

PhD budget regulations at NTNU

Final project report, Revision 6

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DION board 2015/2016

PhD Duty Work & PhD Budget project

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The interest organization
for doctoral candidates at NTNU

Summary

During 2015-2016, DION, the interest organization for doctoral candidates and postdoctoral researchers at NTNU, conducted an analysis of the various PhD budget (aka *driftsmidler* or *working capital*) related definitions, best practices and processes in place throughout NTNU. All faculties were invited to respond to a questionnaire regarding PhD budget practices, and a total of 7 faculty and 10 department responses (9 of which only responded to the duty work part which is covered in a concurrent report) were received. The following report presents findings from this survey. A variety of definitions and processes exists, some of which need unification and refinement. Based on the analysis as well as legacy material and DION case history, measures are proposed as summarized in the conclusion how to improve the current system for doctoral candidates.



Table of Content

| | |
|--|------------|
| Summary | ii |
| Table of Content | iii |
| 1 Introduction | 1 |
| 1.1 Situation | 1 |
| 1.2 Motivation & scope | 1 |
| 2 Methodology | 2 |
| 3 Results | 3 |
| 3.1 Amount of PhD budget..... | 3 |
| 3.2 Scope of PhD budget | 3 |
| 3.3 Differentiation when establishing PhD budgets | 4 |
| 3.4 Transparency to PhD candidates..... | 4 |
| 3.5 Point of contact for PhD candidates..... | 5 |
| 3.6 Participation of PhD candidates in budget definition | 5 |
| 3.7 Documentation | 5 |
| 4 Discussion | 6 |
| 4.1 Amount of PhD budget..... | 6 |
| 4.2 Scope of PhD budget | 6 |
| 4.3 Differentiation when establishing PhD budgets | 7 |
| 4.4 Transparency to PhD candidates..... | 8 |
| 4.5 Point of contact for PhD candidates..... | 8 |
| 4.6 Participation of PhD candidates in budget definition | 8 |
| 4.7 Documentation | 8 |
| 5 Conclusion | 10 |
| 6 Appendix | 12 |
| 6.1 Request for information (double-click either letter to open) | 12 |
| 6.2 Responses to Ephorte request by faculty/department..... | 14 |
| 6.3 PhD budgets (for 3-year stipends) | 16 |
| 6.4 Referanse 2008/17356/GO | 17 |
| 6.5 Instituttvedtak nr 30/2011 | 18 |

1 Introduction

1.1 Situation

PhD candidates at NTNU contact DION as a third party body for many reasons, and DION regularly provides advice and support to PhD candidates at NTNU with regard to PhD budgets (aka *driftsmidler* or *working capital*). This funding is available to PhD candidates "to cover expenses connected to conference participation, equipment, books and so on" based on the definition on Innsida (<https://innsida.ntnu.no/wiki/-/wiki/English/Working+capital+-+PhD>). In many cases the questions relate to practices or policies of the candidate's department and/or supervisor. Inconsistencies of rules and/or non-existence of rules often create uncertainty for PhD candidates.

1.2 Motivation & scope

In order to get an overview of the variation of PhD budget regulations at NTNU, DION initiated a project in summer 2015 with the following tasks:

- Analyse and map the current setup of PhD budget processes and regulations at NTNU, at the rector, faculty and department levels
- Identify inconsistencies and open issues
- Propose measures, as appropriate



2 Methodology

The methodology applied in this project involved data collection, analysis, and dissemination, conducted mainly between June 2015 and March 2016. In a first step, legacy data (e.g., meeting minutes, presentations, guideline documents) of previous DION boards were compiled to a database and analysed. The content has been clustered by departments/faculties and by topic.

In a second step, and based on the findings of the first, a request for information letter to all faculties was drafted. Eight questions were formulated in order to gain knowledge about the current setup of PhD budget related processes and existing documentation at the faculty and department level. This request for information was sent out to all faculties in July 2015 (Ephorte 2015/12346, see 7.1) with the additional request to distribute to all respective departments/institutes and provide material such as existing guidelines and process descriptions. By October 2015, all but one faculty and some departments had responded.

In a third step, the information provided was compiled into a database. Members of the DION board analysed this information to find similarities and differences between faculties/departments, as well as identify other issues of importance.

This report contains the main results, briefly discusses the current situation at NTNU holistically and provides recommendations for how NTNU can address the existing situation.

Abbreviations

BOA - PhD candidates with funding through contributions and contracts ("[Bidrags- og oppdragsfinansiert aktivitet](#)")

EU:

ITN - PhD candidates with EU funding through the [MSCA Innovative Training network](#).

RCN/NFR: Research Council of Norway / Norsk forskningsradet

TDI: [Time](#) – [Direct cost](#) – [Indirect Cost](#)

NTNU entities:

AB: Faculty of Architecture and Fine Art

DMF: Faculty of Medicine

IVT: Faculty of Engineering Science and Technology

HF: Faculty of Humanities

LBK: Department of Laboratory Medicine, Children's and Women's Health

NT: Faculty of Natural Sciences and Technology

IME: Faculty of Information Technology, Mathematics and Electrical Engineering

SVT: Faculty of Social Sciences and Technology Management

VM: Vitenskapsmuseet

3 Results

In response to the Ephorte request for information, DION received responses from NTNU (Rectors administration), Vitenskapsmuseet (VM), Faculty of Architecture and Fine Art (AB), Faculty of Engineering Science and Technology (IVT), Faculty of Humanities (HF), Faculty of Natural Sciences and Technology (NT), Faculty of Information Technology, Mathematics and Electrical Engineering (IME), Faculty of Social Sciences and Technology Management (SVT) and the Department of Laboratory Medicine, Children's and Women's Health (LBK) at the Faculty of Medicine (DMF). Response to the survey was comprehensive on the faculty and limited on the department level as summarized in appendix 7.1. The rector's staff administration has not responded to the questionnaire, but has expressed an interest in the topic and the findings and has offered to be of further assistance if needed. All but one faculty responded to the DION PhD budget and PhD duty work request for information. Ten departments also responded, nine of which only covered the duty work part (not mentioned in 7.1, covered by a concurrent report).

3.1 Amount of PhD budget

Internal budgets vary greatly between faculties and departments as summarized in appendix 7.3. The Faculty of Architecture and Fine Art (AB) is on the lower end of the scale (\approx NOK 35000/year), and the Department of Laboratory Medicine, Children's and Women's Health (and presumably the Faculty of Medicine (DMF) in general) was at the upper end (\approx NOK 100000/year).

Budgets also vary between internally and externally funded candidates. For instance, the Faculty of Information Technology, Mathematics and Electrical Engineering (IME) provides \approx NOK 52500/year for internally funded candidates versus \approx NOK 205000/year for external candidates (ITN projects).

Some responses indicate that a difference in budgets is partially due to different levels of expenses, such as experimental equipment and office rent. However, further details were not provided.

Some faculties responded that students or groups can apply for additional funding for traveling, study abroad, and equipment through external, but not further specified, research grants. Other faculties responded that additional funding may be offered by some departments.

Some responded that they use the TDI model (also called "common full costing methodology" or *totalkostnadsmodell* based on time, direct, and indirect costs) in order to establish PhD budgets.

Finally, others some others stated vaguely that they "follow the norm at NTNU".

3.2 Scope of PhD budget

The scope of the PhD budget varies widely among faculties and presumably among departments. Half of the responses indicated particular elements which are allocated to the PhD budget or to other funds, as summarized in the following table.

| | Allocated to PhD budget | To be covered by overheads/indirect costs |
|------------|---|---|
| IME | Travel to conferences Stays abroad | Standard PC Books Defence costs |
| IVT | PC, both standard and non-standard Travel Defence costs Books Norwegian courses (Laboratory) equipment Conference fees Copyediting | |
| HF | Travel | Standard PC (or up to NOK 8000 for a PC) |

| | | |
|----------------|--|--|
| | Equipment | or Mac) Expenses for announcing vacant positions Defence costs Research courses Supervision Rent Other administrative costs related to the doctoral work |
| DMF/LBK | "All assets and investments covered by the PhD budget" | "Exceptions can be Safety-related equipment to office." |

HF and IVT stated that the PhD candidate can apply to the department for additional funding in case of insufficient PhD budget funds. It was stated that some PhD candidates do not have funds to attend conferences and need to apply for additional funding. IVT stated that there are several external sources to apply for funding and that PhD candidates are encouraged to do so.

SVT stated that the processes at departments differ widely and that the faculty does not possess an overview.

3.3 Differentiation when establishing PhD budgets

All faculties differentiate between internally- and externally-financed candidates. Details are provided in appendix 7.3.

The majority states that there is no difference made between different types of research. However, some of that majority state that, if (laboratory) equipment/practical work is involved which requires financial resources, they respond by

- providing additional funding (IME, IVT)
- allocating "a higher proportion of the project funding as driftsmidler" (HF)
- having a "prerequisite that the supervisor has the financing ready before a position (...) is announced" (VM)

However a few faculties differentiate explicitly between types of research, i.e., experimental (field, laboratory) work versus theoretical (modelling) work, but without further specification.

The Faculty of Natural Sciences and Technology (NT) plans to establish different budgeting schemes for theoretical and experimental projects in 2016.

3.4 Transparency to PhD candidates

Most responses state that it is the supervisors' responsibility to follow-up on PhD budgets. Some faculties/departments apparently provide regular reports to supervisors/project managers, some others only upon request.

Some provide access to budget information to the PhD candidate if requested. However others provide access to budget information to department executive officers or supervisors only.

At DMF/LBK, the PhD candidate can receive monthly reports if the supervisor/project manager supports this request.

At IME, the project manager controls the use of assets, but the candidate is notified when the maximum limit is approaching.

At SVT, the PhD budget is made available to new candidates on the web. PhD candidates have the opportunity to follow the development of their working capital. They get access to balances and recognized expenses, which are updated every month. The main overview of this web-based access solution is depicted in the following figure:

Bilagsrapport

Analyskode:
 Prosjektnummer: 818700

Sist oppdatert:

Bilagsrapporter 09.03.2016 08:46
 Saldo rapporter 09.03.2016 08:46

Forklaring til Saldo rapport med tilhørende posteringsliste

Art 2162: Viser hva som er eventuelt er overført fra foregående år.
 Art 3000 - 3999: Viser hva som eventuelt er ført av inntekt på analyskoden i inneværende år. Øved Inntekt føres med negativt fortegn.
 Art 4000 - 8999: Viser kostnader som er belastet analyskoden i inneværende år. Kostnader føres med positivt fortegn.
 Art 9000 - 9099: Viser inntekter som er generert internt ved NTNU
 Art 9100 - 9199: Viser kostnader som er generert internt ved NTNU

Gitt at det er ført inntekt på analysen, vil en negativ saldo bety at det er disponible midler på analyskoden
 Hvis det er en positiv saldo betyr det at det enten ikke er ført en inntekt på analyskoden, eller at det har vært et overforbruk per dags dato.

Uri til rapport: <https://adm.ad.svt.ntnu.no/okonomi/bilagsrapporter/Prosjekt/81870043/>

| Art | Artsnavn | Sted | Prosj | Analyse | Denne periode | Hittil i år |
|--------|---|--------|--------|---------|---------------|----------------|
| 2162 | Avsetning for forpliktelser - bevilgningsfinansiert | 671005 | 818700 | 000000 | | kr -102 921,20 |
| 6844 | Trykke belter | 671005 | 818700 | 000000 | | kr 172,93 |
| 7131 | Tjenestereser | 671005 | 818700 | 000000 | | kr 17 736,15 |
| 7799 | Diverse kostnader | 671005 | 818700 | 000000 | | kr 8 788,88 |
| Saldo: | | | | | | kr -76 223,24 |

Posteringer

| Art | Sted | Prosjekt | Analyse | Bilagskategori | Bdato | Lev/kunde-navn | Linjeskr | Val | Val beløp | Beløp i NOK |
|------|--------|----------|---------|---------------------|------------|----------------------------|--------------------------------|-----|-------------|-------------|
| 7799 | 671005 | 818700 | 000000 | Inngående fakturaer | 02.01.2016 | ALL EVENTS GROUP PTE LTD | Allevents group | USD | kr 800,00 | kr 7 038,88 |
| 7131 | 671005 | 818700 | 000000 | Inngående fakturaer | 08.01.2016 | DINERS CLUB NORGE AS | | NOK | kr 8 308,00 | kr 8 308,00 |
| 7131 | 671005 | 818700 | 000000 | Inngående fakturaer | 08.01.2016 | DINERS CLUB NORGE AS | Reise til Singapore samboer ti | NOK | kr 7 699,00 | kr 7 699,00 |
| 7131 | 671005 | 818700 | 000000 | Inngående fakturaer | 02.02.2016 | TR LTD | | GBP | kr 139,56 | kr 1 729,15 |
| 6844 | 671005 | 818700 | 000000 | LØNN | 12.02.2016 | | | NOK | kr 172,93 | kr 172,93 |
| 7799 | 671005 | 818700 | 000000 | Inngående fakturaer | 29.02.2016 | REISEVAKSINER TRONDHEIM AS | Reisevaksine | NOK | kr 1 750,00 | kr 1 750,00 |

3.5 Point of contact for PhD candidates

Overall a broad range of potential points of contacts were indicated: departmental administrative officers, controller at the faculty/finance department, local project support, office manager, head of department, project economist, project manager, and supervisor.

It was emphasized in some cases that it is the PhD candidate's supervisor who is responsible for the PhD budget. PhD candidates in those cases are instructed to contact their supervisor in case of questions.

NT was stated that different practices for whom one should contact are in place at the department level and that some departments also distinguish between internally- and externally-funded candidates.

3.6 Participation of PhD candidates in budget definition

In general PhD candidates are not involved in the PhD budget definition and planning, mainly because funding is already obtained before a candidate is hired.

In some cases, the PhD candidate together with the supervisor plans on how funds will be spent.

At DMF/LBK, post-docs are involved in application process and budgeting.

3.7 Documentation

No further materials (e.g., documentation of processes, guidelines, regulations, ...) were provided by the faculties/departments.

4 Discussion

This summary of PhD budget regulations at NTNU, carried out by DION in 2015-2016, is, to our knowledge, the only overview of PhD budget policies available today with input from all faculties at the university. Because the regulations vary so widely and because DION regularly receives questions from PhD candidates uncertain about their PhD budgets, we believe this is an important area for consideration at the NTNU administration level. We have identified the most important issues for the PhD budget as the total amount, elements covered, differentiation among PhD candidates by department and funding source, transparency, point of contacts, and opportunities for participation by PhD candidates.

While 7 faculties supplied information to DION, only a limited number of responses were received at the department level. As far as DION is aware, many of NTNU's PhD budget regulations take place at the department or sub-department/research group level, and the practices of applying these are very diverse. As most respondents to our Ephorte survey were faculties, the overview as summarized in this report is very general and may not reflect the reality experienced by individual PhD candidates. In this sense the validity of the report is limited. However, findings are generally consistent with DION's experience from cases.

4.1 Amount of PhD budget

It seems reasonable to not have a single PhD budget required for all faculties and departments since different types of research methodologies require different amounts of funding. Also, different funding sources exist with different funding capabilities. However, it seems that the observed variety is not fully justified in all cases, especially when it comes to expectations for candidates to apply for their own external funding as well as unnecessary lack of transparency at some faculties.

Some answers indicate that candidates are expected to apply for additional external funding. A potential cause might be that PhD budgets are insufficient to properly support substantial PhD research activities such as attending conferences, participating in external courses and summer schools, publishing in high-quality fee-based open access journals, and developing research collaborations abroad. These are fundamental components of high-quality PhD education that should be available to all PhD candidates at NTNU regardless of topic or institute.

With regards to defining the PhD budget, some responses referenced the TDI cost model, while some others stated they "follow the norm at NTNU". To our knowledge, "the norm at NTNU" is based on the current version of "[Budsjettere for prosjekt](#)". The current templates available state that unlike in previous templates no default operating costs for PhD candidates are provided and that the individual elements of *driftsmidler* are to be specified in sheet "4. *Budsjettering –Drift*". However, the responses to our request for information indicate that it seems still common practice to not determine the size of the PhD budget based on expected costs, but rather allocate a lump sum based on previous processes and experience. The variation in *driftsmidler* budget sizes (see 7.3) at NTNU is in line with the standard size advocated by [R 2013 - Intern budsjettering av rundsumbevilgninger fra Forskningsrådet til doktorgradsstipendiater og post doktor i 2013](#), a document which makes a recommendation on how to split up the scholarship funding of the Research Council of Norway and effectively calculate NTNU overheads. Here a base rate of NOK 70000 per year is stated for a PhD budget, which apparently is not met by all faculties/departments at NTNU.

DION believes that PhD funding should be sufficiently large in order to account for all required expenses and ensure a high-quality PhD education. We therefore encourage the NTNU rector's staff to establish a baseline amount applied to all faculties and departments and consider which activities and expenses should be covered by the PhD budget (see next section 5.2).. Furthermore, we encourage the NTNU rector's staff to ensure that all departments and faculties PhD project planning are compliant to current guidelines, i.e. explicitly plan all different elements of *driftsmidler* over the PhD project duration.

4.2 Scope of PhD budget

The elements of a PhD budget vary greatly across departments. This might be justified in some cases. However, allocating costs for standard IT, office equipment and other core expenses to the PhD budget, as is done by some faculties/departments, is not compliant with the TDI model, which is

referenced by most faculties as the basis for the definition of PhD budgets. These costs are considered overhead in the TDI model.

DION encourages NTNU to establish general guidelines for what specific activities and expenses should be covered by the minimum PhD budget, what should be allocated to overhead, and what should be prioritized for external funding applications. Major categories of expenses include the following:

- Conference fees and related travel expenses
- Publishing fees in compliance with the minimum publications required for an article-based PhD thesis. This may include financing for high-quality fee-based open access journals, especially in cases where funding bodies require research communication to a general audience.
- Potentially a research stay abroad as NTNU is aiming to have 40% of all PhDs complete an international research stay (one or two semesters) according to [NTNUs International Action Plan 2014-2017](#).
- Norwegian language classes for international PhD candidates
- Laboratory instruments and experimental equipment
- Computing hardware and software
- Project meeting travel expenses
- External coursework

DION believes that the elements of the PhD budget should be well-defined and standardized for all faculties. If it is not, some PhD candidates face decreased budgets compared to others and by that are limited in their quality of PhD education. Based on the obtained results we propose the following division:

| Allocated to PhD budget | Allocated to overhead | Priorities for external financing applications |
|--|--|--|
| Non-standard computer (minus standard computer costs) Non-standard software (minus standard costs) Books Conference fees & related travel expenses Coursework Project-related travel expenses | Standard computer Standard software Disputas costs Norwegian language courses Copyediting Expenses for announcing vacant positions Supervision Rent Safety/Personal Protective Equipment Other administrative costs Laboratory and field study equipment | Research stays abroad |

4.3 Differentiation when establishing PhD budgets

Apparently the majority of faculties (and presumably departments) already differentiate between internal and external candidates and also different types of research methods. However, when a project requires additional investment in, for example, lab equipment or external expert consultation, it appears that sometimes this funding is deducted from an individual's PhD budget. In many cases, these additional expenditures benefit the candidate and the group as a whole. However, NTNU does not have rules in place to ensure that a PhD budget retains enough funding for other fundamental PhD activities.

DION believes that additional expenses due to, for instance, extensive experimental work may have a negative impact on the PhD budget. We therefore encourage all faculties to check their process of PhD budget definition and ensure that a well-documented differentiation scheme exists.

4.4 Transparency to PhD candidates

In general, there are no established routines to provide funding reports to PhD candidates. It is the supervisor rather than the candidate who has responsibility for the PhD budget.

DION has dealt with a number of cases where funding was insufficient and led to a disagreement between supervisor and PhD candidate. As an example, in one case a supervisor plainly stated that two conferences per year are impossible due to budget limitations without disclosing the remaining budget, budget plan, or budget history. This can significantly affect the quality of the PhD education and research. In these cases it seems inappropriate that a PhD candidate does not have the chance to obtain a current overview of the budget situation.

Another reason why a PhD candidate should have access to reports on the economic situation and remaining funding is that some faculties/departments stated that additional funding through external research grants is encouraged, indicating that the general funding is not sufficient in some cases.

DION feels that the PhD budget should be made more transparent to the PhD candidate on a regular (i.e., every 6 or 12 months) basis in the form of a standardized report, and PhD candidates should be informed that they can request information about their budgets from the project economists or other point of contact. Moreover, we highly encourage faculties to evaluate the web-based reporting solution of the SVT faculty (Point of contact: [Kristian Angen](#)). We furthermore encourage the NTNU rector's staff to take the lead on the distribution and further development of such a transparency solution.

4.5 Point of contact for PhD candidates

Since the supervisor is the first point of contact for a PhD candidate in general and also the one responsible for the PhD budget, it seems reasonable to consider the supervisor also as the first point of contact in terms of PhD budget related inquiries.

However, as highlighted in 4.4, many cases referred to DION involved a disagreement between the supervisor and the PhD candidate. Thus, an alternative to the supervisor, such as a relevant employee in the department's administration, should be required as an additional point of contact. Furthermore, if specific questions arise, it seems more efficient to have a stronger network knowledgeable about PhD budgets available to address the questions. This process would also become easier with clearer guidelines provided by the university.

DION believes that PhD candidates should know they have an alternative to the supervisor as a point of contact regarding PhD budget inquiries. We therefore encourage the faculties and/or departments to clearly communicate these alternative points of contacts to their PhD candidates, for instance in the usual start-up/welcome event and in materials provided to PhD students and online.

4.6 Participation of PhD candidates in budget definition

PhD candidates usually do not participate in budget definitions, as this is conducted prior to hiring. It may be beneficial to incorporate PhD candidates on spending discussions and evaluations of the budget during the PhD years.

DION believes that PhD candidates should be aware of their financial situation since they are responsible for organizing their own study plans, travel arrangements, and other expenses. We therefore encourage the departments and supervisors to regularly discuss the development of the respective PhD budget with the candidates and discuss the remaining funding in light of future activities.

4.7 Documentation

In response to our request for information, DION has only received answers to the questions asked. Unfortunately no further materials such as guidelines or process descriptions were enclosed. The discussion so far has therefore been purely based on the provided responses (and additional legacy material available to DION where indicated). To our knowledge some faculties have established some informational brochure, such as at the AB faculty (Referanse 2008/17356/GO, see 7.4), or department meeting minutes, such as at the SVT Faculty, Department of Industrial Economics and Technology Management (Instituttvedtak nr 30/2011, see 7.5). The HF faculty has made some [information for PhD candidates available online](#) (in Norwegian only).

DION believes that every PhD candidate should be aware of the current guidelines and processes of their department and faculty and should have the possibility to access these permanently. We therefore encourage the faculties and departments to systematically document their processes and setups regarding PhD budget and provide that information permanently accessible to all their PhD candidates online. The example of SVT's web-based budget system may be helpful as other faculties address this issue.



5 Conclusion

Currently there exists a great heterogeneity, and in some cases inconsistency and lack of transparency, regarding the different established PhD budget processes across faculties and departments at NTNU.

In line with the ongoing fusion process and the restructuring of faculties and departments, DION believes it is a good moment to consider streamlining and improving the current PhD budget processes within the new structure of and processes at NTNU, including the new entities at NTNU of the former HiST and at the campuses in Gjøvik and Ålesund. These new entities have not been included in this analysis, as the data gathering was performed before the fusion took place.

The analysis done focused primarily on PhD budgets. However, DION also receives similar questions regarding budgets for post-doctoral researchers. The situation for postdoctoral researchers is possibly even more diverse, as the budgets are often dependent on the broader project budgets in which postdoctoral researchers are being appointed. A focus on this group of temporary employees at NTNU is proposed as future work.

In order to improve on some of the issues that came forward from our analysis, DION proposes several measures for improvement of the PhD budget system, outlined below.

| # | PhD budget issue | DION proposal | Who |
|---|------------------|--|------------------------------------|
| 1 | Amount | Establish a baseline amount for all faculties and departments. This specified minimum PhD budget shall cover a basic set of activities and expenses as indicated in 5.2. | NTNU rector's staff administration |
| | | Ensure that all departments and faculties apply the current guidelines when budgeting a PhD project. | |
| | | Apply the current guidelines when budgeting a PhD project, including the potential implementation of a baseline amount | All faculties/departments |
| 2 | Scope | Establish general guidelines for activities and expenses allocable to the PhD budget, a second set prohibited to allocate to the PhD budget, and priorities for external funding applications, as elaborated in 5.2. | NTNU rector's staff administration |
| 3 | Differentiation | Ensure that a well-documented differentiation scheme exists. | All faculties/departments |
| 4 | Transparency | PhD candidates should be informed that they can request information about their budgets from the project economists or other point of contact or, alternatively, should receive a standardized budget report regularly (i.e., every 6 or 12 months). | All faculties/departments |
| | | Evaluate the web-based reporting budget tool of the SVT faculty (Point of contact: Kristian Angen). Evaluate the web-based reporting budget tool of the SVT faculty (Point of contact: Kristian Angen). Take the lead on the further development and distribution of such a web-based solution and implementation at all faculties. | NTNU rector's staff administration |

| | | | |
|---|------------------|--|---------------------------|
| 5 | Point of contact | Define and announce alternative points of contact with regard to PhD budget inquiries to PhD candidates, for instance in the usual start-up/welcome event and in respective material provided to PhD students. | All faculties/departments |
| 6 | Participation | Regularly discuss the development of the respective PhD budget with the candidates and discuss the remaining funding in the light of the planned and future activities. | All PhD supervisors |
| 7 | Documentation | Systematically document processes and setups regarding PhD budget and make this information permanently accessible to all their PhD candidates, preferably online. | All faculties/departments |

The analysis done focused primarily on PhD budgets. However, DION also receives similar questions regarding budgets for postdoctoral researchers. The situation for postdoctoral researchers is possibly even more diverse, as the budgets are often dependent on the broader project budgets in which postdoctoral researchers are being appointed. A focus on this group of temporary employees at NTNU is proposed as future work.



6 Appendix

6.1 Request for information (double-click either letter to open)



1 av 1

Studieavdelingen
Seksjon for studentservice

Dato
27.07.2015

Referanse
2015/12346/ANNO

Notat

Til: Fakultet for arkitektur og billedkunst, Det medisinske fakultet, Det humanistiske fakultet, Fakultet for informasjonsteknologi, matematikk og elektroteknikk, Fakultet for ingeniørvitenskap og teknologi, Fakultet for naturvitenskap og teknologi, Rektor, Fakultet for samfunnsvitenskap og teknologiledelse, Vitenskapsmuseet

Kopi til:

Fra: Seksjon for studentservice

Forespørsel vedrørende pliktarbeid og økonomiske rammer for stipendiater og postdoktorer

Vedlagt er brev fra Doktorgradskandidatenes interesseorganisasjon ved NTNU (DION) vedrørende pliktarbeid og økonomiske rammer for stipendiater og postdoktorer. DION ønsker tilbakemeldinger fra så mange som mulig og ber derfor om at brevet fordeles både til fakultet og alle underliggende institutter.

Alexander Busch
Prosjektleder

Andreas Noteng
Konsulent

| Postadresse | Org.nr. 974 767 880 | Besøksadresse | Telefon | Saksbehandler |
|----------------|---|--------------------------------------|-----------------------------|----------------------|
| 7491 Trondheim | E-post: studentservice@adm.ntnu.no | Gamle kjemi, Studentekspedisjonen | +47 73 59 52 00 | Andreas Noteng |
| | http://www.ntnu.no | | Telefaks +47 73 59 79 99 | Tlf: +47 73 59 55 58 |

All korrespondanse som inngår i saksbehandling skal adresseres til saksbehandleren ved NTNU og ikke direkte til enkeltpersoner. Ved henvendelse vennligst oppgi referanse.

Prorektor for forskning
Fakulteter og institutter

Deres ref:

Vår ref:

Dato: 22.07.2015

Anmodning om informasjon om pliktarbeid samt økonomiske rammevilkår for stipendiater og postdoktorer

Kjære rektorat, fakulteter og institutter

Doktorgradskandidatenes interesseorganisasjon ved NTNU (DION) mottar hvert år henvendelser fra stipendiater og postdoktorer med spørsmål om reglement og praksis rundt pliktarbeid og de økonomiske rammene for stipendiatens forskning. Tilgjengelig informasjon er mangelfull og i noen tilfeller motstridende. Praksis ser også ut til å variere mye fra ett institutt/fakultet til et annet. DION er derfor nå i gang med å samle sammen tilgjengelig informasjon og ønsker i den forbindelse uttalelser fra så mange som mulig om etablert praksis og gjeldende retningslinjer. DION er kjent med Forskrift om stipendiaters pliktarbeid og ansettelsesforhold ved Norges teknisk-naturvitenskapelige universitet (NTNU), men forskrifta åpner for en del tolkning og lokale variasjoner. Når vi i dette brevet benytter begrepet stipendiat vil det der det er relevant også inkludere postdoktorer.

På neste side vil dere finne en rekke spørsmål fordelt i to kategorier, pliktarbeid og økonomi. Vi er klar over at noen av spørsmålene ikke vil være relevante for alle mottakere, men i disse tilfellene ber vi om at det opplyses om hvem/hvilken instans som tar hånd om dette. Dersom det ved din enhet er mer praktisk å svare på de to temaene i separate brev er dette selvfølgelig helt i orden.

Dersom din enhet har vedtatt egne reglement/retningslinjer ber vi om å få tilsendt disse, gjerne også i engelsk utgave der dette eksisterer. Om mulig ber vi også om en redegjørelse for hvordan disse dokumentene gjøres tilgjengelig for stipendiatene, og i hvilken grad stipendiatene er klar over at disse eksisterer.

Styret i DION ser fram til å motta deres svar, og ber om at det er oss i hende innen 15. september 2015. Nøl ikke med å ta kontakt dersom dere skulle ha spørsmål om DION eller dette prosjektet.

Vennlig hilsen

Alexsander Busch /s/
Prosjektleder

Andreas Noteng /s/
konsulent

| | | | |
|--------------|--------------------------|------------|--------------------------|
| Postadresse: | DION | E-mail: | post@dion.ntnu.no |
| | Pb. 18, Høykoleeringen 1 | Internett: | http://www.dion.ntnu.no/ |
| | N - 7491 Trondheim | Telefon: | (735) 95558 |

6.2 Responses to Ephorte request by faculty/department

| # | Entity | Response |
|----|---|------------|
| 1 | NTNU (Rector rector's staff administration) | 14/09/2015 |
| 2 | Vitenskapsmuseet | 25/08/2015 |
| 3 | Faculty of Architecture and Fine Art (AB) | 06/10/2015 |
| 4 | Department of Fine Art - The Trondheim Academy of Fine Art | - |
| 5 | Department of Architectural Design, Form and Colour Studies | - |
| 6 | Department of Architectural Design and Management | - |
| 7 | Department of Architectural Design, History and Technology | - |
| 8 | Department of Urban Design and Planning | - |
| 9 | Faculty of Engineering Science and Technology (IVT) | 26/08/2015 |
| 10 | Department of Civil and Transport Engineering | - |
| 11 | Department of Structural Engineering | - |
| 12 | Department of Energy and Process Engineering | - |
| 13 | Department of Marine Technology | - |
| 14 | Department of Hydraulic and Environmental Engineering | - |
| 15 | Department of Geology and Mineral Resources Engineering | - |
| 16 | Department of Petroleum Engineering and Applied Geophysics | - |
| 17 | Department of Engineering Design and Materials | - |
| 18 | Industrial Ecology Programme | - |
| 19 | Department of Production and Quality Engineering | - |
| 20 | Department of Product Design | - |
| 21 | Faculty of Humanities (HF) | 18/08/2015 |
| 22 | Department of Art and Media Studies | - |
| 23 | Department of Historical Studies | - |
| 24 | Department of Interdisciplinary Studies of Culture | - |
| 25 | Department of Language and Literature | - |
| 26 | Department of Music | - |
| 27 | Department of Philosophy and Religious Studies | - |
| 28 | Faculty of Natural Sciences and Technology (NT) | 16/09/2015 |
| 29 | Department of Biotechnology | - |
| 30 | Department of Biology | - |
| 31 | Department of Chemistry | - |
| 32 | Department of Chemical Engineering | - |
| 33 | Department of Materials Science and Engineering | - |
| 34 | Department of Physics | - |
| 35 | Faculty of Information Tech., Mathematics and Electrical Eng. (IME) | 02/10/2015 |
| 36 | Department of Computer and Information Science | - |
| 37 | Department of Mathematical Sciences | - |
| 38 | Department of Electric Power Engineering | - |

| # | Entity | Response |
|----|--|------------|
| 39 | Department of Engineering Cybernetics | - |
| 40 | Department of Telematics | - |
| 41 | Department of Electronics and Telecommunications | - |
| 42 | Faculty of Medicine (DMF) | - |
| 43 | Department of Neuroscience | - |
| 44 | Department of Public Health and General Practice | - |
| 45 | Dep. of Lab. Medicine, Children's and Women's Health (LBK) | 14/08/2015 |
| 46 | Department of Circulation and Medical Imaging | - |
| 47 | Department of Cancer Research and Molecular Medicine | - |
| 48 | Faculty of Social Sciences and Technology Management (SVT) | 14/09/2015 |
| 49 | Department of Geography | - |
| 50 | Department of Economics | - |
| 51 | Department of Sociology and Political Science | - |
| 52 | Department of Industrial Economics and Technology Management | - |
| 53 | Department of Education | - |
| 54 | Programme for Teacher Education | - |
| 55 | Department of Social Work and Health Science | - |
| 56 | Department of Psychology | - |
| 57 | Department of Social Anthropology | - |
| 58 | Department of Adult Learning and Counselling | - |
| 59 | Norwegian Centre for Child Research | - |

6.3 PhD budgets (for 3-year stipends)

| Fac./Inst. | PhD type | Project type | Total driftsmidler, NOK | | | Driftsmidler per year, NOK | | | Additional Information |
|------------|----------|--------------|-------------------------|--------|--------|----------------------------|--------|---|--|
| | | | Max | Mean | Min | Max | Mean | Min | |
| AB | Int | | | 105000 | | | 35000 | | |
| | Ext | | | | | | | ...a different amount depending on the project. | |
| IME | Int | | 225000 | 157500 | 90000 | 75000 | 52500 | 30000 | |
| | Ext | | | | | | | | ...generally on par with the internally funded or better. |
| | Ext | BOA | | | | | | | ...TDI model is applied for BOA candidates. |
| | Ext | EU | | | | | | | ...EU projects normally don't grant the candidate free driftsmidler. |
| | Ext | ITN | | 615600 | | | 205200 | | ...ITN projects normally grant a support (round sum) of EUR 1800 per researcher month... |
| NT | Int | | 225000 | 142500 | 60000 | 75000 | 47500 | 20000 | |
| | Ext | BOA | | | | | | | Operating assets for BOA fellows decided by the project fund |
| SVT | Int | | | 120000 | | | 40000 | | |
| IVT | Int | | 225000 | 142500 | 60000 | 75000 | 47500 | 20000 | |
| | Ext | | | | | | | | |
| | Ext | NFR | | | | | | | ...according total cost model (TDI model) |
| VM | Int | | | 240000 | | | 80000 | | |
| HF | Int | | | 150000 | | | 50000 | | |
| DMF/LBK | Int | | | 300000 | | | 100000 | | |
| | Ext | | 700000 | 600000 | 500000 | 233333 | 200000 | 166667 | ... will be allocated the funds they receive from the funding source |

6.4 Referanse 2008/17356/GO



1 av 1

Fakultet for arkitektur og billedkunst

Dato
30.01.2009Referanse
2008/17356/GO

Notat

| | |
|-----------|--|
| Til: | Astrid Waage, Gunnar Parelius, Helge Gunnar Gravås, Inger Johanne Leraand, Nina Henriksen Five, Randi Vikan Strøm, Terje M. Rognvik, Tore Haugen, Åse Lereggen |
| Kopi til: | Eir Ragna Grytli, Eivind Kasa, Finn Hakonsen, Geir Karsten Hansen, Sverre Flack |
| Fra: | Fakultet for arkitektur og billedkunst |

Følgemidler phd-studenter

Norges Forskningsråd (NFR) bestemte tidligere hvor mye av stipendiatmidlene som skulle være følgemidler. Dette er midler til litteratur, reiser og lignende som phd-studentene kan benytte til utgifter i forbindelse med studiet, og som ikke faller inn under det alle ansatte kan få dekket av fakultetets rammebevilgning. NFR gir imidlertid nå ingen føringer om størrelsen på følgemidlene. Det er derfor opp til den enkelte enhet å bestemme beløpets størrelse.

På denne bakgrunn har fakultetet nå vedtatt følgende retningslinjer for phd-studenter ved AB-fakultetet:

- Det avsettes inntil 35.000,- pr. år som følgemidler til hver stipendiat.
- Bruk av midlene skal godkjennes av hovedveileder.
- PhD-studenter som publiserer i tidsskrifter med "refereordning" kan søke om tilleggsbevilgning.

Det presiseres i tillegg at alt innkjøp skal foretas etter NTNU sine innkjøpsrutiner, som gjelder for alle ansatte ved NTNU (bestilling til betaling = BtB). Innkjøp utenom BtB er å betrakte som private innkjøp og må dekkes privat.

I løpet av 2009 innfører NTNU en ordning med forhåndsgodkjenning av reiser for alle ansatte. Vi vil orientere nærmere om dette, når det blir igangsatt ved vår fakultet.

| | | | | |
|--------------------|---|----------------------|------------------------------------|----------------------|
| Postadresse | Org.nr. 974 767 880 | Besøksadresse | Telefon | Saksbehandler |
| 7491 Trondheim | E-post: fak-admin@ab.ntnu.no | Alfred Getz vei 3 | +47 73 55 02 75 | Grete Ovosen |
| | http://www.ntnu.no | | Telefaks +47 73 59 50 94 | Tlf: +47 73 59 50 97 |

All korrespondanse som inngår i saksbehandling skal adresseres til saksbehandlerne ved NTNU og ikke direkte til enkeltpersoner. Ved henvendelse vennligst oppgi referanse.

6.5 Instituttvedtak nr 30/2011

NTNU Trondheim
Norges teknisk-naturvitenskapelige
universitet

Fakultet for samfunnsvitenskap
og teknologiledelse
Institutt for industriell økonomi
og teknologiledelse



Instituttadministrasjonen

Besøksadresse
A. Getz vei 3
Telefon 73 59 35 11
Telefaks 73 59 10 45

Instituttvedtak nr 30/2011

Fra: Instituttledelsen

Gjelder: Bruk av driftsmidler for PhD stipendiater

Saksbehandler: Lena Aune Weiseth

Dato: 02.11.2011

Signatur:

Doktorstipendiat kan enten finansieres direkte av universitet eller finansieres eksternt gjennom midler fra for eksempel Norges forskningsråd, offentlig virksomhet eller næringslivet.

For **eksternfinansierte stipendiat** tildeles det normalt et bestemt beløp per år som skal dekke 1) direkte lønn (inkl. arbeidsgiveravgift, feriepenger med mer), 2) overhead til instituttet og 3) direkte driftskostnader knyttet til stipendiat og dens veileder(e).

1) *Direkte lønn* følger statens lønnsregulativ og det er spesialiserte trinn som brukes i de ulike fasene i stipendperioden. Her inngår sosiale kostnader som arbeidsgiveravgift, feriepenger med mer.

2) *Overhead til instituttet* er 20 % av brutto årlig lønnskostnad inkludert arbeidsgiveravgift, feriepenger med mer. Dette skal dekke instituttets kostnader knyttet til stipendiatens bruk av kontorfasiliteter, daglig drift, administrativ støtte, avvikling av disputas og 1 standard PC i løpet av stipendperioden. Av disse midlene kan totalt 10 000 kr brukes av stipendiaten til språkvask av avhandling og disputasmiddag.

3) *Direkte driftsmidler knyttet til stipendiat og dens veileder* skal brukes til reiser på konferanser, bedriftsbesøk, internasjonal utveksling, bøker, programvare m.m. Øvre grense for direkte driftsmidler som stipendiat har styringsrett over per år følger NTNU's retningslinjer og er per dags dato 70 000 kr. Det anbefales at bruk av midlene skjer i samråd med veileder. Midlene kan overføres fra år til år. Eventuelt gjenstående beløp etter disputas har veileder styringsrett over.