



Guidelines for article-based PhD theses

Faculty of Humanities, University of Copenhagen, 2021ⁱ

PhD students and their supervisors are jointly responsible for complying with these guidelines.

Definition of an article-based PhD thesis

A thesis is an independent piece of scientific work that complies with international academic standards. An article-based thesis consists of an appropriate number of substantial articles related in content and a summarising introductory chapter. Taken together, the number of articles and the scope and standard of the thesis as a whole must live up to what it is reasonable to expect a junior researcher to produce during a three-year PhD programme.

Structure and content of article-based theses

An article-based thesis is a collection of articles by which the PhD student documents a significant independent scientific contribution through single, lead or co-authorship. The articles must cohere in terms of subject area, theory, methodology or other current academic practices in the specific field within which the thesis is submitted.

Articles submitted in a PhD thesis must live up to general academic standards for articles published with peer-review. However, it is not necessary for the articles to have been published, peer reviewed or submitted for publication before the thesis is submitted. The publication status of the articles will not affect the assessment of the thesis. The assessment committee will assess solely on the basis of the academic content present in the submitted text.

AUGUST 3, 2021

PHD SCHOOL
FACULTY OF HUMANITIES
UNIVERSITY OF COPENHAGEN
KAREN BLIXENS PLADS 8,
DK-2300 KØBENHAVN S

The introductory chapter, for which the PhD student must be the sole author, constitutes an introductory and summarizing text approximating a major review article (approx. 30–50 pages).

The synopsis will generally include the following:

- An introduction to the subject area
- The overall problem statement of the thesis
- A comprehensive overview of relevant related research and current knowledge (state of the art)
- An account of key theories and methodologies in the field of research, along with a justification of the choice of theoretical/methodological approaches in the thesis and of its delimitation.
- An account of the criteria for selection of the empirical material (if applicable)
- A synopsis of each of the articles, including their most important results and an explanation of the link between those results and the conclusion in the thesis
- If co-authored articles are included, a detailed account of the PhD student's role in and independent contribution to each article for which they are not the sole author
- A summary conclusion of the thesis, including contextualisation of the thesis in relation to other significant research in the field.

Please note that if one or more of the above subjects is adequately met in the individual articles, it does not need to be repeated in the introductory chapter, which may be shortened accordingly.

For published articles or articles accepted for publication, the name and date of the publication must be listed.

Co-authorship

The PhD student should be the prime mover behind the majority of the submitted production. In order to obtain a PhD degree, the student must demonstrate a sufficient degree of independent scientific work in the thesis, and this must be presented in such a way that it can be identified and evaluated by the assessment committee.

For co-authored articles, in addition to the aforementioned requirement that the introductory chapter should detail the PhD student's independent contribution, completed co-author statements must be attached when submitting the thesis. The PhD School uses standard forms for this purpose.

General supervision of a PhD student does not automatically entitle the supervisor to be listed as a co-author. To justify listing, they must meet the requirements stipulated in the Faculty's guidelines for co-authorship. Conversely, for reasons of transparency, the PhD student should note and acknowledge any substantial input by the supervisor, both in the individual articles and in the introductory chapter. The student and supervisor may consult the Faculty's *named person* for advice and guidance on this matter.

ⁱ These guidelines replace the previous guidance from 2016. The guidelines apply to all PhD students enrolled at the Faculty of Humanities' PhD School and to article-based PhD theses submitted under Section 15 (2) of the PhD Order. PhD student enrolled before 1 September 2021 may choose to follow either the present or the previous (2016) guidelines.