

Regulation no. 642-2011

Regulation on doctoral study at the University of Iceland School of Engineering and Natural Sciences, no. 642/2011

Article 1. On studies. Objectives.

At the University of Iceland School of Engineering and Natural Sciences, doctoral studies may be pursued in those subjects of instruction identified in Chapter XIV of the Rules for the University of Iceland no. 569/2009.

Doctoral studies may be undertaken in all faculties of the School in those fields where the faculty in question and the School of Engineering and Natural Sciences deem that the necessary facilities and expertise are at hand.

The objective of doctoral studies is to equip students with extensive and solid research training and enable them to conduct independent scientific work. Each individual faculty shall define learning outcomes for doctoral study in the subjects of instruction offered within that faculty.

This Regulation establishes a common framework for doctoral study at the School of Engineering and Natural Sciences; more detailed provisions concerning various aspects of study can be found in rules on the organisation of study programmes for individual subjects.

The University of Iceland Graduate School shall oversee and implement the quality criteria and requirements for graduate studies adopted at the University of Iceland, cf. Article 18 of this Regulation and Article 66 of the Rules for the University of Iceland No. 569/2009. Information and data requested by the Centre must be supplied.

Article 2. Admission requirements.

To be enrolled in doctoral studies in a faculty (hereafter, “the faculty”) of the School of Engineering and Natural Sciences (hereafter, “the School”), a student must have completed a recognised Master’s degree in the field of proposed doctoral study or a related field. A Master’s degree that will represent the foundation for doctoral studies must have been awarded by a recognised university.

Transfer of students enrolled in Master’s studies in Natural Sciences to a doctoral study programme is permissible with the approval of the faculty in question, provided that the student has not already defended his/her Master’s thesis and no more than two years have passed since his/her admission to a Master’s study programme, assuming study on a full-time basis. The student shall, in consultation with the student’s supervisor, apply for such a transfer as if applying for traditional doctoral studies, cf. Article 6. Further provisions on the number of study credits and preparation are stipulated in Article 11.

In the case of joint doctoral degrees conferred by the University of Iceland and another university or institute, the Director of Academic Affairs must be consulted in preparing an agreement for the study programme.

Article 3. Application deadline.

The application deadline for doctoral studies at the Faculty shall be the same as the University of Iceland sets for graduate studies.

Article 4. Faculty graduate studies committees.

A faculty's graduate studies committee shall be chosen by the faculty council. The graduate studies committee administers the applications process for doctoral studies within the faculty, and a representative from the committee sits on the School's graduate studies committee.

Article 5. School of Engineering and Natural Sciences graduate studies committee.

The School of Engineering and Natural Sciences shall have a graduate studies committee. The committee shall consist of the chairs of all faculty graduate studies committees as well as the Dean of School, who shall also act as its chair. The Dean of School may appoint another committee member as chair in his/her place. The role of the School of Engineering and Natural Sciences graduate studies committee is to monitor that proper consistency is being ensured across doctoral study programmes within the School and handle relations with the Graduate School. The chair of the graduate studies committee or the graduate studies programme manager under the authority of the chair is the School's contact with the Graduate School.

Article 6. Processing of applications.

The process for admission to doctoral study programmes at the faculty is as follows:

- a) Applications for admission to doctoral study programmes are submitted using the electronic application form provided by the University of Iceland Registration Office, available on the university website or at the School Office. Applications for doctoral studies should be accompanied by a brief statement on the applicant's field(s) of interest and expectations regarding study. If draft applications to funds to which the applicant will be applying to finance his/her doctoral studies already have been prepared, these should also accompany the application.
- b) The School Office has original materials accompanying an application assessed in accordance with University of Iceland rules to confirm their origin, assess the validity of diplomas and degrees and confirm that applicants' materials meet formal requirements.
- c) The School Office sends an assessment of original materials and a copy of the application and accompanying materials to the faculty graduate studies committee.
- d) The faculty graduate studies committee recommends a student supervisor as per the applicant's request or as suitable given the applicant's field of interest. The

committee, in consultation with the faculty council, sends the application to the student supervisor.

e) The student supervisor assesses the application and either agrees or declines to undertake responsibility for supervision of the student. The student supervisor sends his/her conclusion to the graduate studies committee together with a written statement on the application.

f) In general, the faculty's graduate studies committee shall approve or reject the application on the basis of the student supervisor's statement. The graduate studies committee may reject an application that a student supervisor has recommended for approval if there are important grounds for doing so, such as financial considerations, and likewise if the study programme does not conform to faculty policy or objectives. The head of faculty formally approves or rejects applications on behalf of the faculty, and the graduate studies committee sends the admissions decision to the School Office. The School Office obtains the approval of the School's graduate studies committee for all approved applications for doctoral study.

g) The School Office notifies applicants of the admissions decision by letter.

h) Applications submitted before the application deadline shall have been dealt with within the time limits specified in University of Iceland rules. The result of an application shall be recorded in the Registration Office's electronic system as soon as confirmed.

i) A student accepted by the faculty to a doctoral study programme must register with the Registration Office and finalise payment of the registration fee for the coming academic year. The student must then register himself/herself during the annual registration period in March/April of each year for the coming academic year and pay the registration fee. Registration and payment of the registration fee is a precondition for commencing or continuing studies.

Article 7. Student supervisor and thesis supervisor.

Upon commencement of studies, each and every doctoral student shall be assigned a supervisor. The student supervisor must approve the arrangement of the study programme, selection of courses and the choice of thesis supervisor. The student supervisor directs and informs students on matters of all kinds relating to the study programme and on rules pertaining to doctoral study.

The thesis supervisor undertakes academic supervision of the student in his/her research. In general, the student supervisor and thesis supervisor shall be one and the same person. A faculty may, however, permit a student to have an external thesis supervisor, who shall fulfil the requirements for thesis supervisor as stipulated in this Regulation.

Article 8. Student supervisor and thesis supervisor requirements.

A student supervisor must be a permanent member of the academic staff of the faculty and have completed a doctoral degree in the field of study in question.

A thesis supervisor must be a recognised expert with a doctoral degree in the field of

study in question and have published papers on his/her own research in international peer-reviewed journals.

The student's research project must be in the thesis supervisors field of expertise.

Article 9. Doctoral committee.

Before the end of the first semester, the faculty council shall have appointed a doctoral committee, upon having received the recommendations of the student supervisor and the thesis supervisor. Once the consent of all parties who will sit on the doctoral committee has been obtained, the School Office sends them letters of appointments and maintains copies of these.

The doctoral committee shall consist of at least three expert individuals. The majority of committee members must have a doctoral degree.

The student supervisor shall always have a seat on the doctoral committee and is the committee chair.

In those instances where the student's supervisor is not the student's thesis supervisor, the thesis supervisor shall also sit on the doctoral committee.

At least one committee member must work outside the faculty in question at the University of Iceland.

In the case of a tie vote in the committee, the committee chair shall cast the deciding vote.

The doctoral committee summons the doctoral student to meet before the committee as necessary during the course of study, monitors study progress and instructs the student as necessary.

Article 10. Study plan.

A doctoral student shall, in consultation with the student supervisor and the thesis supervisor, present a study plan before the end of the first semester of study. The study plan describes the planned selection of courses to be taken and their division between the University of Iceland and other recognised universities. The study plan must include a research plan.

The study plan must obtain the doctoral committee's approval.

The approved study plan is presented to the faculty graduate studies committee for confirmation. Should the committee have any comments on the study plan, the plan will be returned to the student's supervisor and the student for review.

Conflicts over the study plan may be referred to the faculty council.

When the student supervisor and faculty graduate studies committee have approved the plan and the Graduate School has confirmed it, the student supervisor then delivers the plan to the School Office, which shall maintain the approved plan, at the same time informing the student in writing that the plan has been approved.

The student, in consultation with the doctoral committee, reviews the study plan annually. The Graduate School confirms changes to the study plan.

Article 11. Length of studies and number of credits

Doctoral studies on completion of a Master's degree shall be equivalent to a minimum of three years of full-time study.

Doctoral studies in Engineering shall consist of a 180-credit research project and a minimum of 30 credits of coursework. For doctoral studies in Natural Sciences, the research project shall be worth 180 credits. Credits that a student receives for coursework shall be added to the number of credits for the doctoral study programme.

For students admitted to doctoral studies in Natural Sciences on the basis of the transfer provision in Article 2, doctoral studies shall be equivalent to 240 credits, i.e., a minimum of four years' full-time study. In such cases, 60 credits shall be added to the required course component of the doctoral study programme.

The maximum number of credits for reading courses under a student's supervisor is 12 credits.

The doctoral student shall spend a minimum of one year at the University of Iceland pursuing research work.

Upon graduation, the student must demonstrate that she/he has been registered in studies and paid the registration fee for the duration of the study period, or in accordance with any further rules that the University of Iceland may choose to set.

The maximum length of studies is ten semesters from the time that a student was registered in traditional doctoral studies or twelve semesters from the time that she/he was registered in a doctoral study programme involving direct transfer from Master's studies. In exceptional circumstances, an application may be made to the School's graduate studies committee for an extension of the maximum length of studies. The maximum length of studies may not be extended more than two years.

Article 12. Course requirements.

Courses shall be at the doctoral or Master's level and taught at the University of Iceland or other recognised research universities.

All courses must be completed with a satisfactory assessment in conformity with the study plan as it has been defined. The minimum grade for courses taken at the University of Iceland that shall be assessed as part of doctoral studies is 6.0. Courses taken at recognised universities other than the University of Iceland shall be completed in conformity with the requirements of that university.

In general, undergraduate courses (B.S. studies) cannot be assessed as part of doctoral studies (at the University of Iceland, courses marked G and M). Interdisciplinary research may, however, lead to undergraduate courses in other faculties being deemed a necessary part of doctoral studies. A maximum of 8 credits of such necessary basic coursework may count towards doctoral studies.

Article 13. Prerequisite requirements.

If, in his/her doctoral studies, a student is entering into a different field of study, cf, Article 1, s/he may lack important fundamentals acquired in undergraduate studies. In such a case, the necessary prerequisites will be added to the coursework component of the study programme. The student supervisor shall prepare a recommendation regarding the scope and content of these prerequisites, which must be approved by the faculty graduate studies committee. Prerequisites must be specified in the study plan, cf. Article 10.

Article 14. Evaluation.

A student's general scientific knowledge in the main fields of study relating to the student's area of specialisation in the research project shall be tested at least once during the study period. The graduate studies committee of the faculty in question is responsible for the carrying out of such an examination, which shall be held during the first half of the study period. Confirmation that the student has passed such an examination must be submitted to the School Office. Should the student not pass the examination, the faculty graduate studies committee shall decide whether or not the student should be permitted to continue in the study programme. A student may be permitted to retake the examination, in which case re-examination shall take place within two months. Should a student not be permitted to continue doctoral studies or be made to retake the examination, the decision to do so must be reasoned in writing. The School Office maintains a record of the outcome. The student must also publicly present his/her research project at the University of Iceland approximately midway through the course of study.

Faculties may set more detailed rules on how evaluation of study is to be carried out.

When the research project is complete in the view of the doctoral student and the student's supervisor, the student submits a completed draft of the thesis to the doctoral committee. A certified transcript of the student's academic record and an overview from the Registration Office on payment of registration fees for all years in the study period shall also be presented to the doctoral committee at this time.

The doctoral committee evaluates the thesis and the project. Should the doctoral committee deem the thesis not ready for defence, the thesis is then sent again to the student with comments regarding necessary improvements. If the thesis is deemed ready for defence, the doctoral committee shall deliver its opinion to the faculty graduate studies committee that the doctoral candidate be given the opportunity to submit his/her thesis for defence. The School Office ensures that this Regulation and the Rules for the University of Iceland are enforced. If this is the case, the graduate studies committee shall, in consultation with the faculty council, confirm the thesis for defence.

A research project leading to a doctoral degree concludes with the student submitting a thesis and holding a public lecture on this thesis, the doctoral defence. The thesis shall be evaluated by opponents.

Article 15. Opponents.

Once the doctoral committee and faculty graduate studies committee have, in consultation with the faculty council, approved the thesis as acceptable for defence, the doctoral committee shall, upon having received the opinion of the Graduate School, submit its recommendation to the faculty council for two opponents at the

thesis defence.

The opponents must be independent parties who do not sit on the doctoral committee and who are experts in the field of study in question. At least one of the opponents must be from a recognised research institute other than the University of Iceland. As a rule, an endeavour shall be made to arrange that a party from a recognised research institute outside Iceland will serve as an opponent at the doctoral defence.

The faculty council formally appoints opponents. Upon receiving opponents' consent to act in this role, the School Office shall send them letters of appointment and maintain copies of these letters.

The thesis shall be judged and defended in accordance with the University of Iceland's rules on doctoral degrees.

The provisions of the Rules for the University of Iceland shall apply to opponents at doctoral defences.

Article 16. Submission and format of doctoral thesis.

A doctoral thesis that has been approved by the doctoral committee as ready for defence and obtained the confirmation of the faculty graduate studies committee shall be presented to opponents no later than six weeks prior to the planned defence.

A written work fulfilling doctoral degree requirements may either be in the form of a comprehensive thesis or a collection of scientific articles that have been published or sent for publication in international peer-reviewed journals. A thesis composed of a collection of articles must always contain a detailed overview and summary of the work.

A doctoral thesis at the faculty shall conform to the School's doctoral thesis template.

The doctoral candidate is responsible for the printing and publication of the thesis and must see to compulsory submission of the thesis to the National and University Library. An electronic copy must be saved to Skemma, the digital repository managed by the library. The School Office provides more detailed directions on the format of the thesis, the required number of copies, resulting expenses and submission to the University Library and also approves the final formatting of the thesis.

Article 17. Academic title.

On completion of study, successful doctoral candidates will be awarded the academic title of *philosophiae doctor* and have the right to use the abbreviation Ph.D.

Article 18. Graduate School.

The University of Iceland Graduate School oversees and implements the quality criteria and requirements for graduate studies adopted at the University of Iceland. University faculties have professional responsibility for graduate studies at the University. The Graduate School has a comprehensive perspective on graduate studies and works in close cooperation with university faculties, the University Council's Quality Assurance Committee and central administration. The Centre is a platform for consultation and cooperation in matters concerning graduate studies within the

University and a contact for partners both in Iceland and abroad.

The Graduate School monitors faculties' compliance with general rules on admission requirements, the admission process, admission examinations for doctoral students where applicable, study progress and deadlines that must be met in order for students to be able to complete graduate study. The Graduate School also ensures that students in graduate study programmes remain continuously registered at the University for the duration of their studies; it sees to the recording of faculties' decisions regarding applications for admission to graduate studies and the registration of study plans for research-based Master's study and changes to these plans and recording and confirms study plans for doctoral study and changes to these plans, cf. Article 66 of the Rules for the University of Iceland.

Article 19. Entry into force.

This Regulation is adopted in accordance with Articles 47 and 68-69 of the Rules for the University of Iceland no. 569/2009 and under the authority of the Act on Public Higher Education Institutions no. 85/2008. The Regulation has been approved by the faculties of the School of Engineering and Natural Sciences and the boards of the School and the Graduate School. Articles 66 and 69 of the Rules for the University of Iceland no. 569/2009. This Regulation shall enter into force 1 July 2011, and at the same time Regulation no. 19/2002 on doctoral studies at the University of Iceland Faculty of Engineering is repealed. Regulation no. 315/2003 on research studies at the University of Iceland Faculty of Physical Sciences shall remain in effect to the extent that it concerns Master's studies.

University of Iceland, 22 June 2011