



Guidelines for compilation theses at the Faculty of Arts and Humanities

Introduction

In its 2010 action plan, the Faculty of Arts and Humanities has a goal of developing guidelines for compilation theses. On 25/05/2010, the committee appointed a working group with representatives from all departments and a doctoral student representative. The working group was tasked with:

1. developing guidelines for compilation theses based on the departments' proposals, in accordance with the education strategy committee recommendation and,
2. developing written information that can be published in the doctoral student handbook about what an introductory chapter to a compilation thesis (kappa) is and what components should be included in these introductory chapters.

The Vancouver rules

As an overarching framework, the Faculty of Arts and Humanities recommends the Vancouver rules' standards for publication ethics. (<http://www.icmje.org/index.html>) In the Vancouver rules, authorship is defined in the following manner:

Authorship credit should be based on (1) substantial contributions to conception and design, or acquisition of data, or analysis and interpretation of data; (2) drafting the article or revising it critically for important intellectual content; and (3) final approval of the version to be published.

According to the Vancouver rules, each researcher named as an author shall be able to take responsibility for the contents of the study in terms of aim, questions, theory, method and result, and the final presentation of the study in the format of an article (i.e. 1-3). The Vancouver rules also describe how the contributions made by people who have contributed to the study, e.g. by collecting data or supplying technical equipment, but who cannot be defined as authors in accordance with the above criteria, may be named and under which headings.

Guidelines for compilation theses:

For a doctoral thesis:

- the thesis shall consist of 3-5 articles (of which two articles should, in normal cases, "be accepted for publication in peer-reviewed academic publications" in accordance with faculty guidelines),
- the thesis shall correspond to the requirements concerning independence that are stipulated in the Higher Education Ordinance for a degree of doctor,
- the section of the thesis that ties it together as a whole, the introductory chapter (kappa), shall contain a clear description of what the doctoral student's own contribution is and, where applicable, what other authors' contributions are.

For a licentiate thesis:

- the thesis shall consist of a minimum of two articles (of which one article should, in normal cases, "be accepted for publication in peer-reviewed academic publications" in accordance with faculty guidelines)
- the thesis shall correspond to the requirements concerning independence that are stipulated in the Higher Education Ordinance for a degree of licentiate,

- the section of the thesis that ties it together as a whole, the introductory chapter (kappa), shall contain a clear description of what the doctoral student's own contribution is and, where applicable, what other authors' contributions are.

These guidelines regulate a minimum common level at the Faculty of Arts and Humanities. In addition to these, it is entirely possible for each main field of study to introduce more stringent requirements.

Written information about the section of the thesis that ties it together as a whole, the introductory chapter (kappa)

The faculty's doctoral student handbook shall contain the following text:

A compilation thesis shall begin with a section that ties it together as a whole, an introductory chapter (kappa) that is written by the doctoral student themselves. The introductory chapter is an essential part of the thesis where the results of studies included in the thesis shall be presented, discussed and evaluated in relation to the current research situation. The introductory chapter shall cover a consistent research problem or field so that the doctoral student's own performance as a whole corresponds to the requirements placed on a thesis. In other words, it is in the section of the thesis that binds it together as a whole that the results of the study and its contribution to research shall be summarised and discussed.

The introductory chapter shall also be used by the doctoral student to provide a thorough description of background factors and the research process. Accordingly, the doctoral student shall present and discuss the study's background, aim, problem, questions, method(s), theoretical perspectives, limitations, material, ethics, previous research, production of the individual articles and results.

If one or more articles in the thesis is co-authored, there shall be a clear indication of what the doctoral student's own contribution is and of what other authors' contributions are.

As its main task is to summarise, analyse, discuss and evaluate the content of the included articles, the introductory chapter is thus of great importance to the thesis as a whole. For this reason, the introductory chapter is given great importance during the final seminar, at the public defence and in the final assessment.

In addition to this description of the sections included in the thesis, more in-depth information about the process of producing the compilation thesis shall be inserted under suitable headings in the doctoral student handbook. The following information shall be included:

1. the faculty guidelines on co-authorship, taking into account that different main fields of study may have additional requirements regarding what applies for a compilation thesis. If that is the case, it will be registered in the study plan for the main field of study,
2. the importance of planning and following up the work involved in the various articles in the thesis, division of labour, who shall be included as co-author etc. in the individual study plan. During this process, the asymmetric relationships between doctoral student and supervisor or doctoral student and head of research are taken into consideration. In all forms of supervision, regardless of whether the doctoral student is writing a compilation thesis or a monograph, subject-related knowledge and authority may never be exploited to gain professional and/or personal advantage at the expense of the doctoral student. In the section there should also be a link to

the COPE document “How to Handle Authorship Disputes: A Guide for New Researchers”.
<http://publicationethics.org/files/u2/2003pdf12.pdf>.

3. the importance of, while work on the thesis is ongoing, continuously working on the introductory chapter as this is where (especially in cases where many of the articles in the thesis are co-authored) much of the doctoral student’s own academic contribution is evident,
4. the importance of the doctoral student, early on in the programme, informing themselves about suitable publications and about how different publications place different demands in terms of the content, word count, form and formalities of the article,
5. the importance of covering the articles that are to be included in a compilation thesis in a seminar and the importance of the seminar adapting its reading of the submitted articles/sections to the intended form of publication. All texts that are to be submitted at a seminar should be supplied with reading instructions that state the context in which the text is to be published (for example what guidelines apply for the intended publication/anthology etc.),
6. that publication in international publications places specific requirements on the wording of research questions. As early as in the initial phase, when the study is being planned, the research questions should be worded in such a way that the study relates to current research in an international context. The relationship between form and content is thus central as it affects a study’s questions as well as its theory, method and perspective. However, the research questions should primarily correspond to that which is being studied,
7. for those articles that have already been published, the thesis shall contain information on printing permission, an appropriate place being in the introductory list of publications included in the thesis,
8. that the compilation shall be provided with a summary. If the thesis is written in Swedish, the summary shall be in English or in another internationally viable language such as French or German. If the thesis is written in a language other than Swedish, it shall be provided with a summary written in Swedish,
9. a compilation thesis can consist of articles in several different languages. However, in order to be able to make an assessment, the external reviewer, examiner and examining committee must master all of the languages used in the thesis. It is therefore important to adapt the choice of external reviewer, examiner and examining committee to the different languages used in the thesis.
10. that it is the examining committee that is responsible for the final assessment of the thesis after it has been reviewed by the external reviewer. Even if the articles included have already been evaluated via the expert procedure, it is only at the public defence of the thesis that an overall assessment is made of the study as a whole, i.e. both the articles included and the part of the study that binds it together.