

GOVERNING DOCUMENT

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Appendix to: Vice-Chancellor's decision of 8 October 2012

Guidelines for third-cycle (doctoral) education

Entry into effect

These guidelines enter into effect on 1 January 2013, when the Guidelines for third-cycle education at the Faculties of Natural Resources and Agricultural Sciences; Veterinary Medicine and Animal Science; Landscape Planning, Horticulture and Agricultural Sciences; and Forest Sciences will no longer apply to those admitted after that date.

Transitional provisions

These guidelines apply to those admitted to third-cycle courses or study programmes from 1 January 2013.

Doctoral students admitted to third-cycle course or study programmes before 1 January 2013 are subject to the earlier guidelines for each faculty, or the new university common guidelines. A doctoral student admitted before 1 January 2013 can change over to the new guidelines following a request submitted to the faculty board. However, the new university common guidelines always apply to the subject matter of Chapter 7: *Procedure when a course or study programme is unsatisfactory*.

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1. General

Third-cycle education is governed nationally by the *Higher Education Ordinance (1993:100) (HEO)*. These Guidelines are based on chapter 6, HEO, and set out procedures and division of responsibility in third-cycle education. Quotations from overarching provisions such as ordinances and decisions of the University Board are given in *italics* in text boxes in these Guidelines. Other language represents SLU's guidelines.

The Vice-Chancellor is responsible for third-cycle education. The guidelines in this document are decided by the Vice-Chancellor.

All operational decisions except the withdrawal of the right to supervision and other educational resources under CEO, ch 6, s 30 are delegated to the relevant faculty board.

In its delegation of authority (Journal No. SLU ua.Fe.2011.1.1-4089) the Board has decided that, among other things, it is incumbent on the faculty board to:

- *having obtained the Vice-Chancellor's view, to decide the subjects in which third-cycle courses and programmes will be offered;*
- *to assume overall responsibility for the quality of third-cycle education;*
- *to admit Doctoral students to third-cycle study programmes in accordance with the admission regulations;*
- *to assume responsibility for ensuring that third-cycle education programmes are carried out in accordance with the guidelines common to the university.*

The faculty board is entitled to delegate decisions within the roles set out above to the dean, pro-dean or other member of the faculty board or to a body established by the faculty board of which the dean, pro-dean or other member of the faculty board is chair.

2. Recruitment and admission

The admission regulations for third-cycle education at SLU (Journal No. SLU Fe Fe.2010.4.1.-3874) govern announcement of places, applications, qualification requirements, selection, the admissions process, how admissions decisions are made, as well as employment as a doctoral student and other forms of paid engagement.

3. Joint education programmes leading to a double or joint degree

SLU's policy and instructions for joint degrees (Journal No. SLU ua Fe.2011.3.3-4103) sets out regulations and procedures for establishing joint education programmes leading to double or joint degrees. The document also describes the national and SLU-specific requirements for establishing joint programmes.

4. Supervision

HEO, ch 6, s 28: At least two supervisors shall be appointed for each Doctoral student. One of them shall be nominated as the principal supervisor. Doctoral students are entitled to supervision during their studies unless the vice-chancellor has decided otherwise by virtue of Section 30.

A Doctoral student who so requests shall be allowed to change supervisor.

SLU Guidelines

The faculty board appoints at least two supervisors for each doctoral student, one of them to be the principal supervisor.

The faculty board decides on change of supervisor. Applications may be made either by an individual doctoral student or by a doctoral student and supervisor together.

If a principal supervisor is to be changed, the faculty board must determine how the programme can be completed, and propose a new principal supervisor. Following negotiations with the parties concerned, the faculty board decides the new principal supervisor and new ISP (individual study plan) no later than three months after the doctoral student applied for a change.

If an assistant supervisor is to be changed, the faculty board decides following consultation with the parties concerned.

Chapter 7 gives a detailed explanation of the implications of withdrawal of the right to supervision, and the procedure before a withdrawal decision is made.

A principal supervisor at SLU must

1. be admitted as a *docent* (approx. associate professor) or professor;
2. be employed by SLU;
3. be employed at the same department as that to which the doctoral student has been admitted;
4. have documented training in supervision methodology equivalent to the training required to be admitted as a *docent* at SLU.

If the principal supervisor has a fixed-term position as an adjunct professor, for example, at least one of the assistant supervisors must be employed at the same department as that to which the doctoral student has been admitted, and have documented training in supervision methodology.

The faculty board may grant exemption from criterion 3 if at least one of the assistant supervisors is employed at the same department as that to which the doctoral student has been admitted.

The faculty board may grant exemption from criterion 4 provided that an education plan for a training course in supervision methodology is adopted at the same time. The education plan is to be adopted following consultation with the Division of Student Affairs and Learning Development (SUS).

If the principal supervisor has reached the age of 61 when the doctoral student is admitted, or if it may be expected for other reasons that the person in question will be prevented from being the principal supervisor during the entire programme, one of the assistant supervisors must be employed at the same department as that to which the doctoral student has been admitted, undergo training in supervision methodology before the first principal supervisor leaves his post, and be expected to be admitted as a *docent* or professor at SLU.

If the principal supervisor will be on leave of absence for more than six months, the faculty board must appoint an acting principal supervisor or ensure that the principal supervisor holds a position equivalent to at least 10% at the department during the leave of absence. If a principal supervisor leaves SLU, the faculty board must immediately appoint a new principal supervisor.

Assistant supervisors at SLU must hold a PhD. At least one of the assistant supervisors must be employed at SLU.

Both sexes must be represented in the supervisors' group. On application the faculty board may waive this requirement if there are particular reasons for so doing. Two persons having a close personal relationship (e.g. married, cohabiting or close relatives) may not belong to the same supervisors' group.

5. Scope and content of the programme

HEO Qualifications Annex; degree descriptors: A Degree of Doctor is awarded after the third-cycle student has completed a study programme of at least 240 credits in a subject in which third-cycle teaching is offered. A Degree of Licentiate is awarded either after a third-cycle student has completed a study programme of at least 120 credits in a subject in which third-cycle teaching is offered, or after a third-cycle student has completed one part comprising at least 120 credits of a study programme intended to conclude with the award of a Doctoral, if the higher education institution decides that a Degree of Licentiate of this kind may be awarded at the institution.

SLU Guidelines

5.1 Scope

A degree of Doctor can be awarded when a doctoral student has completed a study programme comprising four years' net study time (240 credits) in a third-cycle subject.

A degree of Licentiate can be awarded when a doctoral student has completed a study programme covering two years' net study time (120 credits) in a third-cycle subject, provided the degree is described in the general syllabus for the subject.

The net study time is based on the date of admission and the time devoted to third-cycle study (registered annually as activity in *Ladok*), and is not always the same as the time employed as a doctoral student.

5.2 Third-cycle education subjects

HEO, ch 6, s 25: A university or higher education institution entitled to award third-cycle qualifications shall determine the subjects in which third-cycle courses and programmes may be offered.

SLU Guidelines

The Board has decided that, following consultation with the Vice-Chancellor, the faculty board will decide the subjects in which third-cycle courses and programmes will be offered.

5.3 General syllabus for subjects

HEO, ch 6, s 26: For each subject in which third-cycle courses or study programmes are offered a general study syllabus is required. Ordinance (2010:1064).

HEO, ch 6, s 27: A general study syllabus shall indicate the following: the main content of the study programme, specific entry requirements and any other regulations required.

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The main content of the course or study programme must be described in the form of general learning outcomes for the subject in the general syllabus. The general syllabus must also contain information on any

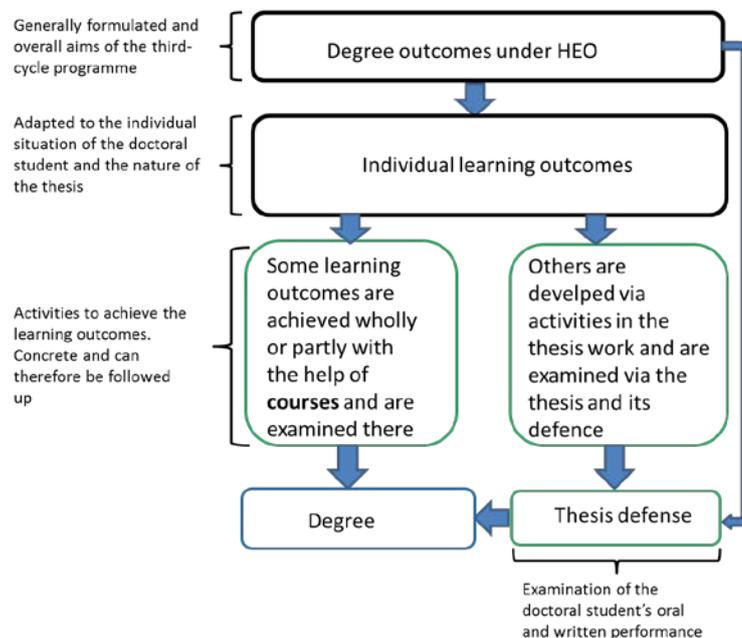
- opportunities to obtain a degree of Licentiate
- opportunities to present a thesis in the form of a monograph; see chapter 5.5
- additional requirements for the compilation thesis; see chapter 5.5.1.
- specific requirements for monograph theses; see chapter 5.5.2
- additional credit requirements for the degree; see chapter 5.6
- forms of introductory essays; see chapter 6.2.1
- compulsory procedures in conjunction with the annual follow-up; see chapter 6.2.2.

General syllabuses are approved by the faculty board.

5.4 Third-cycle degree outcomes and learning outcomes

The Qualifications Ordinance, which forms part of the Higher Education Ordinance, sets out [degree outcomes](#); see chapter 9.2, for the educational criteria to be met for the award of a degree. The outcomes describe knowledge and proficiency to have been achieved by the doctoral student in order to receive the degree. The process of achieving these outcomes, i.e. the content and form of the programme, may vary from one doctoral student to another, depending on factors such as the doctoral student's pre-existing knowledge and the nature of the thesis work. The supervisor and doctoral student must arrive at a common understanding of the implications of the degree outcomes for them specifically, i.e. they must formulate individual learning outcomes for the programmes (Figure 1). All planning and follow-up (see chapter 6) must include a discussion of the doctoral student's current knowledge and proficiency in relation to the learning outcomes.

Figure 1. Degree outcomes and learning outcomes



5.5 Scope of thesis work

HEO Qualifications Annex; degree descriptors: For the Degree of Doctor the third-cycle student shall have been awarded a pass grade for a research thesis (doctoral thesis) of at least 120 credits.

For a Degree of Licentiate the third-cycle student shall have been awarded a pass grade for a research thesis of at least 60 credits.

SLU Guidelines

A thesis¹ may take the form of a compilation of papers (articles or manuscripts) or a monograph. The faculty board may exclude the possibility of presenting the thesis as a monograph. If so, this must be evident from the general syllabus for the subject. A thesis must be written in English, or in Swedish if this is relevant for the subject. All doctoral theses at SLU must be published electronically in the *Epsilon* open archive (Vice-Chancellor's decision Journal No. SLU ua 18.9-2650/02); see instructions at www.slu.se/bibliotek/publicera/diss

5.5.1 Compilation theses

In addition to the papers included, a compilation thesis must include a summarising chapter, in which the doctoral student places his/her work in an international scientific context with the help of a literature review of the subject and a synthesis of the papers included in the thesis.

¹ "Thesis" refers both to doctoral theses and licentiate theses.

A compilation thesis must include an abstract written in popular scientific style in English and Swedish.

The quality of all papers included in a compilation thesis must be such that they can be published without major reworking in international peer-reviewed scientific journals or are of similarly good quality recognised within the discipline.

The following minimum requirements must be met by a compilation thesis for a degree of Doctor.

1. The thesis must include at least three papers.
2. The doctoral student must be the corresponding author or equivalent of at least two of the papers.
3. At least one of the papers must have been accepted for publication or have been published in an international scientific journal.

The following minimum requirements must be met by a compilation thesis for a degree of Licentiate.

1. The thesis must include at least one paper.
2. The doctoral student must be the corresponding author or equivalent of at least one of the papers.

The faculty board may stipulate further requirements for a pass grade in the general syllabus for the subject.

The principal supervisor is responsible for determining whether the doctoral student has achieved the degree outcomes; see chapter 5.4, and for ensuring that the thesis is of good quality recognised within the discipline. Upon application (see chapter 8.2) the faculty board decides whether the thesis can be defended at a licentiate seminar or public defence of a doctoral thesis, respectively.

Where the principal supervisor decides that the thesis and doctoral student are ready for a licentiate seminar or defence of a doctoral thesis, even though the formal requirements have not been met, he/she must apply to the faculty board for an external pre-examination. The application must explain why the requirements need not be met.

5.5.2 Monograph theses

All doctoral students writing a monograph thesis must hold a final seminar no earlier than nine months before the planned date for defence of the thesis or licentiate seminar.

The doctoral student must present his/her work, answer questions and discuss comments at the final seminar. An evaluator must participate in the final seminar. The evaluator must either be admitted as a *docent* or possess scientific competence considered by the faculty board to be equivalent to that required to be admitted as a *docent* in the relevant subject. The evaluator may not be employed at the same department as the doctoral student. A supervisor or other person with a conflict of interest may not be an evaluator. The evaluator will make a written evaluation of

1. the quality of the doctoral student and the thesis in relation to the degree outcomes;
2. the prospects of completing the thesis according to timetable.

The evaluator's written assessment must be attached to the application for defence of the thesis.

The faculty board may stipulate pass grade requirements for monograph theses in the general syllabus for a subject.

The principal supervisor is responsible for assessing whether the doctoral student has achieved the degree outcomes, and for ensuring that the thesis is of good scientific quality recognised within the discipline. Upon application (see chapter 8.2), the faculty board decides whether the thesis can be defended at a licentiate seminar or public defence of a doctoral thesis, respectively.

If the principal supervisor decides that the thesis and doctoral student are ready for defence of the thesis, even though the evaluator at the final seminar strongly questioned the prospects of the thesis being completed according to timetable, the principal supervisor must apply to the faculty board for an external pre-examination. The application must address the evaluator's assessment.

5.5.3 External pre-examination procedure

Pre-examination must be carried out by at least two persons each of whom has been admitted as *docent* or possesses scientific competence considered by the faculty board to be equivalent to that required to be admitted as a *docent* in the relevant subject. The pre-examiners may not be employed at the same faculty as the doctoral student or be on the examining committee at the defence of the thesis.

The pre-examiners must assess whether the thesis is of sufficiently good scientific quality to be defended. In the case of a compilation thesis both the summarising chapter and the constituent papers must be included in the assessment.

Each pre-examiner documents his/her assessment, comments and suggested improvements in a signed report. The report must be prepared in accordance with a common university template and sent to the doctoral student and principal supervisor. The doctoral student must respond to criticisms and make necessary improvements. The principal supervisor must prepare a written statement in which he/she summarises the doctoral student's approach to comments to the effect that the thesis is insufficient or needs to be supplemented. The statement must be attached to the application for defence of the thesis.

5.6 Courses

HEO, ch 6, s 32: Examinations that form part of third-cycle courses and study programmes shall be assessed in accordance with the grading system prescribed by the higher education institution.

The grade shall be determined by a teacher specially nominated by the higher education institution.

SLU Guidelines

Third-cycle programmes must include both basic course and subject courses. The degree must include at least

- 30 HEC in the form of courses for a degree of Doctor
- 15 HEC in the form of courses for a degree of Licentiate

The general syllabus for a specific third-cycle subject may specify a higher minimum number of HEC. It is possible to require up to 120 HEC for a degree of Doctor, and up to 60 HEC for a degree of Licentiate.

Third-cycle education basic courses support doctoral students' personal development and foster general knowledge and proficiency in statistics, philosophy of science, research ethics, communication and pedagogy, for example. The aim of third-cycle subject courses is to inculcate broader or deeper knowledge of subjects.

All third-cycle courses at SLU must have a syllabus describing entry requirements, scope, learning outcomes, purpose, content, pedagogical form, timetable and pass grade requirements. Courses must include an element of personal performance, where newly-acquired knowledge and proficiency are tested and applied in a suitable pedagogical form.

All syllabuses for SLU third-cycle subject courses must be approved by the faculty board, and all syllabuses for SLU basic courses must be approved by the Council for Postgraduate Studies (FUR). Syllabuses must then be registered in the on-line searchable database *SLUkurs forskarutbildning* ("SLU course third-cycle education"). The course date must be registered no later than six months before the start of the course.

Courses (examinations) are assessed with the grades pass or fail.

The principal supervisor (examiner) approves the courses that may be included in the degree. The faculty board approves the degree, including its constituent courses.

5.6.1 Crediting of courses completed before admission

HEO, ch 6, s 6: If a student at a higher education institution in Sweden has successfully completed a higher education course or study programme, she or he is entitled to transfer the credits awarded for a course or study programme at another higher education institution. This does not apply, however, if there is a substantial difference between these courses or study programmes.

The same applies for students who have successfully completed a course or study programme:

1. *at a university or higher education institution in Denmark, Finland, Iceland or Norway or a signatory to the Council of Europe's Convention of 11 April 1997 on the Recognition of Qualifications concerning Higher Education in the European Region (Swedish Treaty Series 2001:46), or*
2. *at NHV — The Nordic School of Public Health.*

S 7: A student is entitled to transfer credits from a course or study programme other than that laid down in section 6 if the nature and extent of the knowledge and proficiency cited by the student are such that they correspond on the whole to the course or study programme for which the credits are to be recognised. A student may also be given credit for corresponding knowledge and proficiency acquired in a vocational or professional capacity.

S 8: The higher education institution shall assess whether credits can be awarded for the prior course or study programme or professional or vocational experience.

Credits may only be awarded to those who are students unless otherwise provided by statute or ordinance.

SLU Guidelines

A course completed before admission to a third-cycle programme can only be credited if this is justified by the individual study plan, which means that standardised transfer of credits may not be made from previous studies. Crediting of courses does not mean that the programme will be shorter than four years of net study time for the degree of Doctor, or two years for the degree of Licentiate.

Education programmes/courses completed before the applicant has been admitted to a third-cycle programme may not be credited if

- they have been included in a master's degree or an equivalent or lower degree;
- if they are courses at first or second-cycle level conferring eligibility for a third-cycle programme.

First or second-cycle courses may be credited subject to approval by the faculty board. An approval decision must specify the number of HECs credited. The number of HECs must be adapted to take into account that the requirements made of those studying at doctoral level are more exacting than for lower academic levels.

6. Planning and follow-up of the programme

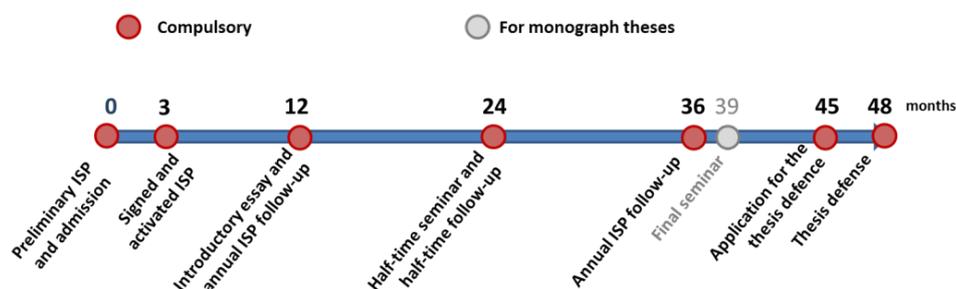
HEO, ch 6, s 29: An individual study plan shall be drawn up for each doctoral student. This plan shall contain the undertakings made by the doctoral student and the higher education institution and a timetable for the doctoral student's study programme. The plan shall be adopted after consultation with the doctoral student and his or her supervisors.

The individual study plan shall be reviewed regularly and amended by the higher education institution to the extent required after consultation with the doctoral student and his or her supervisors. The period of study may only be extended if there are special grounds for doing so. Such grounds may comprise leave of absence because of illness, leave of absence for service in the defence forces or an elected position in a trade union or student organisation, or parental leave.

SLU Guidelines

Planning and follow-up involve a number of compulsory steps (Figure 2), and must be documented with the help of the individual study plan.

Figure 2. Timeline illustrating the compulsory steps



6.1 Individual study plan (ISP)

All doctoral students must have an individual study plan (ISP). A university common template must be used to create ISPs. ISPs have three parts:

1. Information on the doctoral student registered in *Ladok*.
2. Planning, which includes
 - a. a research plan for the thesis work;
 - b. a timetable for all four (two) years;
 - c. a funding plan for all four (two) years;
 - d. a commitments document setting out the tasks to be carried out by the doctoral student and supervisor respectively over the coming year so that the programme will develop as planned.
3. Follow-up

The research plan, timetable and funding plan are planning tools, and may be amended as necessary.

By signing the commitments document, the supervisor and doctoral student undertake to do their best to meet the commitments. If a serious conflict arises between the supervisor and the doctoral student, the commitments document forms an official basis for efforts to resolve the conflict.

The commitments document must be signed by the principal supervisor and the doctoral student no later than three months after admission. The entire ISP, including all plans, must then be diarised and filed.

6.2 Planning and follow-up of the programme

6.2.1 Introductory essay

Before the first year's follow-up, the doctoral student must write an essay of 2 – 6 pages, demonstrating his/her ability to independently present and discuss the issues and/or hypotheses involved in the thesis work within the stated time limits. In the light of SLU's policy and action plan against cheating and plagiarism in education programmes (Journal No. ua Fe 2010.30-1864), the doctoral student's introductory essay must give some examples of the implications of scientific

probity and the ethical assessments that may be required by the thesis work. Forms of introductory essays are governed by the general syllabus so that the form of the essay is suited to the subject.

6.2.2 Annual follow-up

The annual follow-up of the ISP must be carried out by the doctoral student and supervisor at a formal meeting, and must be based on the general syllabus for the third-cycle subject, an up-to-date extract from *Ladok* and the right version of the individual study plan, together with the introductory essay.

The follow-up must relate to the individual learning outcomes and the following must be assessed:

- How is the programme progressing?
- Can the programme be completed as currently planned?
- What action can be taken to improve the programme?
- What is planned for the coming year?

The follow-up is documented in the ISP. The principal supervisor and the doctoral student sign the commitments document, after which the entire ISP is diarised and filed. The commitments document is effective for a maximum of one calendar year from the date of signature.

Individual departments/subjects may draw up additional procedures involving seminars and discussions in conjunction with the annual follow-up. If they are compulsory, these procedures are governed by the general syllabus for the third-cycle subject.

6.2.3 Half-time seminar and half-time follow-up

After two years' net study time but before the half-time follow-up, the doctoral student must hold a departmental seminar at which he/she displays sufficient ability to

- orally present his/her thesis work
- discuss and analyse general and specific methods in the subject area
- independently discuss and analyse the results achieved

The oral presentation must be assessed by a person who has been admitted as a *docent* or who possesses scientific competence considered by the faculty board to be equivalent to that required to be admitted as a *docent* in the relevant subject. A supervisor or other person with a conflict of interest may not be an assessor. Conclusions and comments from the assessment must be related to the individual learning outcomes and the nature of the subject, and must be discussed with the doctoral student in conjunction with the annual follow-up.

In conjunction with the half-time follow-up the supervisor, doctoral student and a faculty board representative must decide whether the general prospects of the programme and the thesis being completed at the department or under the research project are sufficiently good.

7. Procedure when a course or study programme is unsatisfactory

HEO, ch 6, s 28: At least two supervisors shall be appointed for each doctoral student. One of them shall be nominated as the principal supervisor. Doctoral students are entitled to supervision during their studies unless the vice-chancellor has decided otherwise by virtue of Section 30.

S 30: If a doctoral student substantially neglects his or her undertakings in the individual study plan, the vice-chancellor shall decide that the doctoral student is no longer entitled to supervision and other study resources. Before such a decision is made, the doctoral student and the supervisors shall be given an opportunity to make representations. The case shall be considered on the basis of their reports and any other records available. The assessment shall take into account whether the higher education institution has fulfilled its own undertakings in the individual study plan. A written record of the decision shall be made, which is to include reasons for the decision.

Resources may not be withdrawn for any period in which the third-cycle student has been appointed to a doctoral studentship or is receiving a doctoral grant.

S 31: If study resources have been withdrawn pursuant to Section 30, the doctoral student may, on application to the vice-chancellor, recover his or her entitlement to supervision and other resources. The doctoral student must then demonstrate convincingly, by presenting prospective study results of considerable quality and scope or in some other way, that he or she can fulfil his or her remaining undertakings in the individual study plan.

SLU Guidelines

If the faculty board determines that an individual doctoral student's programme or conditions for the programme have serious deficiencies, or if any of the parties so request, the faculty board must act.

Examples of serious deficiencies in third-cycle programmes:

- serious shortcomings in the knowledge and proficiency of the doctoral student that have been revealed by follow-ups but that have not been remedied;
- supervision has repeatedly and to a large extent failed to meet the quality policy requirements for third-cycle education;
- one of the parties has repeatedly failed to meet his/her commitments under the ISP without valid reason;
- there have been repeated failures to follow up the programme under chapter 6.2 of these guidelines without valid reason.

If the deficiencies cannot be remedied using ordinary planning and follow-up procedures, a new and more detailed individual study plan must be drawn up. This new ISP must be followed up regularly at short intervals; the result of the follow-ups must be reported to the faculty board.

If the use of the new ISP does not remedy the deficiencies, and the faculty board decides that the principal supervisor has not met his/her commitments, a change of supervisor must be decided.

If the use of the new ISP does not remedy the deficiencies, and the faculty board decides that the doctoral student has not met his/her commitments, further investigation will be necessary. Relevant documentation (all ISPs, any follow-up reports, etc.) must be included in the file on the matter. With the support of the Division of Law and Documentation and other experts the faculty board must investigate the matter and give the parties involved the opportunity to express their views. If the doctoral student's mother tongue is not Swedish, the support of an interpreter must be provided if the student so requests. If, following this investigation, the faculty board decides that the doctoral student has substantially failed to meet his/her obligations, the faculty board will propose withdrawal of the right to supervision and other resources for the doctoral student. Documentation of the matter will then be collated so that it can be examined by SLU's chief legal officer. The chief legal officer's assessment will be included in the material forming the basis for the Vice-Chancellor's decision. A faculty board representative will present the matter to the Vice-Chancellor, who decides on withdrawal of the right to supervision under chapter 6, section 30 of the Higher Education Ordinance.

8. Examination

HEO, ch 6, s 33: The qualification descriptors for Doctoral's and doctorates in the fine, applied and performing arts lay down that an approved doctoral thesis is required for the award of these degrees.

The doctoral thesis shall be presented and defended orally in public. A faculty examiner (opponent) shall be appointed for this presentation.

HEO, ch 6, s 34: At least one of those participating in the grading of a doctoral thesis shall be someone who does not have a post at the higher education institution awarding the degree. Ordinance (2010:1064).

S 35: A higher education institution may issue regulations on the grading system to be used and on public defences and grading in other respects.

Administrative Procedure Act (APA), s 11: The person charged with handling a matter is disqualified:

- 1. if the matter concerns himself or his spouse, parents, children, brothers or sisters or someone else who is closely related to him, or if he or someone closely related to him can expect extraordinary advantage or detriment from the outcome of the matter;*
- 2. if he, or anyone closely related to him is the legal representative of someone that the matter concerns or of anyone that can expect extraordinary advantage or detriment from the outcome of the matter;*
- 3. if the matter has been brought before the authority by an appeal against or the subordination of the decision of another authority or by reason of the supervision of another authority and he had taken part earlier under the auspices of the subordinate authority in the final handling of a matter concerning the same material issue;*
- 4. if he as regards the material issue has served someone as a representative or has assisted him for payment; or*
- 5. if there is some other special circumstance that is likely to undermine confidence in his impartiality in the matter.*

Disqualification shall be disregarded where the question of impartiality is obviously of no importance.

SLU Guidelines

Examination is carried out by an independent examining committee in conjunction with the public defence of the doctoral thesis for the degree of Doctor or licentiate seminar for the degree of Licentiate.

8.1 Declaring conflicts of interest

There must be no conflicts of interest between members of the examining committee and the doctoral student or supervisor. The following circumstances must particularly be taken into account in relation to the examining committee:

A conflict of interest exists if

- during the previous five years two persons have collaborated scientifically or have co-produced scientific knowledge. Joint publication is an example of co-production. Reasons can be given for excluding a conflict of interest, e.g. where collaboration occurred within a scientific consortium in which joint publication does not necessarily imply a conflict of interest;
- in cases of close collaboration, there may be a conflict of interest even if the collaboration took place longer than five years ago;
- a supervisor-doctoral student relationship has existed, regardless of how long ago.

The opponent and examining committee members are under a duty to report a conflict of interest in relation to a doctoral student or supervisor. When a member accepts the engagement, a signed conflict of interest declaration must be submitted on the form provided for the purpose.

8.2 Application for defence of thesis/licentiate seminar

Thesis defence proceedings/licentiate seminars are held between 15 August and 15 June. Exemption from these time limits may be granted by the faculty board.

The faculty board decides the time and place of the thesis defence/licentiate seminar, and appoints a chair, examining committee and opponent (for defence only). Applications for defence of a thesis/licentiate seminar must be received by the faculty office no later than three months before the planned date of the defence/ licentiate seminar.

Applications will only be approved if

- the programme meets the scope and content requirements set out in the guidelines;
- the programme meets the requirements set out in the general syllabus;
- examinations have been held for all courses included in the degree and registered in *Ladok* before the defence/licentiate seminar. The faculty board may grant exemption for a planned or ongoing course.

The application must be accompanied by

- A CV and list of publications for any examining committee member who is not a *docent* or professor at a Swedish higher education institution;
- conflict of interest declarations submitted by all examining committee members (see chapter 8.1);

- written assessments submitted by evaluators at the final seminar for monograph theses (see chapter 5.5.2);
- pre-examination report (if any) and a statement by the principal supervisor (see chapter 5.5.3);
- a declaration of co-authorship.

The application for public defence of a thesis proposes a chair, opponent and examining committee composed of three or five members to the faculty board, which decides the matter. If the examining committee has three members, a reserve member must be appointed. The persons proposed must have accepted the engagement and signed a conflict of interest declaration before they are proposed to the faculty board. The principal supervisor and assistant supervisor may not be members or chair of the examining committee. Both sexes must be represented as full members of the examining committee. The faculty board may grant exemption if there are particular reasons for so doing.

The opponent must have a PhD and the chair must be employed at SLU. Examining committee members must have PhDs, and the majority of them must have been admitted as docent or possess scientific competence considered by the faculty board to be equivalent to that required to be admitted as a docent in the relevant subject. The examining committee present at the defence of the thesis must have at least one member who does not work at SLU and who is employed at a university other than SLU. A member may be employed at the same faculty but not in the same department as the doctoral student. A reserve member is appointed if the examining committee is to be composed of three members, and may be employed at the same department as the doctoral student.

The application for a licentiate seminar proposes a chair and examining committee composed of three members and a reserve member. The persons proposed must have accepted the engagement and signed a conflict of interest declaration before they are proposed to the faculty board, which decides the matter. The principal supervisor and assistant supervisor may not be members or chair of the examining committee. Both sexes must be represented as full members of the examining committee. The faculty board may grant exemption if there are particular reasons for so doing.

The chair of the licentiate seminar must be employed at SLU. Examining committee members must have PhDs, and at least one of them must be employed at a faculty other than the licentiate student. One member may be employed in the same department as the licentiate student.

8.3 Preparation for a public defence or licentiate seminar

8.3.1 Announcement

When the faculty board has approved an application for a public defence or licentiate seminar, the faculty office must announce the defence or seminar in an appropriate manner.

8.3.2 Notification of the defence of a thesis

Doctoral theses and licentiate dissertations are announced by way of registration with the senior register clerk no later than three weeks before the defence or licentiate seminar. When registered, the thesis must be published in the *Epsilon* open archive at the SLU Library. Registration takes place between 15 August and 1 July. Exemption from these time limits may be decided by the faculty board.

8.3.3 Information

Before a defence of a thesis the faculty office must inform the examining committee members of

- degree outcomes;
- how the thesis defence file is to be prepared.

In addition, the faculty office must inform the opponent, respondent and chair of their respective tasks and how the thesis defence files is to be prepared.

Before a licentiate seminar, the faculty office must inform the examining committee of

- degree outcomes;
- the procedure for conducting a licentiate seminar.

In addition, the faculty office must inform the respondent and chair of their respective tasks and how the licentiate seminar is to be conducted.

8.4 Defence of a doctoral thesis

In the light of the degree outcomes, the examining committee present at the thesis defence must assess the thesis and the respondent's oral defence of the thesis. The opponent must facilitate the examining committee's assessment by engaging in discussion with the respondent. Hence, the thesis defence must be organised so there is time for

- the respondent to present his/her thesis;
- the opponent to present the subject of the thesis, place the findings of the thesis in a wider context within the subject area, and question and thoroughly discuss the thesis with the respondent;
- the examining committee to discuss with the respondent;
- an open discussion in which the public are invited to participate.

The examining committee must meet immediately after the public defence of the thesis. The committee must appoint one of its members chair of the meeting. The chair keeps the thesis file; the opponent and supervisor may attend the meeting of the examining committee, but must leave the meeting when the degree decision is to be taken. The grades possible are pass or fail. The decision is minuted using a common university form provided for the purpose.

The chair must answer questions put by members and the opponent as to how the thesis defence is carried out, and is responsible for ensuring that the defence is conducted so the examining committee has the best possible opportunity to perform its duties, and the respondent has the best possible opportunity to show that he/she has achieved the degree outcomes.

8.5 Licentiate seminar

In the light of the degree outcomes, the examining committee present at the licentiate seminar must assess the thesis and the respondent's oral defence of the thesis. Hence, the seminar must be organised so there is time for

- the respondent to present his/her thesis;
- the examining committee to question and thoroughly discuss it with the respondent;
- an open discussion in which the public are invited to participate.

The examining committee must meet immediately after the public seminar. The committee must appoint one of its members chair of the meeting. The chair of the licentiate seminar and the supervisor may attend the meeting of the examining committee, but must leave the meeting when the degree decision is to be taken. The grades possible are pass or fail. The decision is minuted using a common university form for the purpose.

The chair must answer questions put by members as to how the licentiate seminar is carried out, and is responsible for ensuring that the seminar is conducted so the examining committee has the best possible opportunity to perform its duties, and the student has the best possible opportunity to show that he/she has achieved the degree outcomes.

9. Degrees

9.1. Application for a degree

HEO, ch 6, s 9: A student who fulfils the requirements for the award of a qualification shall, upon request, be provided with a certificate.

HEO, ch 6, s 10: In the certificate the higher education institution shall indicate

- 1. the title of the qualification*
- 2. the cycle in which it was awarded*
- 3. if the qualification forms part of a joint degree as laid down in Section 17 of Chapter 1 of the Higher Education Act (1992:1434)*
- 4. the first and second-cycle courses taken for award of the qualification, and*
- 5. at which higher education institution the courses laid down in item 4 or corresponding third-cycle courses and programmes have been completed.*

A translation of the title of the qualification to one or several languages may be included in the certificate.

HEO, ch 6, s 10a: A certificate shall be accompanied by a

- 1. diploma supplement that describes the study programme and its place in the educational system*
- 2. in the case of a Higher Education Diploma in Vocational Education a diploma supplement that lists the qualified and relevant vocational expertise that formed the special entry requirements pursuant to Section 4 of the Ordinance on admission to programmes leading to the award of a Higher Education Diploma in Vocational Education (2010:2021) and the regulations issued in conjunction with that provision. The Swedish National Agency for Higher Education may issue more detailed specifications of the contents of a diploma supplement as laid down in 1 above.*

HEO, ch 6, s 10: If a certificate is awarded for a study programme undertaken at more than one higher education institution, it shall be awarded by the institution at which it was completed by the student. This does not apply, however, if the higher education institutions involved have reached some other agreement or the higher education institutions shall jointly issue a joint degree pursuant to Section 17 of Chapter 1 of the Higher Education Act (1992:1434).

SLU Guidelines

The doctoral student applies for a degree to the Division of Student Affairs and Learning Development at SLU.

Before sending in the application, the doctoral student must check that

- all courses have been completed and registered in *Ladok*;
- details of an approved thesis/licentiate thesis and the date of the thesis defence/licentiate seminar have been registered in *Ladok*;
- the title of the thesis/licentiate thesis is correct in *Ladok*. If the title is in Swedish, there must be an English translation.

An extract from the register of births marriages and deaths must be attached to the application (<http://www.skatteverket.se>

9.2. Degree outcomes

Degree of Licentiate

Scope

A Degree of Licentiate is awarded either after a third-cycle student has completed a study programme of at least 120 credits in a subject in which third-cycle teaching is offered, or after a third-cycle student has completed one part comprising at least 120 credits of a study programme intended to conclude with the award of a Doctoral, if a higher education institution decides that a Degree of Licentiate of this kind may be awarded at the institution.

Outcomes

Knowledge and understanding

For a Degree of Licentiate the third-cycle student shall

- *demonstrate knowledge and understanding in the field of research including current specialist knowledge in a limited area of this field as well as specialised knowledge of research methodology in general and the methods of the specific field of research in particular.*

Competence and proficiency

For a Degree of Licentiate the third-cycle student shall:

- *demonstrate the ability to identify and formulate issues with scholarly precision critically, autonomously and creatively, and to plan and use appropriate methods to undertake a limited piece of research and other qualified tasks within predetermined time frames in order to contribute to the formation of knowledge as well as to evaluate this work*
- *demonstrate the ability in both national and international contexts to present and discuss research and research findings in speech and writing and in dialogue with the academic community and society in general, and*
- *demonstrate the proficiency required to participate autonomously in research and development work and to work autonomously in some other qualified capacity.*

Judgement and approach

For a Degree of Licentiate the third-cycle student shall

- *demonstrate the ability to make assessments of ethical aspects of his or her own research*
- *demonstrate insight into the possibilities and limitations of research, its role in society and the responsibility of the individual for how it is used, and*
- *demonstrate the ability to identify the personal need for further knowledge and take responsibility for his or her ongoing learning.*

Thesis

For a Degree of Licentiate the third-cycle student shall have been awarded a pass grade for a research thesis of at least 60 credits.

Miscellaneous

Specific requirements determined by each higher education institution itself within the parameters of the requirements laid down in this qualification descriptor shall also apply for a Degree of Licentiate with a defined specialisation.

Qualifications Ordinance: Degree of Doctor

Scope

A Degree of Doctor is awarded after the third-cycle student has completed a study programme of at least 240 credits in a subject in which third-cycle teaching is offered.

Outcomes

Knowledge and understanding

For the Degree of Doctor the third-cycle student shall

- *demonstrate broad knowledge and systematic understanding of the research field as well as advanced and up-to-date specialised knowledge in a limited area of this field, and*
- *demonstrate familiarity with research methodology in general and the methods of the specific field of research in particular.*

Competence and proficiency

For the Degree of Doctor the third-cycle student shall

- *demonstrate the capacity for scholarly analysis and synthesis as well to review and assess new and complex phenomena, issues and situations autonomously and critically*
- *demonstrate the ability to identify and formulate issues with scholarly precision critically, autonomously and creatively, and to plan and use appropriate methods to undertake research and other qualified tasks within predetermined time frames and to review and evaluate such work*
- *demonstrate through a dissertation the ability to make a significant contribution to the formation of knowledge through his or her own research*
- *demonstrate the ability in both national and international contexts to present and discuss research and research findings authoritatively in speech and writing and in dialogue with the academic community and society in general*
- *demonstrate the ability to identify the need for further knowledge and*
- *demonstrate the capacity to contribute to social development and support the learning of others both through research and education and in some other qualified professional capacity.*

Judgement and approach

For the Degree of Doctor the third-cycle student shall

- *demonstrate intellectual autonomy and disciplinary rectitude as well as the ability to make assessments of research ethics, and*
- *demonstrate specialised insight into the possibilities and limitations of research, its role in society and the responsibility of the individual for how it is used.*

Research thesis (doctoral thesis)

For the Degree of Doctor the third-cycle student shall have been awarded a pass grade for a research thesis (doctoral thesis) of at least 120 credits.

Miscellaneous

Specific requirements determined by each higher education institution itself within the parameters of the requirements laid down in this qualification descriptor shall also apply for a Degree of Doctor with a defined specialisation.