

DRAFT REGULATIONS FOR DOCTORAL DEGREES IN THE FACULTY OF ARTS AND SOCIAL SCIENCES

These regulations should be read in conjunction with the entry regarding “Advanced Degrees”, point 6.7 “Thesis requirements”, in the US Calendar, Part 1. The revised wording of 6.7, as approved by the Senate on 25 November 2011, was not reflected in the 2012 edition of the Calendar, Part 1.

1. Doctoral degrees in the Faculty of Arts and Social Sciences
 - 1.1 The Faculty offers **two kinds** of doctoral degrees:
 - 1.1.1 A PhD based on original research as a dissertation. This PhD is the general form of doctoral studies in the Faculty and can be submitted in **three formats** (see point 2 below).
 - 1.1.2 A DPhil or senior/second doctoral degree based on a collection of publications of high quality produced over a long period on a specific theme or field (see point 4.6 below).
2. Format of dissertations in the Faculty of Arts and Social Sciences
 - 2.1 Dissertations in the Faculty can be offered in one of **four formats**.
 - 2.1.1 A dissertation in the usual/traditional format of a written document that documents original research, and deals with one specific subject or central theme.
 - 2.1.2 A dissertation in which the theoretical component is integrated with a creative output component (particular to the arts environment).
 - 2.1.3 A dissertation consisting mainly of a collection of scholarly articles in the discipline.
 - 2.1.4 A dissertation for a senior/second doctoral degree that in addition to a collection of scholarly articles may also include other research output that was produced before the student registered for the doctoral study.
3. All doctoral degrees, irrespective of the kind or format, are managed uniformly with regard to all established procedures, requirements and regulations for doctoral degrees, unless otherwise stated.
4. Guidelines for the format of dissertations consisting largely of a collection of scholarly articles (see 2.1.3 above).
 - 4.1 The usual format (as described in 2.1.1 above) applies precisely to the definition of a dissertation as a report on research on **one central and coherent research question that is examined as a single work**. By implication, the collection of scholarly articles submitted for the purposes of the PhD are required to have a central focus and coherence; to show the required academic style, logical format, scholarly content and coherence; to have a satisfactory general introduction (that includes a study of the literature), statement of the research problem and a final evaluative chapter.
 - 4.2 The final decision on the academic merits and acceptability of the dissertation rests, as for all other kinds and formats of doctoral degrees at the US, with the **examiners**.
 - 4.3 The dissertation consisting of a collection of scholarly articles must be a **project approved and planned in advance**. The plan/strategy for the way in which the articles are to be assimilated in/integrated into the dissertation must be drawn up by the candidate in consultation with the supervisor. The plan/strategy forms part of the

candidate's research proposal in accordance with the normal template, with the additional section headed '**Justification for dissertation format consisting of scholarly articles**'. This section must convince the Admissions Committee that the study/project has **academic merit, is practically feasibility and is capable eventually of being examined** as a dissertation. The candidate must thus indicate:

- the rationale for including the articles as a part of the dissertation;
- how the envisaged articles belong within the research problem and focus of the dissertation;
- how the articles will be integrated in the overall structure and/or chapter division of the dissertation to form a coherent whole;
- in a short paragraph, the envisaged content of each article and also the kind of contribution the candidate will make to each article.

This kind of doctoral proposal follows the same process for approval in the Faculty as the other kinds and formats of doctoral degrees.

If the candidate (and/or the supervisor) **in the course of the doctoral study** decides to submit the dissertation in article format, the plan/strategy must be approved retrospectively by the Admissions Committee. In such cases, a new section, titled **Justification for dissertation format consisting of scholarly articles**, must be added to the research proposal that has already been approved. The proposal is then again reviewed and approved by the committee. Such retrospective approval may not take place later than the end of the first year of registration as a doctoral candidate and follows the same process/route for approval as new doctoral proposals.

4.4 Nature, scope and quality of articles included (criteria for articles).

- 4.4.1 The examiners determine the acceptability of the included articles for the purposes of the dissertation, irrespective of what academic magazine/journal has published them, accepted them for publication or is considering them for possible publication. The examiners must primarily determine in their assessment whether or not the material submitted **is of a doctoral standard**, and not if it is publishable.
- 4.4.2 Apart from an introductory and a concluding chapter, **at least three articles** are required for a dissertation consisting of a collection of scholarly articles.ⁱ
- 4.4.3 Although published and unpublished articles may be included in a dissertation, the candidate should endeavor preferably to include already published articles, articles in print or articles already accepted for publication. Irrespective of the publication status of the included articles, only articles written **after the date of registration of the doctoral candidate** are permitted for the purposes of this format.
- 4.4.4 Only those publications for which the candidate is the only or first author or the primary researcherⁱⁱ may be included. Acknowledgement of the authorship of articles included in the dissertation must be in accordance with the requirements laid down in the 2012 US Calendar, Part 1, 6.7.4 (a) and (b).

4.5 Template/technical requirements

- 4.5.1 The template requirements for the dissertation format consisting of a collection of scholarly articles are to be found in the 2012 US Calendar, Part 1, 6.7.5 (b) and (c), and for the senior/second doctoral degree in 6.7.5 (d).
- 4.5.2 Articles are included in the dissertation in the same **style** as they were submitted for publication. Articles submitted as "chapters" should, however, be given a short introduction in which the focus of the article, the contribution to the aims of the dissertation, the candidate's contribution and the publication status of the work are briefly indicated.

4.6 The senior / second doctoral degree

The DPhil is a prestige degree in which a collection of publications is included in a dissertation and presented as a coherent whole. It is awarded to a senior academic, who has already obtained a PhD earlier in his/her career, as a recognition of exceptional research (a PhD is thus a minimum admission requirement for a senior/second doctorate).

The senior/second doctorate must be distinguished from an honorary doctorate (a DPhil hc). The usual procedures apply in the case of a senior/second doctorate: a candidate registers with a research proposal that is approved by an admissions committee (this does not exclude the person being encouraged to register, but there is no nomination process); a supervisor is appointed in the usual way; the candidate must be registered for a minimum period of two years; the normal procedures for examination apply (and thus also the compulsory oral examination).

Unlike the PhD consisting of a collection of scholarly articles, in which only articles that were written after the student registered for the degree concerned may be used, a collection of interrelated publications, which may have been published over a number of years, may be submitted for the senior/second doctorate. The senior/second doctorate is, however, not just a collection of publications randomly put together. It must be provided with an introduction (with the usual elements that are found in an introduction, including problem statement, aim, methodology etc.) and also a summary that sets out the results and that describes the contribution of the dissertation. The dissertation for a senior/second doctorate is examined as a whole, as a single work on a specific theme or field. The degree will be awarded only if the dissertation fulfills these requirements, even though the publications have already been subjected to a process of peer evaluation.

In addition to the more traditional research output (articles, books etc.), creative output (see 2.1.2 above) can also apply for the senior/second doctorate. In such cases, the same requirements apply as for the format where the doctorate consists of theoretical and creative/practical components, except that the latter component can include the creative work “of a life time or a career” and not only work produced during the period after the candidate registered for the doctorate.

*Higher Degrees and Research Committee, October 2012.
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ⁱ Although a dissertation can consist of only three articles, this does not imply that it necessarily should consist of only three articles. In addition to the introduction and conclusion/summary, a dissertation containing three articles may also include one or more traditional chapters. The dissertation might also, for example, have five articles with an introduction and conclusion/summary, but no traditional chapters.

ⁱⁱ The following considerations apply in this regard: did the candidate demonstrate the necessary intellectual leadership/dynamic by his/her contribution? Has his/her input in the process delivered an adequate contribution to the creation of new knowledge in order to qualify for a PhD? According to the Calendar regulations mentioned above, the supervisor and the candidate's co-authors/creative collaborators must pass judgement on these points, and confirm them in writing.