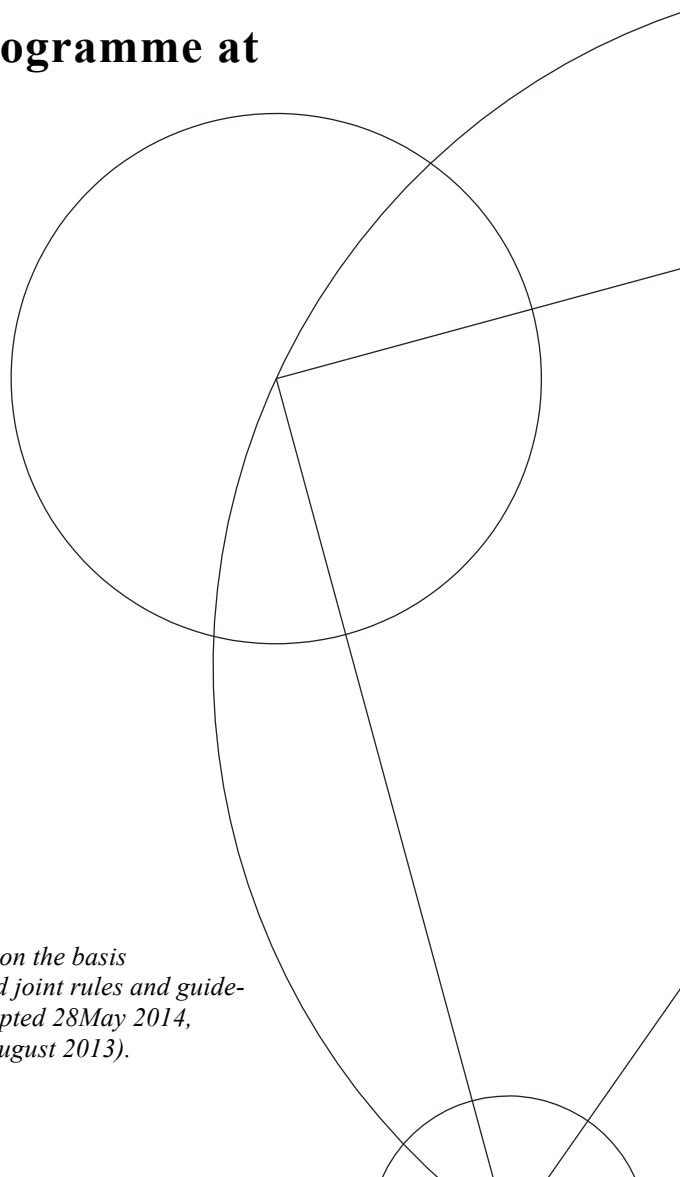




## **Guidebook for the PhD programme at the Faculty of Humanities**

*Adopted by the dean 2 February 2009. Revised 17 September 2015 on the basis of changes to local resolutions at the Faculty of Humanities, revised joint rules and guidelines for the PhD programme at the University of Copenhagen, adopted 28 May 2014, and the new ministerial order on PhD programmes (no. 1039, 27 August 2013).*



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### ***Preamble***

The guide book for the PhD programme at the Faculty of Humanities at the University of Copenhagen contains the most important information on the PhD programme included in the ministerial order on the PhD programme (2013) as well as the University of Copenhagen's and the faculty's protocol in the area. The purpose of the guide book is to ensure that PhD students and supervisors quickly can form a general view of and gather information on rules related to enrolment as PhD student<sup>1</sup>. The guide book furthermore contains information on competence apportionment between the PhD school and the PhD committee. Additionally, postgraduate students and masters contemplating applying for PhD scholarships may read this publication and obtain knowledge of the object of and the requirements for the PhD programme. Thus, the guide book constitutes an attempt to assemble the guidelines for the PhD programme and make them as transparent as possible.

The PhD school, September 2015

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<sup>1</sup> Rules concerning employment as PhD scholar can be found at the PhD Schools homepage:  
[http://phd.humanities.ku.dk/info\\_site/ansaettelsen/](http://phd.humanities.ku.dk/info_site/ansaettelsen/)

## **1. Introduction**

### **1.1 General rules**

The legal basis for the PhD programme and the award of the PhD degree at the University of Copenhagen (UCPH) can primarily be found in the current University Act (see consolidated Act no. 367 of 25 March 2013 with subsequent amendments) and Ministry of Higher Education's order on PhD programmes no. 1039 of 27 August 2013 (appendix 1). Add to this the country's additional legislation to the relevant degree, for instance the Public Administration Act. The regulations currently in force can be seen at [www.retsinformation.dk](http://www.retsinformation.dk).

This protocol establishes, in accordance with UCPH's shared rules and guidelines for PhD programmes at the University of Copenhagen (adopted 28 May 2014), supplementary rules for the Faculty of Humanities regarding enrolment, organization of the programme, appointment of principal supervisor and additional supervisors, if required, supervision of the PhD student, as well as preparation, submission, and defence of the PhD thesis (cf. ministerial order §25).

The present rules and guidelines do not contain regulations concerning employment issues, including part-time employment, leave of absence, PhD scholarships, salaries, etc. Please refer to general rules of employment and collective agreements, including agreements for state-employed academics and the faculty's regulations regarding employees.

### **1.2 Purpose and scope**

The PhD programme is a research education that qualifies the PhD student on an international level to independently undertake research, development, and teaching assignments in both the private and public sectors. The primary focus of the PhD programme is research training under supervision (cf. ministerial order §1, subsection 2).

The prescribed duration of the programme is three years of full-time studies/180 ECTS points (cf. ministerial order §4). The three years are measured from initial enrolment up to and including submission of the thesis. Thus the final evaluation is not included in the three year period.

The PhD programme in Denmark is described in the Danish qualifications framework for higher education:

Persons attaining degrees at PhD level:

#### **Knowledge**

- Must have knowledge at the highest international level within the relevant field of research.
- Must have contributed significantly to the development and accumulation of new knowledge on and understanding of the field of research on the basis of scientific inquiries.

#### **Skills**

- Must master the scientific methods and tools, as well as additional pertinent skills that are relevant for the specific research and development tasks connected to the field.
- Must be able to analyze, evaluate, and develop new ideas and concepts, including design and development of new techniques and skillsets within the chosen field.

- Must be able to participate in the field's international discussions and present scientific results and progress to a broader audience.

## Competences

- Must be able to organize and manage research and development tasks in complex and unpredictable circumstances.
- Must independently be able to initiate and participate in international cooperation on research and development with scientific integrity.
- Must independently be able to initiate research and development projects and through those generate new knowledge and skills that progress the field.

### 1.3 Organization of the PhD programme at the Faculty of Humanities

The PhD programme at the Faculty of Humanities takes place at the faculty's PhD school. The PhD school is led by a school manager responsible for the programme; the head of the PhD school is aided by a PhD committee with equal representation from scientific staff and PhD students. At each department a PhD coordinator is appointed; with reference to the head of department the coordinator is responsible for the PhD area at the individual departments. The PhD coordinator is the contact person for the PhD students and attends to a broad range of tasks, including tasks related to professional and social integration of the PhD students, continuous observation of progress via review of evaluation reports, annual group interviews with students, etc. Additionally, a PhD board has been established with representatives from the PhD committee, the PhD coordinators, the PhD students, and the PhD administration. Further information on organization, supplementary regulations, guidelines, and contact possibilities can be found at the faculty's homepage: <http://phd.hum.ku.dk>.

## 2. *Enrolment and commencement of studies*

### 2.1 Enrolment

The Faculty of Humanities offers PhD programmes within the fields in which the faculty at the given time conducts research, but the faculty decides autonomously who to admit and enrol as PhD students (cf. ministerial order §2, subsection 2, and §6, subsection 1).

Decisions regarding admission and enrolment are made by the head of the faculty's PhD school on the recommendation of the scientific staff on the PhD committee. Enrolment is contingent on written application. The decision is based upon the applicant's documented education and professional qualifications, the project's suitability and applicability in a PhD framework and appropriateness in terms of the faculty's professional profile, the applicant's language skills, and whether the necessary professional and financial resources can be made available to the education, so that this can be completed in a timely and reasonable fashion. The decision of enrolment does not include salary for the PhD student, as any decision regarding employment is a separate decision made by the dean and regulated in accordance with the legal conditions and protocols of employment. PhD students are enrolled at the PhD school at the faculty and are normally associated with the department at which their principal supervisor is employed.

It is a prerequisite that the applicant upon enrolment has completed a relevant master's degree/postgraduate studies, or is able to document equivalent qualifications, including competences such as foreign university exams.

Application for enrolment is made on a special form available on the faculty's homepage. The

application must contain a preliminary account of the envisaged research project, including the PhD plan, a cv with a list of publications (if applicable), copy of degree certificate with marks, and, where possible, ECTS specifications.

Foreign degree certificates, which are not Norwegian, Swedish, German, French, or English, must normally be accompanied by a translation into Danish or English, as well as a description of the marking scale used. Please refer to the application form for further information.

If the entry qualification is obtained from a foreign institution, the faculty may procure an assessment from the Ministry of Higher Education ([www.ufm.dk](http://www.ufm.dk)). Does the application include such an assessment – or is the assessment for instance part of a concurrent employment procedure – it must be taken into consideration regarding the applicant's foreign educational qualifications in relation to the specific Danish education; moreover, it must form the basis of an evaluation of whether the applicant's foreign educational qualifications correspond to a Danish master's degree, cf. §3 in consolidated Act no. 579 of 1 June 2014 on assessment of foreign educational qualifications, etc. It is, however, the faculty itself that has the decision-making competence in terms of whom to enrol. The faculty may in connection with comparisons between foreign qualifications and the Danish master's degree include both the applicant's educational qualifications and subsequently obtained competences. Even if the education itself is deemed to not correspond to a Danish master's degree, it does not automatically exclude the possibility of enrolment, if the applicant's foreign educational level and subsequently obtained competences and qualifications together correspond to a Danish master's degree (cf. ministerial order §6, subsection 1).

Each faculty may moreover establish demands for an English language test for foreign applicants. When applying for enrolment in the Faculty of Humanities' PhD school, applicants must be able to document English language skills.

Applications are normally reviewed and responded to within six weeks of reception. If the applicant simultaneously applies for a scholarship/grant, time must be added for assessment of the application and the subsequent employment procedure.

## **2.2 Integrated postgraduate and PhD programmes**

At the Faculty of Humanities it is at present not possible to commence a PhD education in connection with postgraduate/master's degree programmes, for example as 4+4 or 3+5 schemes (cf. ministerial order §5, subsection 2).

## **2.3 Credit transfer approval**

Upon application for enrolment the applicant may apply for approval of thoroughly documented previously obtained competences and qualifications (credit transfer), so that these form part of the research education.

Application for credit transfer is processed by the faculty's PhD committee. The committee only approves modules taken in the course of the PhD programme, and any approval of courses/modules completed prior to enrolment in the PhD programme requires dispensation. If applicants apply for approval of courses completed prior to enrolment in the PhD programme, please be aware of the following:

- a) The course must be completed after the applicant has concluded his/her master's degree/postgraduate studies.
- b) The course must have been completed no earlier than five years prior to enrolment in the PhD school.

- c) The course content must be specifically relevant for the PhD project and not be of a general character.
- d) The course must be at PhD level, and the maximum credit attainable is 5 ECTS. Additional credit will entail a reduction of the enrolment period of 1 month for each 5 ECTS approved of.

#### **2.4 Part time**

The PhD education is normally organized as full time studies with a prescribed duration of three years (cf. ministerial order §4), but may on motivated application be completed as part time studies. The PhD studies must always constitute at least 50 %, which means that the prescribed part time duration cannot exceed six years (excluding leave of absence, if any). Part time may be motivated by the research project's character as well as personal issues. For further information on part time studies in connection with extended length of study, please see section 2.7.

The PhD committee makes a decision concerning the professional and study-related circumstances in connection with application for part time PhD studies. Applications for part time studies from PhD students employed at the University of Copenhagen must also be approved by the dean and the grant contributor, if any, as agreements on part time studies must be harmonized with potential employment.

In connection with part time studies the PhD plan (cf. section 2.9) must be adjusted and approved by the head of the PhD school, see section 2.8.

Students cannot expect to keep the same supervisor or office facilities for the entire duration of the PhD education, if the education is carried out on part time basis.

If a student applies for an extension of the enrolment period (see section 2.7) to be undertaken as part time studies, the requirement that the PhD studies always must make up at least half time (see section 2.4) is annulled. Instead a concrete assessment of each individual application is made.

#### **2.5 Leave of absence**

Legally regulated leave of absence in connection with maternity leave/adoption/military stationing etc. must be communicated to the PhD committee, and the PhD plan must be adjusted and approved accordingly. Legally regulated leave of absence must furthermore – with reference to employment matters – be communicated to the relevant department, the faculty's PhD administration, the HR department, and UCPH's central HR office. The rest of this section deals with leave of absence not legally regulated.

It is possible to apply for leave of absence from the PhD studies for both professional and personal reasons. Applications must be submitted in writing, be motivated, and a statement from the principal supervisor must be subjoined. The PhD committee evaluates the professional and study-related circumstances in connection with applications for leave of absence. The decision is made on the basis of individual evaluations and in consideration of the further progression of the PhD study and the university's personnel policies. Leave of absence is not normally granted for periods exceeding 12 months in total (excluding any legally regulated leave of absence). In case of leave of absence, the enrolment period is correspondingly extended.

Applications for leave of absence from PhD students employed by UCPH must be approved by the dean and the grant contributor, if any, as leave of absence from PhD studies must be coordinated with leave of absence from the employment in question.

Leave of absence entails that you are not a student during the period of absence. It is thus not

permitted to participate actively in study-related endeavours during leave of absence, and you are not entitled to tutoring, office space, etc. If all relevant parties approve of this, you may, however, participate in an already scheduled course if this is deemed to be of evident significance for the PhD education and not expected to be reiterated at a later date. In such cases please contact the HR department with regards to employment matters.

In connection with leave of absence the PhD plan must be adjusted accordingly and approved by the head of the PhD school, see section 2.9.

It cannot be expected that a student can keep the same principal supervisor for the remainder of the PhD education after the expiration of the leave of absence period.

## **2.6 Illness**

Both PhD scholars *enrolled* at the Faculty of Humanities and PhD scholars also *employed* at the Faculty of Humanities can find further information on what to do in case of illness at the employees' guide at KUnet. In case of doubt please contact the HR department.

## **2.7 Extension of enrolment period**

Enrolment in a PhD education is normally for a three-year period. PhD students who have been delayed in their studies have the possibility of applying to the PhD committee for an extension of the enrolment period. Applications must be submitted in writing, be motivated, and a statement from the principal supervisor must be subjoined, and if the student is employed at UCPH, the head of department must have accepted the extension. Normally only one extension can be expected, and the enrolment period will normally be extended for a maximum of 6 months. Application for extension of the enrolment period must be submitted to the PhD administration before the original period of enrolment expires. In addition, applications may be submitted in case of prolonged illness; these applications must be submitted in the time frame between the date for recovery and the expiration of the enrolment period.

Extension of enrolment period and employment, respectively, is regulated by different protocols and procedures and decision-makers. Extension of the enrolment period does not in itself lead to an extension of employment. PhD students who want an extension of their employment must therefore submit a separate application (the application may, however, be submitted in the same letter as the application for extension of the enrolment period). The possibilities of applying for extension of employment (see for instance the AC collective agreement) are more restricted than the possibilities of applying for extension of the enrolment period (see the ministerial order on PhD education). Please contact the PhD administration or the HR department for further information. With regards to maternity/paternity leave an application for extension of the enrolment period is submitted simultaneously with communicating the leave of absence to the personnel administration, if you are employed at UCPH.

## **2.8 Supervision, appointment of supervisors, and change of supervisors**

The PhD education is to a significant degree based on supervision and study guidance. PhD students are entitled and obliged to receive an average of 30 hours of supervision/study guidance over 6 semesters, i.e. a total of 180 hours. The supervision is distributed according to needs and wishes. In case of more than one supervisor, supervision obligations are shared between these. The 180 hours comprise all work related to the PhD student, including supervisor preparation and report tasks<sup>2</sup>.

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<sup>2</sup> Students cannot expect to keep the same supervisor or office facilities for the entire duration of the PhD education, if the education is carried out on part time basis.



Every PhD student must have a principal supervisor for the entire PhD education. The principal supervisor is responsible for the whole PhD education, which is planned in cooperation with the PhD student (cf. ministerial order §8). The supervisor has a number of special obligations, described in greater detail below and in section 2.9. Additional supervisors may be assigned, and the faculty encourages this. These supervisors must be qualified within the relevant field (cf. ministerial order §8, subsection 2, paragraph 1).

The principal supervisor must be a person who for a number of years scientifically and actively has engaged in research on at least associate professor/senior researcher level. The principal supervisor must conduct research in the field in question, be employed at the Faculty, and possess knowledge of the PhD education and student guidance/tutoring.

The principal supervisor and any additional supervisors (project supervisor or co-supervisor) are appointed by the head of the faculty's PhD school on the recommendation of person in question's immediate superior (normally the head of department). The PhD student may suggest potential supervisors, but the final decision is made by the head of the PhD school. The principal supervisor is appointed in connection with enrolment. Any co-supervisor and the extent of the co-supervision/guidance is applied for to the head of the PhD school and appended with an evaluation from the principal supervisor. The co-supervisor is appointed by agreement with the person in question's immediate superior (normally the head of department).

PhD students whose research projects to a significant extent takes place at another institution or organization than the university should have an auxiliary supervisor there.

PhD students with scholarships funded through the industrial PhD programme (industrial PhD students) must in addition to the principal supervisor be assigned a supervisor associated with the organization in which the PhD student is employed. This supervisor is appointed by the head of the PhD school in collaboration with the business or organization. The supervisor must be qualified in the relevant field (cf. ministerial order §27). For additional information please see guidebook for the industrial PhD programme at [ufm.dk](http://ufm.dk).

PhD students may apply for a change of supervisor. A motivated application for change of supervisor must be submitted to the head of the PhD school in writing. It is the head of the PhD school who, after consulting with the relevant head of department, makes the decision regarding the replacement. If the application for supervisor replacement is not complied with, the PhD student must have the opportunity of commenting on the supervisor's pronouncement before the head of the PhD school decides if the change can be granted. In special instances the head of the PhD school may replace the principal supervisor even if no application from the student has been submitted.

## **2.9 The PhD plan**

All PhD students must have a PhD plan approved by the head of the PhD school no later than three months after commencement of the education. The PhD plan is submitted to the head of the PhD school no later than two months after enrolment. Please use the form found at the PhD school homepage at [http://phd.humanities.ku.dk/info\\_site/ph.d.\\_studiet/phdplan/](http://phd.humanities.ku.dk/info_site/ph.d._studiet/phdplan/).

The PhD plan must at least contain the following items (cf. ministerial order §9):

1. Time frame
2. Agreement on scope and form of supervision/guidance
3. Plan for the PhD project
4. Plan for PhD courses etc.

5. Plan for participation in other active research environments
6. Plan for teaching assignments or different kinds of knowledge dissemination
7. Agreements on immaterial rights (if any)
8. Budget and financial plan

In connection with the agreement on scope and form of tutorials/guidance, a harmonization of expectations of students and supervisor(s) must be obtained. The harmonization must appear from item 2 of the PhD plan.

In case of external collaborators a written cooperation agreement must be present upon enrolment. The agreement must contain information on financial aspects, details concerning immaterial rights and publication, and clarification of employment conditions – including who will finance any extensions of the employment in case of absence because of illness or other. Additionally it must be specified how the PhD student's presence and work obligations are shared between the department and the institution in question. The cooperation agreement is prepared by the head of the PhD school in collaboration with internal and external partners and signed by the external partner, the head of the PhD school, and the relevant head of department.

It is the principal supervisor's responsibility that the PhD plan is drawn up and revised, if necessary. The plan must be in writing and signed by supervisor, student, head of department, and external place of employment (if any), and must be approved by the head of the PhD school. The plan functions as a project management tool and must be sufficiently detailed to form the basis for the evaluation reports. The plan is dynamic and will be adjusted continuously, for instance in case of major changes to the project, changes relating to sojourns at other institutions/research environments, leave of absence, prolonged periods of illness, etc. A revised PhD plan must be approved by the head of the PhD school.

### ***3. The content of the PhD programme***

The PhD education comprises (cf. ministerial order §7):

1. Completion of a piece of independent research work under guidance (the PhD project).
2. Completion of PhD courses or similar educational elements of a total volume of approximately 30 ECTS points.
3. Participation in active research environments, including sojourns at other, preferably foreign research institutions, private research businesses, etc.
4. Accumulation of experience with teaching assignments or other knowledge dissemination related to the PhD project in question.
5. Preparation of a PhD thesis on the basis of the PhD project.

#### **3.1 The research work**

The research project is the central part of the PhD education and must form the basis of the final thesis. The work can be organized as an independent project or an integrated part of a larger research project; in the latter case it must, however, be clearly defined and organized with a view to making allowance for the object of the research education with regards to scope, scientific contents, and independence.

#### **3.2 Earning ECTS points**

As mentioned in section 3 the PhD education must include participation in courses or corresponding activities such as conferences of a total time scope of 30 ECTS points, corresponding to six months' studies (840 hours). 1 ECTS point thus corresponds to 28 hours of work.

The PhD school regularly offers PhD courses that are announced on the faculty homepage. The respective departments likewise offer seminars that are announced on their homepages. PhD course activity and award of ECTS points must be approved by the PhD committee. More detailed rules for approval of ECTS can be found at the PhD School homepage at [http://phd.humanities.ku.dk/about/phd\\_committee/](http://phd.humanities.ku.dk/about/phd_committee/). Courses arranged by other course organizers at home or abroad can also be part of the PhD education. Such courses must be agreed upon with the principal supervisor prior to participation.

The courses can be research specific or general, e.g. on writing an article, research ethics or patenting. Further, UCPH is as mentioned in section 3.3 obliged to offer all PhD students a course in presentation and communication (cf. ministerial order 8, subsection 3 & 4).

Additionally, participation in the course on scientific integrity and participation in the introductory seminar are mandatory for PhD students at the Faculty of Humanities.

For courses offered by UCPH and the Faculty of Humanities the PhD student is entitled to get a diploma issued, describing in brief the course contents and scope, and attests to the satisfactory participation of the student.

### **3.3 Teaching and knowledge dissemination**

All PhD students must as part of their PhD education engage in teaching activities or other kinds of knowledge dissemination related to the student's PhD project (cf. ministerial order §7, subsection 2, paragraph 4). The demand for teaching experience or other kinds of knowledge dissemination is not related to scope in the ministerial order and cannot be confused with the appointing authority's duty to offer employed PhD scholars work for 840 hours for the appointing institution (cf. collective agreement for state employed academics, annex 5, entry on PhD scholars §7, subsection 2), which is often implemented as teaching assignments.

According to the entry on PhD scholars the appointing authority is obliged to offer the PhD student 840 hours of work for the institution in case of full time employment for three years. The appointing authority is obliged to pay the student a full salary, even if the appointing authority does not make use of the 840 working hours. The PhD student may by agreement with the university choose to get a reduction of the 840 hours or entirely decline the offer, against a corresponding reduction in salary.

In case of employment for shorter periods a proportionate reduction of working hours will be made. The 840 hours of work cannot be in the shape of administrative tasks, but can be tasks related to presentations, teaching, research, library work, committee work, or other professional assignments that may relieve the scientific personnel.

UCPH has the opportunity of offering non-employees hourly teaching assignments, support in connection with research projects, presentations, and other work that may relieve scientific personnel, cf. annex 5c of the collective agreement for academics, Agreement on remuneration of PhD students in connection with the research education. There is no upper limit to the number of working hours in these employment situations.

UCPH may not encourage PhD students to carry out work without compensation or work in excess of 840 hours for any of UCPH's institutions. Moreover, the tasks assigned to the PhD students in order to meet the requirement of 840 working hours must to the largest possible extent be planned and scheduled by the supervisor, the student, the head of department, and possibly the head of studies for the education in question. Finally, the 840 hours must to the highest possible degree be compatible

with the work on the student's project, so that the 840 hours in terms of content are relevant to or naturally pertinent to the field of the PhD research.

For PhD students teaching activities will often make up a significant part of the 840 hours, and through that relevant teaching experience is obtained, but the requirement of teaching and knowledge dissemination is effective for all PhD students and should only constitute a limited part of the total educational programme. Thus, a distinction is made between the 840 working hours and obtained teaching experience, even though these may be combined if teaching makes up part of the 840 hours.

All PhD students are offered a course on presentation and communication in accordance with the ministerial order on PhD programmes (cf. ministerial order §8, subsections 3 & 4).

In consideration of the submission of the PhD thesis within the prescribed period of enrolment, the aim must be that teaching activities and other dissemination tasks are not placed in the final two semesters of the programme.

### **3.4 Participation in other research environments**

PhD students must participate in active research environments, including sojourns at other, preferably foreign, research institutions, private enterprises etc. (cf. ministerial order §7, subsection 2, paragraph 3).

The Faculty of Humanities expects that at least one extended sojourn of a total duration of 3-6 months at foreign research institutions forms part of the PhD education. An extended stay abroad is defined as at least 14 days. This means that if a PhD student does not have the possibility of spending 3 uninterrupted months abroad, he or she may piece it together of for instance 6 sojourns of 14 days each. Participation in courses and conferences may not be taken into account in relation to extended sojourns abroad. The principal supervisor is specifically responsible for ensuring that the PhD student has the opportunity to establish contacts with active researchers outside of Denmark.

Sojourns at other research institutions or private research enterprises are arranged in such a way that research work, courses, knowledge dissemination, etc. can be undertaken during the sojourn. Activities carried out during sojourns at other research institutions or private research enterprises must normally be approved of in advance by principal supervisor (cf. section 3.2).

PhD students may apply to their department for travel grants for sojourns abroad, but students should expect to apply to private foundations and other public funds for support for extended sojourns abroad.

For PhD students employed at UCPH sojourns abroad entails a number of employment-related matters such as vacation arrangements and health benefits. It is therefore important to coordinate with the HR department well before the scheduled departure time.

## **4. Regular evaluations**

The ministerial order on PhD programmes requires that the university regularly in the course of the education assesses whether the student follows the PhD plan (cf. ministerial order §10). At UCPH at least 3 assessments must be done in the course of the 3-year PhD programme. The assessments are carried out 10, 20, and 30 months after commencement of the programme (not including any granted leave of absence, see section 4.1).

### **4.1 Assessments**

The head of the PhD school regularly assesses whether the PhD student is following the PhD plan.

The assessment is based on a written evaluation report from the principal supervisor who confirms that the PhD student is following the PhD plan or reviews in writing what adjustments are necessary. It is the responsibility of the principal supervisor to submit the evaluation reports in due time and to ensure that the reports have been received by the PhD administration and approved by the head of the PhD school. Please use the form available from the PhD school's homepage.

Prior to the supervisor's report, the supervisor must consult the PhD student to discuss the progress of the PhD programme in accordance with the discussion guide adopted by the PhD committee. The PhD coordinator from the student's department may participate in one or more assessment dialogues if the PhD student or the principal supervisor wants it. The PhD student has the opportunity to submit his or her comments on the report within two weeks. The hearing of the PhD student may be omitted if both the supervisor and the PhD student have signed an unqualified positive opinion. The principal supervisor submits the evaluation report along with the PhD student's comments, if any, to the head of the PhD school with a view to approval or adjustment of the PhD plan, cf. ministerial order §10, subsection 1. The head of department or the person authorized by the head of department approves with his or her signature the extent of the completed work obligations in relation to employed PhD students. The PhD coordinator also receives copies of the evaluation report.

The assessment must document in writing which elements of the education that have been completed and which elements still need to be done. Any inadequate elements in relation to the PhD plan must be expounded by the supervisor in such a way that the PhD student is able to address these specifically. In connection with the assessment documented periods of illness, maternity/paternity leave, and other approved leave of absence must be taken into consideration, along with other factors such as professional concerns.

#### **4.2 Rectification and termination**

If the head of the PhD school assesses that the PhD student does not follow the PhD plan despite adjustments (if any), the student must be offered, in writing, a 3-month period in which to rectify matters. The offer must clearly illustrate what is expected to be remedied within the rectification period. The three months may not in themselves lead to a postponement of the PhD education, and the student can only be offered one rectification period in the course of the PhD education (cf. ministerial order §10, subsection 2).

As soon as possible after the 3 months, the head of the PhD school makes a new assessment based on a new report from the supervisor. The PhD student has the opportunity of responding to the supervisor's report within two weeks. If the assessment is still negative, the enrolment is terminated (cf. ministerial order §10, subsection 3 & 4). The PhD student has the opportunity to file a complaint to the dean concerning the decision of the head of PhD school within two weeks from the day the decision was communicated to the PhD student. The PhD student can further complain about legal issues to the Danish Agency for Higher Education (cf. ministerial order § 29, subsection 1 (see section 6.1)).

Termination of enrolment entails that employment as PhD scholar is also terminated immediately. The faculty notifies the HR legal department, who will terminate the employment.

The faculty also notifies any other place of employment that enrolment has been terminated (cf. ministerial order §10, subsection 4).

#### **4.3 Satisfactory completion**

The final assessment takes place in connection with the submission of the PhD thesis. The principal

supervisor must no later than simultaneously with the submission of the thesis submit a report on the entire PhD education. A review of the individual educational elements, including teaching activities and knowledge dissemination, association with other research environments, participation in courses, ECTS statement, etc., must be submitted along with the report. The report is prepared in cooperation with other supervisors, if any. A form from the PhD school's homepage must be used.

If the principal supervisor in his or her report states that the PhD education is not satisfactorily completed, the PhD student has the opportunity of responding to the supervisor's report within two weeks (cf. ministerial order §14, subsection 2). The head of the PhD school assesses on the basis of the principal supervisor's report, the student's response (if any), and the regular evaluations if the total PhD education has been satisfactorily completed. If the head of the PhD school concludes that the programme has not been satisfactorily completed, the PhD student will be offered 3 months to rectify matters (cf. section 4.2).

The PhD student has the opportunity of objecting to the head of the PhD school's decision within two weeks after the decision has been communicated to the student. If the student accepts the offer of rectification, the enrolment is correspondingly extended. Thereafter a new assessment is made. An extension of the employment as PhD Scholar is not made accordingly.

If the PhD programme has not been satisfactorily completed, the student is expelled.

The PhD thesis may only be subjected to examination if the head of the PhD school concludes that the total PhD programme has been satisfactorily completed (cf. ministerial order §15, subsection 1). Otherwise the student has, however, the opportunity of applying for examination of the thesis in accordance with §15, subsection 2.

## ***5. The PhD thesis, defence, and award of the PhD degree***

### **5.1 Requirements for the PhD thesis**

Upon completing the PhD programme, the student submits a PhD thesis. The thesis must document the writer's ability to utilize the scientific methods of the field and present a research effort corresponding to the international standards for PhD degrees in the field (cf. ministerial order §11).

The thesis must normally be written in Danish or English. Theses written in other languages than Danish, Norwegian, Swedish, or English must be approved by the PhD committee following application. A motivated application subjoined by a statement from the principal supervisor is submitted to the PhD committee at the beginning of the education. If permission is granted to write the thesis in another language, permission is simultaneously given that the defence of the thesis is done in the same language.

The thesis must include an abstract in Danish and English of no more than 1 A4 page each. Additionally, the thesis may include abstracts in other languages (not exceeding 1 A4 page each).

The PhD thesis cannot be submitted for examination jointly by several people. The research project upon which the thesis is based, however, may be carried out jointly by several people. If the thesis contains articles or drafts of articles prepared in collaboration with others, written declarations from each of the co-writers must be enclosed, stating the writer of the thesis's share of the work (cf. ministerial order §12). The statement must be dated and signed by both the PhD student and the co-writers.

It must appear from the front page of the PhD thesis that it has been submitted to the Faculty of Humanities at the University of Copenhagen. PhD theses may be furnished with UCPH's faculty specific front page for PhD theses. For more information, please see the PhD school's homepage.

Students must submit the PhD thesis electronically to the PhD administration. The thesis is submitted as a Word file and a PDF file by e-mail to [phdadministration@hum.ku.dk](mailto:phdadministration@hum.ku.dk). Please be aware that the PDF file cannot be larger than 5 MB. (NB: If you have used a different text editing software than Word you are, of course, welcome to submit it in this format, but we must also receive a copy in Word for the sake of word counting and the screening for duplicate text).

The PhD thesis must be fully paginated, including any appendices/annexes. It must also include an abstract in both Danish and English (max. 1 A4 page each).

The total size of the PhD thesis including footnotes and endnotes, table of contents, captions, and abstracts may not exceed 100.000 words. The word count should not include bibliography, indexes, image inventory, appendices, etc. If the student thinks that his or her PhD thesis includes elements not mentioned here, it is possible to apply to the PhD committee, prior to submission, for an exemption of these from the word count.

Additionally, a solemn declaration must be submitted to the effect that the thesis has not previously been submitted to other educational institutions for examination. The declaration must also state the number of words in the thesis. Please use the relevant form from the PhD administration's homepage.

In relevant cases valid permissions to use copyrighted material can be subjoined. All such statements must be dated. Upon submission of the thesis the writer gets a receipt for the reception of the thesis. The head of the PhD school assesses whether the thesis meets the requirements for a PhD thesis submitted to the Faculty.

The PhD student's enrolment at the Faculty of Art's PhD school is terminated upon submission of the thesis (cf. ministerial order §13). Supervisor and department are expected to aid the student until the defence of the thesis.

Any concurrent employment as PhD scholar is terminated upon submission of the thesis. The faculty notifies the HR legal department when the thesis is submitted, before the end of the employment period.

## **5.2 The composition of the thesis**

The total size of the thesis including footnotes and endnotes may not exceed 100.000 words. Only the bibliography and any inventories may be discounted, while abstracts and table of contents are included.

The PhD thesis may assume the following forms:

1. A monography prepared by the PhD student alone.
2. A thesis composed of several articles of related contents and/or theoretical basis and method, in which the results obtained in the course of the PhD education are presented and possibly publicized by either the PhD student alone or together with co-writers. An article based thesis must be a whole thesis, meaning that the individual articles must form constituent parts of a whole, which normally entails an introduction, a number of articles, and a conclusion. The object of the introduction is to introduce the project and choice of method, as well as to map out the correlation between the articles.

3. A combination of monography and article based thesis.

Regardless of form it is the quality of the thesis as a whole that is examined.

For an elaboration on the faculty's guidelines for article based thesis, please see the memorandums *Guide to article-based PhD theses* (2015) and *Guidelines for co-publication* (2015). In case of co-publication the form *Co-author declaration and confirmation* must be filled out. Both memorandums and form may be ordered from the PhD administration.

### **5.3 Academic assessment committee**

The PhD thesis and the defence are assessed by an assessment committee. No later than upon submission of the PhD thesis – and preferably several weeks before – an assessment committee consisting of three people is appointed (cf. ministerial order §16). The members must be at associate professor or senior researcher level in the relevant field. Two of the members must be employed outside of the University of Copenhagen. At least one member must be from abroad, unless this is inexpedient in terms of professional considerations (cf. ministerial order §16, subsection 2). The third member must normally belong to the faculty in question and is appointed by that faculty as chairman of the assessment committee. Preferably both sexes should be represented in the committee. Persons who have co-authored articles that are included in the thesis may not be on the assessment committee. Likewise, the general rules on competence and capacity should be observed.

The PhD student's supervisors may not serve on the assessment committee, but the principal supervisor is appointed to the committee without the right to vote (cf. ministerial order §16, subsection 2). As appointed the principal supervisor must be available with regards to elucidating matters concerning the actual PhD project and the professional progression of the student's research project. The principal supervisor may be invited in this capacity to the assessment committee's meetings. The supervisor cannot serve as secretary to the committee.

If the PhD student is funded by a scholarship from The Danish Agency for Science, Technology and Innovation (industrial PhD students), at least one of the members of the assessment committee must have relevant business related research experience of the field in question (cf. §27), but cannot be employed at the enterprise/organization employing the PhD student.

The PhD committee must propose the composition of the assessment committee to the dean (cf. §16, subsection 2, paragraph 2 of the University Act – the ministerial order mentions rector, but at UCPH this competence has been delegated to the dean) following suggestions from the head of the department in question, who may consult with the supervisor. Immediately following the constitution of the assessment committee the author of the PhD thesis is notified. The author may object to the constitution of the committee within one week of notification.

### **5.4 Preliminary assessment and possible revision**

No later than two months after the submission of the thesis, the assessment committee will submit a recommendation to the faculty on whether the PhD thesis is suitable as basis for awarding the PhD degree. The recommendation must be submitted in writing, be motivated, and in case of disagreement depend on a majority of votes. A copy of the recommendation must be sent to the author of the thesis. If the assessment committee's recommendation is positive, the defence may take place (cf. ministerial order §18, subsection 2).

If the assessment committee's recommendation is negative, the assessment committee must additionally state whether the PhD thesis may be resubmitted in a revised form, and if so establish a



time frame within which resubmission must take place (cf. ministerial order §18, subsection 3). A negative recommendation from the assessment committee must be thoroughly motivated.

If the recommendation is negative, the author and the principal supervisor may be consulted separately and make a response within two weeks from the submission of the recommendation.

If the PhD thesis according to the recommendation is not suitable for defence, the head of the PhD school must make one of the following decisions based on the assessment committee's recommendation and any responses from the author and the principal supervisor (cf. ministerial order §18, subsection 4, paragraphs 1-3):

1. That the defence cannot take place.
2. That the PhD thesis may be resubmitted in a revised form within three months. If the thesis is resubmitted it will be assessed by the assessment committee already appointed, unless special circumstances dictate otherwise.
3. That the PhD thesis is assessed by a new assessment committee.

The author of the PhD thesis may object to the head of the PhD school's decision and make a complaint to the dean within two weeks after the decision has been communicated to the author. The complaint must be motivated and in writing.

In addition, the author may complain about legal matters to the Danish Agency for Higher Education, cf. ministerial order §29, subsection 1 (and see section 6.1).

### **5.5 Announcement of defence**

All PhD defences at UCPH are public and will normally be announced at the faculty's homepage. Prior to the announcement of the defence the author must have prepared a summary of 10-20 lines in both Danish and English, which in an accessible manner presents the main results of the PhD thesis. This summary is used in connection with the announcement.

### **5.6 Postponement of defence**

The defence must take place no earlier than two weeks after the assessment committee has submitted its preliminary recommendation and no later than three months after the submission of the thesis (cf. ministerial order §20). The head of the PhD school may, however, in certain cases, postpone the defence. A postponement of the defence requires a written agreement between the author and the faculty, including the time of the defence (cf. ministerial order §20, subsection 3).

### **5.7 Defence**

The PhD thesis defence is open to the public. When defending the thesis, the author must have the opportunity of presenting his or her work and defend the thesis in the presence of the members of the assessment committee. The thesis must be publically available for a reasonable time before the defence (cf. ministerial order §19). The Faculty of Humanities forwards copies to the relevant department and to the Royal Library no later than 1 week before the defence.

A PhD defence cannot be confidential, and any confidential parts of the thesis cannot be part of the basis for awarding the PhD degree.

If weighty personal reasons cause the PhD student to wish for exemption from a public defence, the student must submit an application to the Agency for Higher Education through rector (cf. ministerial order §28).

In case of extraordinary circumstances the PhD school may decide, as arranged with the student, that the defence takes place with the participation of only two members of the assessment committee (cf. ministerial order §19, subsection 3).

The defence is chaired by a tenured scientific employee with knowledge of the PhD field on behalf of the head of the PhD school.

The duration of the defence should not exceed 3 hours in total, including breaks. The author has up to 45 minutes for his or her presentation of the primary results from the thesis, but the Faculty of Humanities recommends a 30 minutes' presentation. Following the presentation the assessment committee will ask questions of the author based on the thesis. In conclusion the audience has the possibility of asking questions. The chairman takes care that the defence is progressing in an appropriate manner and may if necessary interrupt or prolong the defence act.

### **5.8 Awarding the PhD degree**

At the end of the defence the assessment committee makes a final assessment to determine whether the author of the thesis may be recommended for the PhD degree. Regardless of the result of the assessment the author must be notified immediately of the recommendation, or if this is not possible, the author must be informed of when the final recommendation will be ready. No later than 1 week after the defence the final recommendation must be presented in writing. The recommendation must be motivated and in case of disagreement be based on the majority of votes.

The PhD degree is awarded if the assessment committee recommends it (cf. ministerial order §22). The PhD degree is awarded by the Academic Council (cf. the University Act §15, subsection 2, paragraph 4 and ministerial order §23, subsection 1).

If the assessment committee's recommendation is negative, the author must within two weeks from the reception of the final written recommendation form the assessment committee have the possibility of responding and request that the thesis is reassessed by a new committee.

If the assessment committee's recommendation is negative, the head of the PhD school may decide that the thesis will be reassessed by a new committee, if the author has requested this. The author has the possibility of registering a motivated, written complaint against the head of the PhD school's decision with the dean within two weeks of the notification of the decision. In addition, the author may complain about legal matters to the Danish Agency for Higher Education, cf. ministerial order §29, subsection 1 (and see section 6.1).

### **5.9 Binding collaboration on PhD programme with foreign institutions – joint and double degrees**

The PhD schools at the University of Copenhagen may award joint and double degrees to PhD students who have obtained qualifications corresponding to a Danish PhD degree, provided that mutually binding collaborations on PhD education have been established with one or more foreign institutions, including study visits, assessment, defence, awarding of the degree, etc. (cf. ministerial order §15, subsection 3, and §23, subsections 3-5). This applies both when UCPH is the principal institution and the student undertakes study visits at the partner institution (or institutions), and in cases where the foreign partner institution is the principal institution and the student undertakes a study visit at UCPH.

#### **5.9a UCPH is the principal institution**

For PhD students with UCPH as their primary institution, a mutually binding collaboration on the PhD

education with one or more foreign institutions can be established, including assessment, defence, awarding of the degree, etc., entailing that the PhD student is awarded a joint degree or a double degree. The PhD student must complete the PhD education in accordance with the Danish ministerial order on PhD programmes, and if a need for deviations on central points arises, for instance the course requirement of §7, subsection 2, paragraph 2, or the prescribed length of the education mentioned in §4, it is possible to apply to the Ministry for exemption.

The collaboration agreement must be in place no later than 6 months after the commencement of the programme. The agreement covers supervision at the foreign institution, duration of sojourn at the foreign institution, IPR, and organization of assessment and defence, including diploma.

#### **5.9b A foreign institution is the primary institution**

For PhD students whose principal institution is a foreign institution, a mutually binding collaboration on the PhD education can be established, including assessment, defence, awarding of the degree, etc., entailing that the PhD student is awarded a joint degree or a double degree. The PhD student must in general complete the PhD programme in accordance with the guidelines and rules in effect at the foreign institution, possibly supplemented by additional requirements from the PhD school. The student must as a minimum complete a 6 month sojourn at a PhD school at UCPH, have a supervisor from UCPH, and pass the faculty course on scientific integrity, and the total educational programme must be assessed by the PhD school and deemed equivalent to a Danish PhD education.

The collaboration agreement must be in place no later than 6 months after the commencement of the programme. The agreement covers supervision at the foreign institution, duration of sojourn at the foreign institution, IPR, financial arrangements, and organization of assessment and defence, including diploma.

#### **5.9c Agreement on assessment committee, defence, and diploma**

The conditions mentioned below concerning assessment committee, defence, and diplomas apply to all PhD students who complete a PhD programme in mutually binding collaboration with a PhD school at UCPH and one or more foreign institutions – whether UCPH is the principal institution or not.

It must appear from the collaboration agreement between the PhD school, the foreign institution(s), and the PhD student how the procedure for the concluding parts of the programme will be organized, including how the assessment committee will be constituted (cf. ministerial order §26, subsection 1), when the preliminary assessment must be available (cf. §26, subsection 2), and when the defence will take place (cf. ministerial order §26, subsection 3).

It must also appear from the collaboration agreement if the thesis will be defended at a joint defence or if 2 (or more) defences will be held before the student is awarded the PhD degree from the collaborating foreign institution (cf. ministerial order §15, subsection 3, and §26).

It must be agreed if the PhD student is awarded a joint degree (cf. §23, subsection 3 and 4) or a double degree with diplomas from each of the participating institutions (cf. §23, subsection 5).

#### **5.10 Submission of PhD thesis without prior enrolment**

The faculty may under special circumstances decide to accept a PhD thesis for assessment even if the author has not completed a preceding PhD programme, if the PhD committee assesses that the author in other ways has acquired comparable qualifications (cf. ministerial order §15, subsection 2). PhD theses written by authors who previously have been enrolled at the faculty – including authors who

have completed a satisfactory PhD programme – are not covered by §15, subsection 1, if the author is not enrolled at the faculty at the time of submission. Such theses will be assessed in accordance with §15, subsection 2.

Upon submission it must be stated if the thesis has been assessed previously. When considering applications for submission of theses without prior enrolment it will be taken into account if the applicant has a documented affiliation with UCPH.

In case of submission under §15, subsection 2, the author is not entitled to have his or her supervisor appointed to the assessment committee.

In connection with assessment of a PhD thesis without preceding PhD education at UCPH, the faculty may call upon the author to pay the cost of assessment, defence, etc. The Faculty of Humanities has set the price for assessment of a thesis without prior enrolment at DKK 45.000. The assessment costs DKK 35.000 and the defence 10.000. It is possible to apply to the dean for exemption from disbursement.

### **5.11 Documentation for the PhD education and the PhD degree**

If the PhD degree is awarded, a diploma in Danish and English is issued, signed by rector and the dean of the Faculty of Humanities.

The diploma must contain information of field, subject matter of the PhD thesis, as well as information on completed PhD programme (cf. ministerial order §23). The diploma must furthermore include an appendix in Danish and English with information on approved PhD courses, extended sojourns abroad, collaborators (if any), and any other relevant information.

PhD students who are not awarded the PhD degree may upon request obtain documentation in Danish and English for the parts of the PhD education that have been satisfactorily completed (cf. ministerial order §24).

### **5.12 Duplicating, filing, and lending of the thesis**

The PhD school will have 4 copies of the thesis printed for presentation at the department with which the student has been affiliated, plus 5 copies for the Royal Library. The PhD school will also distribute copies to the members of the assessment committee, to the chairman of the defence proceedings, and to the person who was the principal supervisor at the time of submission. An additional 11 copies are given to the student.

The faculty is obliged to keep a copy of the submitted thesis in its archives.

The PhD thesis is the author's property and may not – apart from the ministerial order requirement that the thesis must be available for a reasonable time before the defence – be lent, sold, or otherwise disseminated without the author's written consent. If the thesis, prior to the defence proceedings, is published online, it must be ensured that it cannot be copied (except when it is read) or printed. Copies presented for examination at the university or in libraries etc. are reclaimed after the defence, unless the author in writing has consented to further dissemination, for instance via digital publication, sale, or submission to public libraries with a view to public lending.

## **6. Access to a complaints procedure, exemption, etc.**

### **6.1 Access to a complaints procedure**

The Faculty of Humanities' decisions made on the basis of the ministerial order on PhD programmes may be brought in before the Danish Agency for Higher Education if the complaint is related to legal matters. The complaint must be submitted within 2 weeks from the day the complainant has been notified of the decision (cf. ministerial order §29, subsection 1). The complaint must be brought in before the faculty, who then makes a statement, which the complainant must have the opportunity of responding to within 1 week. The faculty forwards the complaint along with the faculty's statement and the complainant's response to rector. Rector forwards the complaint to the Danish Agency for Higher Education with the faculty's and the complainant's comments and statements subjoined (cf. ministerial order §29, subsection 4).

Complaints over decisions made by the head of the PhD school or the PhD committee in connection with study-related issues that do not pertain to legal matters may be brought in before the dean. This must happen within 2 weeks from the day the complainant has been notified of the decision. The complaint must be submitted in writing and be motivated.

## **6.2 Exemption**

The dean may in special cases grant exemptions from the rules established solely by UCPH and the Faculty of Humanities. The Danish Agency for Higher Education may grant exemptions from the ministerial order in case of unusual circumstances (cf. ministerial order §28).

Furthermore, the dean may by agreement with rector institute deviations from the rules established solely by UCPH, if special circumstances manifest themselves at the faculty in question.

## **7. Evaluation**

The PhD schools' activities must be continuously evaluated, including regular international evaluations. The head of the PhD school and the dean must ensure that the evaluations are followed up. Evaluations and follow-up schemes must be made public in accordance with the University Act §16b, subsection 5.

PhD students may be asked to submit an evaluation of the PhD programme at the end of their education.

## **8. Financial conditions**

The PhD education is an education with tuition fees. The faculty sets the rates annually. The rates may vary in case of very costly projects. The faculty may grant a reduction or an exemption from the tuition fees. In case of scholarship grants the cost of the education is normally included in the grants.

The faculty must in all cases ensure that the necessary resources are available so that the individual student may complete the PhD programme as established in the PhD plan (cf. ministerial order § 8, subsection 5).

## **9. Transition rules**

PhD students who have begun their PhD education before 1 September 2013 are entitled to complete the programme in accordance with ministerial order no. 18 of 14 January 2008, but assessment and defence of the thesis will be done in accordance with the regulations in ministerial order no. 1039 of 27 august 2013 (cf. ministerial order §30, subsection 3).

PhD students who have begun their education before 1 September 2013 may apply to the PhD committee for the right to complete their education in accordance with the regulations of ministerial order no. 1039 of 27 august 2014.