

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.

1. The Faculty of Arts and Social Sciences offers **two kinds** of doctoral degrees:
 - 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.
 - 1.1.1 A dissertation in the traditional/monograph format that documents original research, and deals with one specific subject or central theme
 - 1.1.2 A dissertation in which the theoretical component is integrated with creative work (particular to the arts and languages environments)
 - 1.1.3 A dissertation consisting mainly of a collection of scholarly articles in the discipline.
 - 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 8 below). A DPhil may also include other research output that was produced prior to registration for the doctoral study.
2. All doctoral proposals, irrespective of the kind or format, follow the same process for approval in the Faculty of Arts and Social Sciences.
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 traditional / monograph format:

The traditional/monograph format (as described in 1.1.1) applies to a dissertation as a report on research on one central and coherent research question that is examined as a single work.

 - 4.1 A dissertation by monograph must be a project approved and planned in advance. Candidates are required to prepare, in consultation with their supervisor(s), and submit a research proposal in accordance with the prescribed Faculty guidelines for doctoral proposals for dissertations by monograph. The research proposal must convince the Admissions Committee that the study has academic merit, is practically feasible and is capable eventually of being examined as a dissertation.
 - 4.2 Only work produced after the date of first registration of the doctoral candidate is permitted for the purposes of this format.
 - 4.3 Examiners submit a written report which is an independent evaluation of the dissertation in accordance with a set of general assessment criteria and are required to comment on the suitability of all or parts of the dissertation for publication.

5. Guidelines for the integrated arts-based format:

The integrated format, as artistic research (as described in 1.1.2), includes creative work as an integrated component of the doctoral research. The creative work may include exhibition(s), installation(s), composition(s), performance(s), portfolio, literary work(s), translation(s) and/or any other form of creative work recognized as such by the Faculty. In recognising integrated creative-critical research, the Faculty of Arts and Social Sciences aims to encourage and promote scholarship that integrates original, independent artistic research.

5.1 An integrated doctoral study must be a project approved and planned in advance. Candidates are required to prepare, in consultation with their supervisor(s), and submit a research proposal in accordance with the prescribed Faculty guidelines for doctoral proposals for integrated dissertations. The Admissions Committee will take into consideration that the research design and outcomes are flexible, and potentially unique to every study. In addition, an individual project may be dependent on a research design that unfolds as the study progresses. The research proposal must convince the Admissions Committee that the study has academic merit, is practically feasible and can eventually be examined as a theoretical component integrated with creative work.

5.2 Only creative work produced after the date of first registration of the doctoral candidate is permitted for the purposes of this format. In exceptional cases, a small amount of creative work produced prior to the date of first registration may be considered provided that it is motivated in the research proposal. Such a request must be supported by the Admissions Committee and approved by the Higher Degrees and Research Committee.

5.3 In terms of examination, the body of research that comprises an integration of creative and scholarly work is examined in its totality and the study should therefore show evidence of its creative and conceptual integration. Examiners should be given access to those creative and conceptual components that demonstrate such integration. The examiners will evaluate whether the candidate's work has demonstrated independent research on a doctoral level, taking into account the overall project, and will report on their findings in their examiners' reports.

6. Guidelines for the publication format:

A dissertation consisting largely of a collection of scholarly articles (as described in 1.1.3) is 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.

6.1 A dissertation consisting of a collection of scholarly articles must be a project approved and planned in advance. Candidates are required to prepare, in consultation with their supervisor(s), and submit a research proposal in accordance with the prescribed Faculty guidelines for doctoral proposals for dissertations by publication. The research proposal must convince the Admissions Committee that the study has academic merit, is practically feasibility and is capable eventually of being examined as a dissertation.

6.2 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.

- 6.3 Apart from an introductory and a concluding chapter, at least three articles are required for a dissertation consisting of a collection of scholarly articles.¹
- 6.4 Although published and unpublished articles may be included in a dissertation, the candidate should endeavour 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.
- 6.5 Only those publications for which the candidate is the only or first author or the primary researcher² 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).
- 6.6 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).
- 6.7 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.

7. Guidelines for the senior / second doctoral degree

The DPhil (as described in 1.2) 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 their career, as a recognition of exceptional research. A PhD is thus a minimum admission requirement for a senior/second doctorate.

- 7.1 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.
- 7.2 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

¹ 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.

² The following considerations apply in this regard: did the candidate demonstrate the necessary intellectual leadership/dynamic by their contribution? Has their 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.

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 fulfils these requirements, even though the publications have already been subjected to a process of peer evaluation.

- 7.3 In addition to the more traditional research output (articles, books etc.), creative work (see 2.2) 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 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.
8. If a candidate (and supervisor) decides to change the format of the approved doctoral study, a revised research proposal must be approved retrospectively by the Admissions Committee. In such cases, candidates must submit a research proposal in accordance with the prescribed Faculty guidelines for doctoral proposals for dissertations by a particular format, which is reviewed and approved by the original Admissions 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 for approval as new doctoral proposals.
9. An oral examination forms an additional part of the assessment process for all doctoral studies in the Faculty of Arts and Social Sciences, irrespective of the kind of doctoral degree or format of the dissertation.
10. The final decision on the academic merits and acceptability of the dissertation, irrespective of the kind of doctoral degree or format of doctoral dissertation, rests with the examiners. The examination process and reports are, however, subject to review by the Faculty’s Higher Degree and Research Committee and ratification by Faculty Board and Senate before the degree may be awarded.