**November 2008**

**University of Southern Denmark,**

**The Faculty of Humanities**

**General rules for the PhD programme at the Faculty of Humanities, University of Southern Denmark.**

This is an legally unauthorised translation of the Danish original. In case of inconsistencies, only the Danish text has legal validity.



***Introduction***

With reference to the ministerial regulations no. 18 of January 14th 2008 on the PhD programme at the universities (the PhD regulation, issued by the Ministry of Science, Technology and Innovation as well as later changes), the University of Southern Denmark lays down the following specific provisions about the PhD programme and the attainment of the PhD degree at the Faculty of Humanities at the University of Southern Denmark (SDU).

The PhD regulation is an educational ministerial regulation whose provisions apply at all times, regardless of the funding structure of individual students' PhD projects.

The present general rules lay down the standard framework for the PhD programme at the Faculty of Humanities.

**General provisions**

1 The PhD programme shall be carried out at the faculty's school of postgraduate studies (henceforth *the PhD School*).

2 The PhD programme shall be equivalent to a 3 year full-time study programme (180 ECTS credits).

3 The PhD programme shall be completed upon submission and assessment of a PhD dissertation and a following public oral defence, cf. sections 14-28.

4 After satisfactory completion of the approved study plan (the PhD plan), and after the assessment of the dissertation and the defence, the Academic Council of the faculty decides whether the PhD degree should be awarded, cf. section 29. 

5 A PhD dissertation can be submitted without prior enrolment in the PhD Programme, cf. section 30.

**Enrolment in the PhD programme**

6 The decision to register applicants for the PhD school is made by the Head of the PhD school on the recommendation of the head of the institute or on the proposal of representatives of academic staff on the PhD committee.

6.2 The recommendation of the head of the institute must be substantiated with reference either to a specialist academic committee’s assessment of an application for a grant or to an specialist academic report (e.g. in relation to grants funded wholly or partly externally with named recipients) The assessment/report should give an account of the following: the applicant’s name and qualification(s), title of the project, brief description of the project, level of the project and the applicant’s academic qualification for completing it. The recommendation of the head of the institute must, in addition, contain proposals for a principal supervisor and for the research degree programme to which the project could be attached; it should also describe any particular conditions or requirements associated with the project.

6.3 In relation to registration, the PhD committee, having sought advice from the institute, can give dispensation from elements of the PhD plan (course attendance, teaching or other forms of communication), if the applicant has provided documentation for activities in the areas in question. The course elements are converted in ECTS.

6.4 Out of consideration for course attendance and for teaching activities, registration for a PhD course will normally take place by 1 February and 1 September.

**Supervision**

7 The main supervisor must be employed at the faculty and affiliated with the PhD School. The main supervisor is responsible to the PhD school for the general progress of the student's PhD project and for the student fulfilling the program requirements. The main supervisor has a number of obligations, cf. the provisions below.

7.2 The main supervisor and co-supervisors shall be appointed by the Head of the PhD School after consultation with the Head of Department. The Head of the PhD School can on his/her own initiative or upon application from the PhD student appoint co-supervisors who must be qualified within the relevant academic field. This should be in accord with the Head of Department. Likewise, in accord with the department, the Head of the PhD School can replace the main supervisor or other supervisors.

7.3 Supervisors must be at least on the level of associate professor. They should be recognised active researchers in the relevant academic field. This requirement does not apply to co-supervisors.

7.4 Supervisors who are employed at the faculty shall be obligated to participate in the PhD School's courses for PhD supervisors and the activities offered by the University of Southern Denmark and/or the PhD Programmes.

**PhD plan**

8 The PhD student must follow an approved PhD plan, the main component of which is the writing of a PhD dissertation.

8.1 The PhD plan shall describe the independent research to be carried out by the student within the 3-year study period and on which the student will be assessed.

8.2 In connection with the assessment of applications, the PhD Board decides whether applicants should be exempt from parts of the PhD plan, cf. Section 7, subsection 4.The PhD plan must be finally approved no later than 3 months after the start of the study period.

9 The main supervisor must submit the student's PhD plan to approval by the PhD Board.

*Teaching and knowledge dissemination*

10 At the end of the study period, the student must have gained experience in teaching activities or other forms of knowledge dissemination.

10.2 The main supervisor must ensure that teaching and dissemination activities are, as far as possible, related to the PhD student's PhD plan. Dissemination activities may substitute teaching activities, but this is subject to approval by the Head of Department, cf. section 6.3.

10.3 PhD students without a scholarship are not entitled to employment, but may be employed at the university to carry out the obligations mentioned in section 10.

Courses

11 The PhD plan must include courses totalling an equivalent of 30 ECTS credits.

11.2 The main supervisor must make sure that the PhD student progresses through the programme in accordance with the PhD plan as well as submit the student's course activities to approval by the PhD Board, including the amount of ECTS credits achieved through participation in separate courses in relation to the overall amount of 30 ECTS credits, cf. section 7.

Change of research environment

12 The aim of the change of environment is to provide students with a chance to form part of one or more active environments outside their own institution in order to build up their network, participate in a broader selection of academic activities, enter into extended dialogue about their project, and find new ideas and impetus. In planning the change of environment, the relevance of the project should take high priority, and, insofar as this can be combined with it, a period of study abroad should likewise be given high priority. The change of environment should typically have a total duration of 3-6 months, and as far as possible its timing and its targets should be established in the PhD plan. The final plan for the change of environment is worked out with supervisors and is to be submitted for the approval of the PhD committee at the latest in conjunction with the first-year evaluation.

**The course of studies**

13 A total of three evaluations are carried out. The first two evaluations are carried out after 11 and 23 months of study, and in these the head of the PhD School must assess whether the studies of the individual PhD student are in accordance with the PhD plan.

13.1 This assessment should be based on an evaluation form and an interview with the PhD student held by the head of the PhD school, possibly with the participation of the principal supervisor.

 The procedure is as follows:

 The student sends the completed evaluation form to the principal supervisor, who then draws up a detailed statement on the status of the project according to the PhD plan and sends this statement and the evaluation form to the head of the PhD school with a copy to the student. During the next two weeks the PhD student can comment on the statement. Following this, an interview must be arranged.

 As long as the project is in accordance with the PhD plan and the secondary aims regarding course participation and communication are met – or as long as satisfactory reasons why this is not the case are given – the head of the PhD school will approve the evaluation during the final stages of the interview.

13.2 If the head of the PhD school judges that the course of the PhD programme is not satisfactory, the student will be given an opportunity to make the necessary adjustments within 3 months. It is only possible to make this offer once during the entire PhD programme. The student is given 8 working days to respond to the offer. Should the student not wish to accept this offer, the registration of the student is terminated by the end of the month.

13.3 Immediately after the 3 months have elapsed, the principal supervisor submits a detailed statement on the status of the project regarding the revised PhD plan to the head of the PhD school.

 The Head of the PhD School sends the statement to the PhD student, who is given two weeks to make any comment.

 The Head of the PhD school summons the principal supervisor and the PhD student to an interview. Based on the statement of the principal supervisor, any possible comments from the PhD student and the course of the interview, the head of the PhD School assesses whether the registration of the PhD student should continue or be terminated.

 The PhD student must be informed of this decision immediately after the interview.

13.4 Any other place of employment must be informed of the termination of registration.

13.5 After the fifth semester, a final evaluation consisting of two elements is carried out.

 1. The student and the principal supervisor will be asked to forward a statement jointly or individually on the status of the PhD programme according to the PhD plan and relate specifically to the time frame for submitting the dissertation.

 If it cannot be shown that the dissertation will be submitted simultaneously with the completion of the PhD programme (at the end of the sixth semester), the head of the PhD school will summon the PhD student and the principal supervisor to a joint interview. The purpose of this interview is to draw up a plan of action with realistic milestones for completing and submitting the dissertation.

 2. An outline of the activities registered in the PhD database must simultaneously be sent to the student and the principal supervisor for comment.

The records of courses taken by the PhD student should be compared with the list of courses, teaching/presentation and change of environment that have, to date, been approved and registered. Any missing courses along with the courses the student has followed during the fifth semester must be added to the list. Copies of all course certificates for the entire PhD programme should be enclosed. The list must be signed by the supervisor(s), the head of department and the PhD student.

***The dissertation***

14 A PhD dissertation is a major scientific presentation, which is intended to demonstrate the student’s abilities in carrying out independent research using the scientific methods relevant to the subject and in contributing to promoting research within the relevant complex of problems. It must be presented in a form and be conducted at a level that meets the international standard for PhD degrees in the relevant academic field. With regard to its magnitude and level, the dissertation should correspond to approx. two years’ work (120 ECTS).

14.2 A PhD dissertation may be presented either as a monograph or as an anthology. It must be clear from the PhD plan which form has been chosen for the project.

14.3 Regarding the monograph, the dissertation should have a magnitude of approx. 250 pages and should be submitted both on paper and as a PDF file.

14.4 The anthology should consist of a minimum of 3 articles whereof the student must be the sole author of at least one and the first author of at least one. If these requirements are not met due to specific traditions within the research environment, this must be explained in the PhD plan.. The articles should be related with regard to content and/or method, and they should be composed with a view to publication in scientific journals or similar publications.

Each article for which the student is not the sole author should include a co-authorial declaration that clearly presents the central research efforts of the student.

 The anthology should include a statement which, in relation to the articles, describes the overall issue addressed by the project, the theory and methods that have been applied (including an explanation of choice and method validation) and the results that have been achieved. It should also give a critical assessment of the aforementioned in relation to existing knowledge and future implications.

 As a guideline, the concluding statement should be between 30 and 80 pages. The total number of pages of a dissertation constructed as an anthology, i.e. articles and conclusive statements, should not exceed the stipulated length of the monograph, i.e. approx. 250 pages.

15 The dissertation has to be accompanied by a summary in Danish and English of the obtained scientific results (suggested size: 3-6 pages)

16 The dissertation must be submitted in Danish or English or, if special circumstances support it, in another foreign language. The language chosen should be indicated in the PhD plan. Regardless of the language chosen, the student is obliged to compose the dissertation in language that is correct and at an appropriate academic level.

17 A PhD student can apply for permission to submit an anthological dissertation.

 The PhD Board makes a decision on the application.

An anthological dissertation will typically consist of at least 3 articles, where the student is the single author of at least 1 and the first author of at least 1. If these requirements cannot be complied with due to the specific traditions of the research field, this must be justified in writing separately. The articles shall be related in contents and/or method and must be written with the objective of publication in scientific journals.

For every article where the student is not the single author, a co-author declaration shall be submitted in which the student's share of the work, including central research effort, shall be clearly stated.

Furthermore, the anthological dissertation shall contain a summary of the project's general problem, the applied methods, including reasons for the choice and method validation, the achieved results as well as a critical assessment of these in relation to existing knowledge and future implications.

 A PhD dissertation cannot be submitted for assessment by several joint authors. If scientific assistance, such as statistical help, has been necessary in connection with the work, this must be clearly stated in the dissertation.

18 2 months prior to the expected submission of the dissertation, the PhD student shall forward a filled-in form to the faculty secretariat stating the expected date of submission and the dissertation's title. On the basis of this, the PhD Board shall request the department to submit candidates for members of the assessment committee.

19 The PhD student's enrolment in the PhD School shall expire upon submission of the dissertation.

20 The dissertation must be submitted in 8 copies at the faculty secretariat, addressed to the Dean of The Faculty of Humanities.

20.2 The submitted copies of the dissertation belong to the university. One will be shelved, one will be sent to the University of Southern Denmark and may, with the student's permission, be made available to the public. The remaining ones shall be sent to the department and distributed to the supervisor and the members of the assessment committee.

 Note that the dissertation shall be the author's property and cannot - apart from the ministerial order's requirement that it must be accessible in due time ahead of the defence - be subject to loans or sales, or be passed on to a third party, without the author's written consent.

***Assessment of the PhD Dissertation***

*Submission*

21 At the end of the study period, the main supervisor will be asked to submit a detailed statement about the student's overall progression, including fulfilment of the individual components of the PhD plan, cf. section 9.

21.2 Within a period of at least 2 weeks, the PhD student shall have the possibility to submit comments to the main supervisor's statement.

21.3 On the basis of the main supervisor's statement, the author's comments, if any, and the annual evaluations, the Dean assesses whether the student has satisfactorily completed his/her study. If this is the case, the assessment procedure shall be initiated upon the submission of the dissertation.

*The assessment committee*

22 No later than immediately after the submission of the dissertation the Dean shall appoint a competent assessment committee upon recommendation by the PhD Board. 

22.2 The assessment committee must consist of 3 members. 2 of the members must be external, at least one of whom must be from outside Denmark, unless this is not practicable from an academic perspective. The PhD students' main supervisor shall assist the committee without voting rights, but has a duty to take part in the committee’s work. Only recognised researchers within the relevant academic field may be nominated for membership of the assessment committee.

22.3 Having been notified about the composition of the assessment committee, the author has 8 working days to object in writing to the candidacy of the proposed members.

22.4 In cases of objection by the PhD student, the Dean will reassess the situation after having obtained statements from the PhD Board and the Head of Department.

*The preliminary assessment*

23 No later than 2 months after the submission of the dissertation, the assessment committee must submit a reasoned recommendation as to whether the dissertation fulfils the requirements for the award of the PhD degree. The month of July, being a general holiday month, does not count in the calculation of the 2 months’ deadline. The recommendation shall constitute maximally 5 pages of 2,100 units. The recommendation must contain an assessment of the dissertation as well as a conclusion as to whether the requirements in the ministerial regulation have been fulfilled. The main supervisor's statement shall be included in the assessment.

23.2 If it does not lead to a delay of the defence, the assessment committee's chairman can allow for limited changes or supplements to the dissertation ahead of or in connection with the defence.

23.3 If the dissertation is assessed not to be suitable for defence, the recommendation must also include an assessment of whether the dissertation can be resubmitted in a revised version within a period of at least 3 months.

23.4 The preliminary statement shall be sent to the author for comments.

23.5 The author and the main supervisor must, within a period of at least 2 weeks, have the possibility to submit comments to the preliminary statement. 

23.6 The assessment committee's statement, any comments from the author and the main supervisor, as well as the assessment committee's comments to these will hereafter from the basis of the Dean's decision

* on whether the defence can take place,
* on whether the dissertation can be resubmitted in a revised version within a period of at least 3 months. If the dissertation is resubmitted in a revised version, it shall be assessed by the previously appointed assessment committee, unless special circumstances apply,
* or whether the dissertation shall be submitted for assessment by a new assessment committee.

23.7 If the defence cannot take place, the author shall be notified as soon as possible that the dissertation does not, in the present form, fulfil the requirements for a PhD defence, and be informed as to which decision has been made. The dissertation shall be returned to the author.

*The defence*

24 The PhD programme shall be completed by way of a public defence that consists of the following parts:

* a project presentation of no more than 30 minutes' duration.
* opposition by the external members of the assessment committee of no more than 30 minutes' duration each, including the PhD student's responses. 
* the moderator of the oral defence gives permission to speak. No more than 30 minutes shall be allotted for questions from the audience, incl. the PhD student's responses.
* the assessment committee's chairman finishes the oral defence. No more than 30 minutes.

 The whole defence must maximally last 3 hours incl. breaks.

25 The assessment committee shall propose a time and venue for the public defence, to be approved by the Dean. The defence must take place no earlier than 2 weeks after the assessment committee has submitted its recommendation and no later than 3 months after the submission of the dissertation. If special circumstances apply, the Dean can decide to postpone the defence. Postponement is subject to agreement between the author and the university, including on the date and time arranged for the defence.

26 The assessment committee can, no later than 1 week before the defence and in writing, submit matters pertaining to the dissertation that the committee wishes to discuss with the author.

27 The dissertation must be available to the public 14 days before the defence.

*Final assessment*

28 The assessment committee must submit its final recommendation in writing to the Dean after the defence as to whether the author should be awarded the PhD degree.

28.1 If the assessment committee's final recommendation is negative, the author shall receive immediate notification about this.

28.2 The Dean can decide that the dissertation shall be submitted for assessment by a new committee, if so requested by the author within a period of at least one week. 

28.3 After a satisfactory defence, the final recommendation may have the form of an addition to the preliminary recommendation, stating that the PhD student at the public oral defence has documented that the requirements in § 3 of the Ministerial order are fulfilled, and that the assessment committee recommends that the PhD degree be awarded. The recommendation must be reasoned and, in the event of disagreements, it must be based on a majority vote.

28.4 If in connection with the oral defence strengths and weaknesses in the dissertation emerge, and the committee estimates they have not (sufficiently) considered these in the preliminary recommendation of the dissertation, the committee must incorporate these new aspects in the final recommendation.

28.5 The author must have the possibility to comment on the final recommendation within a period of at least 8 working days, after which the committee submits its final recommendation to the Academic Council. The assessment committee's final recommendation shall be sent to the student for information.

 ***Award of the degree***

29 Members of an assessment committee can be summoned to the meeting in the Academic Council where the recommendation is discussed. Decision on the award of the PhD degree will be made as soon as possible after the assessment committee has submitted its final recommendation. The PhD degree shall be awarded, if there is a recommendation in favour of awarding the PhD degree from at least two of the members.



**Award of the PhD degree without prior enrolment**

30 Upon recommendation from a department and the Head of the PhD School, the Dean can approve that a PhD dissertation be considered for assessment, without the author having completed a PhD programme, if the author has in other way obtained comparable qualifications.

30.2 The Dean can, if special circumstances apply, approve the submission of a PhD dissertation by an author who does not meet the requirements in section 8, subsection 1 for enrolment as a PhD student, cf..8, subsection 2. This approval presupposes a recommendation from the relevant department.

30.3 The Dean can allow that a dissertation, which builds on already published articles, can be submitted as a PhD dissertation. If any of the published articles have been co-written with other authors, statements must be enclosed from each of them about their share in the work.

30.4 The Dean can allow for several dissertations that are related in topics or method to be submitted as a PhD dissertation. Such dissertations must be accompanied by an exhaustive justification.

30.5 The Dean can accept that a dissertation that has been submitted by a student from a foreign university is assessed without the student having fulfilled a Danish PhD training. To be accepted, the student needs to have been a guest researcher at a Danish University (c.f. the Ministerial Regulation 2.2) and to have acquired qualifications which equal a Danish PhD education.

**Other provisions**

31 On the basis of the Academic Council's decision on the award of the PhD degree, the university shall issue a certificate in both Danish and English. The certificate must state the topic(s) of the dissertation and lectures, as well as the following information:

 A) courses in which the PhD student has participated;

 B) fulfilled teaching and dissemination obligations;

 C) stays at other domestic or foreign educational institutions, companies etc.

31.2 PhD students who are not awarded a PhD degree may request documentation in Danish and English concerning the elements of the PhD programme which were satisfactorily completed.

32 The present rules are valid for students who have been enrolled after February 1st 2008.

32.2 PhD students who have started their studies before February 1st 2008, are entitled to complete the PhD programme according to ministerial order no. 114 of March 8th 2002, but submission, assessment, and defence of the dissertation as well as decision on the award of the PhD degree shall take place in accordance with the rules in the ministerial order no. 18 of January 14th 2008.

33 The present rules will enter into effect on October 1st 2008

The rules are revised and approved on the 23 November 2010 (31.5), 4 October 2011 (15, 16 and 18), 6 September 2012 (6, 12, 14, 16, 22).