; however, it must be ensured that the entire study programme has the scope and level described in sections 1 and 4. The university lays down rules thereon.

(3) Students admitted under subsection (2) must have the opportunity to complete the Master's programme.

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.

(2) The PhD student is enrolled administratively on the PhD programme.

Rules applying to the Doctoral School of Social Sciences and Humanities at Aalborg University

7. Applications for admission on the basis of other degrees than the 300 ECTS Master's degree will be assessed on the basis of information about the level and contents of the study programme in question. It is the responsibility of the applicant to provide the necessary documentation of the level of the study programme.
8. Commencement of the PhD programme in connection with a Master's programme (the 3+5 and 4+4 schemes) is only allowed following approval by the doctoral school director.
9. The PhD application must include the following and be written in English or Danish:
 - Application for enrollment
 - Copy of diplomas/transcripts
 - Curriculum vitae (CV)
 - Project description containing the research project title, an outline of the course of study and a description of the overall problem areas (approx. 8 pages, 1 page = 2400 typing units)
 - List of written work (optional)
 - Sample of written work, e.g. Master's thesis (optional)
 - Publications (max. 5), if relevant. If publications have been written in co-operation with others, a declaration from each of the authors must be attached stating the extent of the PhD student's contribution to the total work. The declaration must be signed by the co-author(s)
 - Applicants who are planning to complete a doctoral thesis in English and who do not have English as a first language or who have not completed an English language-based Master's programme (or an equivalent educational achievement in English) shall provide documentation that they have passed one of the following official tests with the respective minimum score: IELTS (band score): 7, TOEFL (paper-based): 600, TOEFL (internet-based): 100. The language test must be no more than five years old at the time of the application. English skills may also be documented in the following manner: 1) An English taught qualifying upper secondary school diploma, Bachelor's degree or Master's degree from USA, Canada, Australia, New Zealand, UK or Ireland. 2) A Nordic or German upper secondary school diploma, International Baccalaureate (from the IB diploma programme) or European Baccalaureate (from Schola Europaea) with an English level equivalent to a Danish B level in English with a minimum GPA of 3.0 (Danish grade scale). 3) A Danish Upper secondary school diploma - 'English level B' or 4) a Danish Upper secondary school diploma - 'English level A'.
 - Application for possible credit transfer

Project descriptions will be checked for plagiarism.

10. PhD applicants are assessed by an expert committee and the recommendation of the committee forms the basis of the final decision of the head of department and the director of the doctoral school.

The following criteria must be assessed:

1. Project Proposal

The project proposal must fall within the scope of one of the doctoral programmes of the doctoral school and be closely linked with a research group. The problem formulation, theoretical framework, and methodology of the project proposal must document that the candidate is qualified for the PhD programme. Moreover, the project proposal must document that the project is feasible within the available time and budget.

2. Grade Requirements

PhD candidates must have achieved the grade 10 or above in the Danish grading system (or the equivalent in a different grading system) for their Master's Thesis/final exam. The PhD candidate may be exempted from the grade requirement, if he/she is able to provide other forms of documentation of his/her qualifications.

Part 3. Contents of the PhD programme etc.

Ministerial Order on the PhD Programme

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) The institution may approve on a case-by-case basis that the PhD programme does not comprise one or more of the elements described in subsection (2), nos. 1-4, if the institution finds that the PhD student has completed other study elements that are comparable to the above (credit transfer).

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.

(3) The institution offers the PhD student a teaching course.

(4) The institution offers the PhD student teaching guidance.

(5) The institution ensures that the required resources are available for the PhD student to complete the PhD programme as laid down in the student's PhD plan.

(6) The institution lays down rules for the supervision provided to the PhD student.

Rules applying to the Doctoral School of Social Sciences and Humanities at Aalborg University

11. The PhD student must prepare a preliminary course plan in consultation with the principal supervisor, as part of the PhD plan. For approval of completed course activities, the course diploma or other documentation of

participation must be submitted together with the next progress report. The head of programme ensures that the courses are relevant for the PhD programme and are at PhD level.

12. The AAU Basic Course in University Pedagogy is compulsory for PhD students enrolled at the doctoral school, if the PhD student has a teaching obligation at the university. PhD students who have attended the course, before the enrollment as PhD student are exempted.
13. It is compulsory for PhD students to attend the AAU PhD course on the Danish Code of Conduct for Research Integrity or a similar PhD course focusing on research integrity.
14. Conference participation releases ECTS, if the PhD student makes a presentation at the conference. After conferring with the principal supervisor, the suggested number of ECTS credits is stated on the form for approval of ECTS for conference participation and is then submitted with the next progress report for final approval.

Allocation of ECTS:

Conference with duration of 1-3 days, with contribution: 1 ECTS credit

Conference with duration of 4-5 days, with contribution: 2 ECTS credits

15. At least 20 ECTS must be reserved for subject-specific courses. ECTS for conference participation is considered as a subject-specific course activity and must not constitute more than 8 ECTS.
16. It is mandatory for PhD students to participate in international research environments as part of the PhD programme outside Aalborg University. This include stays at other, mainly foreign, research institutions, private research companies etc.
17. The specific plans for the PhD student's research stay(s) must be stated in the 12 months progress report.
18. This section concerns knowledge dissemination which is a mandatory element of the Danish PhD programme, cf. the PhD Order § 7. PhD students who are enrolled at the Danish Universities must gain experience of teaching activities or other forms of knowledge dissemination, which is related to the student's PhD project, cf. the PhD Order § 7. It means that knowledge dissemination activities should be related to the methodological, theoretical or empirical field of the PhD project.

The knowledge dissemination requirement applies to all PhD students enrolled in the Doctoral School of Social Sciences and Humanities and corresponds to 600 hours.¹

Examples of relevant knowledge dissemination activities are:

Teaching activities:

- Seminars and lecturing
- Project supervision on Bachelor's and Master's level

Knowledge dissemination outside academia:²

- Presentations and workshops at practitioners' conferences and meetings

¹ For PhD students who are employed at the university, the work obligation according to the Collective Agreement for Academics in Denmark is 840 hours but at the Faculty of Social Sciences and Humanities, the work obligation is reduced from 840 to 600 hours. The work obligation is most often used for e.g., teaching thereby also fulfilling the knowledge dissemination requirement in the PhD Order.

² The number of hours allocated for a specific activity must be determined in co-operation between the PhD student and the supervisor. The hours are finally approved by the Head of Programme in connection with the relevant progress report.

- Presentations, workshops and lectures to for example municipalities, regions, ministries, organizations, educational institutions and other partners
 - Participation in follow-ups with external partner, for example meetings and workshops
 - Communication with media stakeholders
 - Popular articles in newspapers, magazines, websites etc.
 - Exhibition work and other associated tasks at museums and archives
19. The PhD board may approve a reduction in the stipulated three years of full-time studies (credit transfer) upon application from the PhD student, if the PhD student has completed elements of the PhD programme, before the enrolment. Applications for credit transfer must be submitted before the PhD student is enrolled.
 20. The director of the doctoral school appoints a principal supervisor prior to the enrolment of the PhD student. The supervisor is appointed upon recommendation from the head of department who may consult the head of programme.
 21. The principal supervisor must be a researcher employed on a permanent basis at Aalborg University, possessing qualifications corresponding to professor, associate professor or senior researcher level and must have an academic background relevant to the PhD project.
 22. In connection with the appointment of the principal supervisor, a co-supervisor is also appointed, unless special circumstances apply. The director of the doctoral school must ensure that the secondary supervisors have an academic background relevant to the PhD project. A maximum of 2 co-supervisors may be appointed.
 23. 240 hours of supervision are allocated to the entire PhD programme. Supervision hours will be distributed between principal supervisor and secondary supervisors, in agreement with the PhD student. Principal supervisor is responsible for the overall PhD programme. The number of spent supervision hours is registered in the progress reports.
 24. It is mandatory for AAU-employed PhD supervisors to attend supervisor seminars or courses at least once every five years. The doctoral school will offer annual supervisor seminars and courses; one for experienced supervisors and one for new supervisors.
 25. Principal supervisors must be familiar with the requirements to principal supervisors. The requirements are available at the website of the Doctoral School.
 26. AAU Learning Lab offers teaching courses for PhD students.

Part 4. Completion of the PhD programme

Ministerial Order on the PhD Programme

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).

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.

(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.

Rules applying to the Doctoral School of Social Sciences and Humanities at Aalborg University

27. No later than three months after admission, the PhD student must submit a PhD plan for approval by uploading it to PhDManager. The deadline is three months for both full-time and part-time PhD students. The PhD plan must be approved by the principal supervisor, the head of programme, and the head of the department. The template is available on the doctoral school's website.
28. In connection with the PhD plan, the PhD student and principal supervisor must ensure that there is a matching of expectations as regards the form and contents of supervision and the distribution of hours.
29. During the PhD study, PhD students must submit five progress reports. Progress reports constitute the evaluation of the progress, with reference to the PhD plan. The five progress reports consist of three written reports and two combined written and oral reports:
 - 1st Progress report (portfolio) = after 6 months
 - 2nd Progress report (portfolio and oral) = after 12 months
 - 3rd Progress report (portfolio) = after 18 months
 - 4th Progress report (portfolio) = after 24 months

5th Progress report (portfolio and oral) = after 30 months

The requirements are described in detail at the website of the Doctoral School.

30. Part-time PhD students must also submit a total of five progress reports at durations proportional to their period of study.
31. If the PhD student does not follow the PhD plan and make progress as expected, the director of the doctoral school may initiate a three-month period to get the PhD study back on course. This must be based on an assessment from the principal supervisor. The assessment must be accompanied by a plan for the three-months re-establishment period stating what has to be done. AAU PhD, on behalf of the doctoral school director, informs the PhD student of his/her right to comment on the assessment from the supervisor. Based on the assessment and the comments from the PhD student, if any, and advice from the head of programme, the director of the doctoral school makes the final decision as to whether a three-month period should be initiated. Immediately following the end of the three-month period the principal supervisor must forward an assessment of the progress of the PhD student to AAU PhD. The assessment must clearly indicate if the PhD student has been able to get the PhD study back on track. Again, AAU PhD, on behalf of the doctoral school director, informs the PhD student of his/her right to comment on the assessment from the supervisor. Based on the assessment and the comments from the PhD student, if any, the director of the doctoral school makes the final decision as to whether or not the PhD study can continue.

Part 5. PhD thesis

Ministerial Order on the PhD Programme

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.

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).

13. The PhD student's enrolment at the institution expires upon the submission of the thesis.

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.

15.-(1) The thesis can only be accepted for assessment if the PhD programme is completed satisfactorily, see, however, subsections (2) and (3).

(2) In special cases, the institution may decide that a thesis may be accepted for assessment without the author having completed the PhD programme, if the institution assesses that the author has in other ways acquired other comparable qualifications.

(3) The institution may accept a PhD thesis written by a PhD student from a foreign educational institution for assessment if the PhD student has completed a period of study at the Danish institution as part of a mutually obliging collaboration agreement on PhD training, including the assessment, defence, awarding of degrees etc., and if the institution assesses that the PhD student has acquired qualifications comparable with those acquired under a Danish PhD programme.

Rules applying to the Doctoral School of Social Sciences and Humanities at Aalborg University

32. The PhD thesis must be in compliance with the principles stipulated in The Danish Code of Conduct for Research Integrity and contribute to the development of new scientific knowledge and be of sufficiently high quality to merit publication as part of the scientific literature in the field.

33. The PhD thesis may take the following forms:

- a) Monograph
- b) Article-based
- c) Combination model

The monograph is a coherent scientific work and based on individual authorship.

The article-based dissertation typically consists of 3 – 5 scientific contributions (journal articles, book chapters, papers in conferences proceedings), which have been published in or are potentially publishable through recognized publishing channels, and a summary report. The structure of the dissertation must reflect academic practices in the field of study, and the final decision whether the scientific contributions in combination with the summary report qualify for achieving the PhD degree is made by the assessment committee and not by journal editors or referees.

Scientific contributions may be written in collaboration with others but must include clearly identifiable independent contributions of scientific importance by the PhD student. Declarations of co-authorship identifying the PhD student's share of contribution must be included in the dissertation. At least one significant scientific contribution in an article-based dissertation must be single authored, or alternatively the PhD student must be first author on, or have made a major contribution to, at least two scientific contributions.

The summary report has a maximum length of approx. 70 standard pages. The summary report is expected to tie the scientific contributions together and provide a background and context for the PhD project. It should relate the PhD study to previous research and demonstrate the contribution of the dissertation to its field of research. It should describe the theoretical and thematic frame for the scientific contributions, discuss the methodological and analytical choices made and summarize how main findings contribute to the development of new knowledge that meets the international standards of the field.

The combination model typically consists of a 'short monograph' (maximum 100 standard pages) and two scientific articles, which have been published in or are potentially publishable through recognized publishing channels. The short monograph should include a summary report that ties the scientific contributions together and summarizes how main findings contribute to the development of new knowledge that meets the international standards of the field. The summary report may also be appended separately.

Articles may be written in collaboration with others but must include clearly identifiable independent contributions of scientific importance by the PhD student. Declarations of co-authorship identifying the PhD student's share of contribution must be included in the dissertation.

General guidelines

The decision concerning the form of the PhD thesis is closely linked to the subject matter of the thesis and should be discussed thoroughly with the principal supervisor. It is recommended that the form of the PhD thesis is decided no later than at the 12-month evaluation.

Guidelines for all three models (monograph, article-based, combination model) are meant to be guidelines and not strict rules. This means that there can be variations across the different disciplines and scientific traditions at the Doctoral School of SSH, which does not completely match the main models. Irrespective of the three models, it is quality, not length, which really matters.

34. It is recommended that the PhD thesis, regardless of the form of the PhD thesis, does not exceed 300 standard pages (1 standard page = 2400 typing units).
35. The PhD thesis must be written in Danish or English. Should the PhD student wish to write in another language, he or she must submit a reasoned application to the head of programme.
36. The PhD thesis must contain an abstract of max.10 pages in English and Danish.
37. If the scientific contributions are written in cooperation with others, co-authors' declarations must be submitted separately.
38. The PhD student must submit a declaration stating whether the PhD thesis, as a whole or in parts, previously has been submitted for assessment with a view to acquiring an academic degree or a prize at an institution of higher education in Denmark or abroad.
39. On completion of the PhD project, the PhD student submits the PhD thesis electronically through VBN, as stipulated in the [AAU procedure for submission of PhD theses](#).
40. The PhD student's enrolment and employment will be terminated from the submission date, also if the PhD thesis is submitted before the expected end date.

41. Two weeks before the submission of the PhD thesis, the principal supervisor must submit an opinion on the PhD programme as a whole. The principal supervisor may involve any other supervisors in the writing of the opinion. The supervisor's opinion must be approved by the director of the doctoral school, who certifies that the PhD programme as a whole has been completed. The supervisor's opinion is enclosed as supplements to the PhD certificate and must be written in English and follow the template available on the doctoral school's website.
42. The decision as to whether a thesis may be accepted for assessment without the author having completed the PhD programme rests with the director of the doctoral school. The decision is made on the basis of an expert assessment of the qualifications of the author. The author must submit the form regarding submission without previous enrolment together with material documenting that the author has acquired qualifications comparable to the Danish PhD programme.
43. PhD students who have completed a period of the PhD study at the Faculty of Social Sciences and Humanities, as part of a mutually obliging collaboration agreement may submit their PhD thesis for assessment at Doctoral School of Social Sciences and Humanities, if the requirements stipulated in the Procedure for double and joint degree collaborations are complied with.

Part 6. Assessment committee

Ministerial Order on the PhD Programme

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.

17. Immediately after having appointed the members of the assessment committee, the institution must inform the PhD student or the author thereof, see section 15(2). The PhD student or the author is entitled to object to the members appointed within a period of at least one week.

Rules applying to the Doctoral School of Social Sciences and Humanities at Aalborg University

44. On the basis of a recommendation from the principal supervisor and the PhD study board, the director of the doctoral school appoints the expert assessment committee; the members must be professors, full-time employed associate professors or possess corresponding qualifications. The proposed chair of the assessment committee must be employed at Aalborg University unless special circumstances exist. The director of the doctoral school must be consulted in such instances. More than one gender must be represented in the assessment committee, unless special circumstances apply.
45. The recommendation must be accompanied by a short CV of any external members and a short reason for the proposed members. Before submitting the proposal, the doctoral programme must ensure that the persons in question are willing to join the assessment committee. The recommendation should be submitted at least one month before submission of the PhD thesis.
46. During the assessment period, any contact between the assessment committee and the PhD student regarding the PhD thesis and the assessment must go through the PhD administration at AAU PhD.

Part 7. Preliminary assessment of the PhD thesis

Ministerial Order on the PhD Programme

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.

Rules applying to the Doctoral School of Social Sciences and Humanities at Aalborg University

47. The assessment committee submits its preliminary recommendation to the PhD administration at AAU PhD. The recommendation must be in compliance with the doctoral school's guidelines. The recommendation must follow the Doctoral School's template which can be found at the Doctoral School's website.

48. The recommendation must be approved by the director of the doctoral school, before it is forwarded to the PhD student.

Part 8. Defence of the PhD thesis

Ministerial Order on the PhD Programme

19.-(1) The PhD thesis must be defended publicly in accordance with rules laid down by the institution. At the defence, the PhD student or the author must be given the opportunity to explain his or her work and defend the PhD thesis before the members of the assessment committee, see, however, subsection (3). 5

(2) The institution must ensure that the PhD thesis is made available to the public in due time before the defence.

(3) If special circumstances apply, subject to agreement with the PhD student or the author, the institution may decide that a planned defence can be completed with participation of only two members of the assessment committee.

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.

Rules applying to the Doctoral School of Social Sciences and Humanities at Aalborg University

49. The Head of Department appoints a senior academic to chair the oral defence, and ensures that the chair is familiar with the formal procedures for the conduct of this event. The supervisor cannot act as chair.
50. The PhD defence must take maximum 3 hours inclusive of a break. The oral defence begins with a lecture by the PhD student that presents the main argument and knowledge contribution of the thesis, and addresses the most important critical points raised by the assessment committee. The PhD student's presentation of his or her work may take approximately 45 minutes. Each assessment committee member may spend approximately 30 minutes on questions and dialogue with the PhD student. The chair may allow others to make contributions (questions ex auditorium). The chair must ensure that the PhD student gets the necessary time to answer the questions asked. The total question time shall not exceed 2 hours.
51. The PhD thesis is made available to the public at the respective doctoral programme, immediately after the PhD student receives notice of the positive preliminary recommendation.
52. Time and place of the public defence is decided by the doctoral programme, in consultation with the chair of the assessment committee and the PhD student.
53. The defence can be held in either of the two following forms:
 - 1) All participants are physically present.
 - 2) Hybrid format. At least PhD student, chair of the assessment committee and chair of the defence are physically present. One or more external members of the assessment committee attend virtually.It is recommended that all defences are streamed thus enhancing the visibility of the research at Aalborg University.
A fully virtual defence requires permission from the doctoral school director and will only be given in extraordinary circumstances.

The PhD student must be involved in planning the defence.
54. If unusual circumstances apply, the director of the doctoral school may approve that the defence is postponed. Postponement of the defence is subject to mutual agreement between assessment committee and the PhD student.

Part 9. Award of the PhD degree

Ministerial Order on the PhD Programme

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.

22. The PhD degree may be awarded if the assessment committee submits a recommendation to that effect.

23.-(1) The institution issues a certificate of the award of the PhD degree.

(2) Such certificate must be in Danish and English and contain information on the relevant field and the subject of the PhD thesis as well as information on the PhD programme completed.

(3) As part of a mutually obliging collaboration agreement on PhD training, including the assessment, defence, awarding of degrees etc., the institution may provide a certificate with an endorsement, signature or the like from one or more foreign institutions with which the institution collaborates, making it appear as a joint document, if the document is also made enforceable under foreign law (joint degree).

(4) As part of a collaboration agreement, see subsection (3), the institution may also provide a certificate from one or more foreign institutions with which the institution collaborates with an endorsement, signature or the like, such that the diploma is also made enforceable under Danish law, if the institution assesses that the PhD student has acquired qualifications comparable with those acquired under a Danish PhD programme.

(5) The institution and one or more foreign institutions with which the institution collaborates may, as part of a collaboration agreement, see subsection (3), each issue a certificate of the award of the same PhD degree (double degree or multiple degree).

24. If the PhD degree is not awarded, the institution will upon request issue documentation in both Danish and English concerning the elements of the PhD programme that have been completed.

Rules applying to the Doctoral School of Social Sciences and Humanities at Aalborg University

55. No later than one week after the defence, the chair of the assessment committee must send the final recommendation to AAU PhD as to whether the PhD degree should be awarded. The recommendation must be in compliance with the formalities as stipulated in the guidelines for assessment committees.

56. AAU PhD issues the PhD diploma with supervisor's opinion enclosed, immediately after the PhD degree has been awarded by the Academic Council.

57. Double or joint PhD degrees may be awarded, when the PhD student has been formally enrolled at Doctoral School of Social Sciences and Humanities and as part of a formal collaboration agreement in accordance with the requirements stipulated in Procedure for double and joint degree collaborations.

Part 10. The institution's rules

Ministerial Order on the PhD Programme

25.-(1) The institution lays down rules on:

- 1) Admission to the PhD programme, see section 6(1). 6
- 2) Organisation of the PhD programme, see section 4(1), section 7(1) and section 10(1).
- 3) Appointment of the principal supervisor, see section 8(1), and any further supervisors, see section 8(2) and section 27(1), no. 1.
- 4) Supervision of PhD students, see section 8(6).
- 5) Writing and submission of the PhD thesis, see section 12(1).
- 6) Defence of the PhD thesis, see section 19(1).

(2) The university also lays down rules on admission to the PhD programme pursuant to section 5(2).

(3) The rules must contain a provision to the extent that the institution may grant exemptions from the rules laid down by the institution.

(4) The rules and material amendments thereto must comprise the necessary interim arrangements.

(5) The institution's rules must be made public on the institution's website.

Rules applying to the Doctoral School of Social Sciences and Humanities at Aalborg University

58. Exemptions from the internal rules laid down by Doctoral school of Social Sciences and Humanities at Aalborg University may be granted by the director of the doctoral school.

Part 11. Other rules

Ministerial Order on the PhD Programme

26.-(1) In connection with the conclusion of a mutually obliging collaboration agreement on PhD training, including the assessment, defence, awarding of degrees etc. with one or more foreign educational institutions, the institution may derogate from the requirements set out in the ministerial order concerning:

- 1) The composition of the assessment committee, see section 16(1), first sentence, and section 16(2), second sentence.
- 2) The deadline for preliminary assessment of the PhD thesis, see section 18(1), first and second sentence.
- 3) The deadline for scheduling the defence of the PhD thesis, see section 20(2).

(2) In such cases, the institution is responsible for informing applicants and PhD students who are covered by the collaboration agreement about the conditions applying to the programme, including the rules in the ministerial order derogated from, see subsection (1). This information must be made available before the application deadline.

27. The following applies to PhD fellowships financed through the Industrial PhD scheme:

- 1) In addition to the principal supervisor, see section 8(1), the institution appoints a supervisor affiliated with the company in which the PhD student is employed. Such supervisor must be qualified within the relevant field.
- 2) At least one of the members of the assessment committee, see section 16(1), must have company-relevant research experience within the relevant field.

28.-(1) The Danish Agency for Universities and Internationalisation may grant exemptions from the ministerial order for PhD students at universities if unusual circumstances apply, except in the situations mentioned in section 19(3), section 20(3) and section 26(1).

(2) The Danish Agency for Higher Education and Educational Support may grant exemptions from the ministerial order for PhD students at higher artistic educational institutions if unusual circumstances apply, except in the situations mentioned in section 19(3), section 20(3) and section 26(1).

Rules applying to the Doctoral School of Social Sciences and Humanities at Aalborg University

59. Mutually obliging collaboration agreements deviating from the requirements set out in the ministerial order regarding the assessment committee, the assessment process, and the defence must be approved by the dean upon recommendation from the director of the doctoral school.

Appeals against decisions made by the institution

Ministerial Order on the PhD Programme

29.-(1) The university's decisions made under the present ministerial order may be appealed to the Danish Agency for Universities and Internationalisation by the party which the decision concerns (the complainant) if the appeal concerns legal issues. Complaints must be submitted within two weeks of the complainant having been informed of a decision.

(2) The higher artistic educational institution's decisions made under the present ministerial order may be appealed to the Danish Agency for Higher Education and Educational Support by the party which the decision concerns (the complainant) if the appeal concerns legal issues. Complaints must be submitted within two weeks of the complainant having been informed of a decision.

(3) The PhD students and authors described in the present ministerial order are entitled to make complaints. However, in order to be entitled to submit complaints, authors who have not completed the PhD programme must have had their PhD thesis accepted for assessment pursuant to section 15(2).

(4) The complaint must be submitted to the institution which has made the decision in the case. The institution will issue a statement giving the complainant at least one week to respond. The institution then sends the complaint to the relevant agency, see subsections (1) and (2), accompanied by the statement and any comments thereon from the complainant.

Rules applying to the Doctoral School of Social Sciences and Humanities at Aalborg University

60. Complaints about the university's decision under the ministerial order must be submitted in writing to AAU PhD.

Part 12. Commencement and interim provisions

Ministerial Order on the PhD Programme

30.-(1) This ministerial order enters into force on 1 September 2013.

(2) Ministerial Order no. 18 of 14 January 2008 on the PhD Programme at the Universities (PhD Order) is repealed.

(3) The institution may lay down the necessary interim arrangements for students to complete the programme in accordance with the rules set out in this ministerial order.

ORIGIN, BACKGROUND AND HISTORY

As of 1 January 2022, the Doctoral School of Social Sciences and Humanities was established following the merger of the Doctoral School of Social Sciences and The Doctoral School of Humanities. *Internal Rules for the PhD Programme at Doctoral School of Social Sciences and Humanities*, AAU replaces internal rules in force at the previous doctoral schools. Internal Rules are approved by the Dean upon recommendation from the PhD Board and Doctoral School director.

OVERALL FRAMEWORK

The Danish University Act (Universitetsloven)

Statutes of the self-governing institution Aalborg University

Ministerial Order No 1039 of 27 August 2013 on the PhD Programme at the Universities and Certain Higher Artistic Educational Institutions (PhD Order)

The Ministry of Finance Circular of December 15, 2021 on the Collective Agreement for Academics in Denmark, Appendix 5, regarding PhD Fellows

CONTACT/RESPONSIBILITY

AAU PhD, contact aauphd@adm.aau.dk