

Regulations on thesis defence and examining committee as well as licentiate seminar

Regulations

- The Higher Education Ordinance, Chapter 6 (HE Ordinance)
 - Admission and grading regulations for doctoral studies (third-cycle) at Uppsala University (AFUU, UFV 2012/2057)
 - Guidelines for doctoral studies (third-cycle) at Uppsala University (Guidelines, UFV 2019/641)
- Decisions of the Faculty of Science and Technology and its Doctoral Education Board.

Requirements for doctoral degree and licentiate degree as well as examination grades

HE Ordinance, Chapter 6, section 32-33: 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 (the examiner). The qualification descriptors for PhDs lay down that an approved doctoral thesis is required for the award of these degrees.

University's regulations: Examinations that form part of doctoral studies (third cycle) are to be assessed with a grade of either pass or fail. Theses and articles that are part of compilation theses and are written by multiple authors can be credited in a licentiate or doctoral degree only if it is possible to distinguish the respondent's contributions (Section 6, AFUU).

Faculty's regulations: For doctoral study courses, the teacher responsible for the course normally serves as the examiner. The head of department appoints examiner for a doctoral study course. The task of the course examiner is only to determine grades on examinations. The main supervisor, in consultation with the professor responsible for doctoral studies and other supervisors, decides which courses and the number of credits relative to the original scope of the courses that the doctoral student may transfer to doctoral studies. The decision on transfer of credits from Bachelor's (first cycle) and Master's (second cycle) level is delegated to the main supervisor in consultation with the professor responsible for doctoral studies and other supervisors. Requirements for doctoral and licentiate degrees are laid down in the general study plan and the study-specific curriculum for the subject in question.

Examinations for licentiate theses are to be assessed by the professor responsible for doctoral studies or another professor delegated this duty, after consultation with the main supervisor and the external reviewer. The supervisor shall not serve as examiner.

In consultation with the professor responsible for doctoral studies and other supervisors, the main supervisor is responsible for assessing when the thesis work has progressed to so far that a date for thesis defence or licentiate seminar can be set, as well as for suggesting a faculty opponent and examining committee or a licentiate thesis reviewer, whichever applies.

Doctoral/licentiate theses within the faculty shall include a popular science summary in Swedish of at least two pages.

Publication of thesis, availability time for doctoral and licentiate thesis

University's guidelines: The doctoral thesis must be available at the University Library for at least three weeks before the defence takes place, in the number of copies required to enable satisfactory examination of the thesis before the defence. The period from 15 June up to and including 15 August may not be counted as part of the period of availability. Shorter periods of availability for the complete printed doctoral thesis and the digital version of the notification of submission and the summarising introduction may be granted by the dean or a supradepartmental body in the event of exceptional circumstances.

For a licentiate thesis a corresponding period of availability before the licentiate seminar applies as for a doctoral thesis. When the student has been admitted with a degree of licentiate as the final objective, notification of submission of the thesis should be in digital format.

Under the decision of 14 May 2002 (UFV 2002/779), all notifications of submission of a thesis and summarising introductions to compilation theses are to be published in digital format in the University's thesis database. Information about the digital version of the notification of submission and summarising introduction should be disseminated in Sweden and abroad.

The thesis must be published, printed and distributed in a manner that maintains the effective period of study. The publication delay that may arise where patents are involved must not result in it being impossible to maintain the normal effective period of study (Section 9, Guidelines).

Faculty's regulations: The compulsory edition of the printed doctoral thesis shall be 10 copies.

Public defence and licentiate seminar

HE Ordinance, Chapter 6, section 33: The doctoral thesis must be presented and defended orally in public. An external examiner (opponent) must be appointed for this presentation.

University guidelines: The Vice-Chancellor has decided to delegate the right to decide on the time and venue for a doctoral defence to the chair of a disciplinary domain board/faculty board or joint body for a faculty or disciplinary domain with responsibility for doctoral education. This decision must be announced at least three weeks before a doctoral defence. Doctoral defences and licentiate seminars may take place during the semester and during the summer recess, with the exception of the period 15 June to 15 August (Section 11, Guidelines).

Faculty's regulations: Decisions on time and place for public defence have been delegated to the respective section dean. The same requirements and guidelines are to apply also to public defences at another location. Prior to public defence at another location, the section dean shall submit a request to the Faculty Board. Multiple public defences may not take place simultaneously within the same section.

The licentiate thesis is to be presented at a seminar. The seminar begins with a lecture by the thesis author. After this, a specially informed external reviewer – generally a researcher from another research programme who has successfully defended their thesis – is responsible for a brief public examination of the thesis.

Grade for doctoral and licentiate thesis

HE Ordinance, Chapter 6, Section 34: At least one of those participating in the grading of a doctoral thesis must be someone who does not have a post at the higher education institution awarding the degree.

HE Ordinance, Chapter 6, Section 35: A higher education institution may issue regulations on the grading system to be used and on public defences and grading in other respects.

University's regulations: A doctoral dissertation are to be assessed with a grade of either pass or fail. The degree certificate for the doctoral degree shall state that the doctoral dissertation has been passed. No reasoning for the decision of pass is to be stated in the degree certificate or in the examining committee's protocol. If a member of the examining committee has dissented from the majority decision, the deviating opinion is to be noted in the protocol or another decision document, but not in the degree certificate (Section 7, AFUU).

Faculty's regulations: The Examination Committee's decision shall be reported in a decision protocol using the form on the Faculty's website.

Grades for licentiate theses shall be determined by the professor responsible for doctoral studies or another professor delegated this duty, after consultation with the main supervisor and the external reviewer. Supervisors shall not serve as examiner. The examiner's decision is to be reported in a decision protocol using the form on the faculty's website.

Examining Committee and opponent

HE Ordinance, Chapter 6, Section 34: At least one of those participating in the grading of a doctoral thesis must be someone who does not have a post at the higher education institution awarding the degree.

University's regulations: The examining committee decides on the grade awarded to a doctoral thesis and must be specially appointed for each individual thesis. The examining committee must consist of three or five members, most of whom must be taken from outside the department to which the doctoral student belongs. In cases where the committee consists of three members, a reserve should be appointed. The members of the examining committee must represent different genders. A person who has been a supervisor of the doctoral student may not be on the committee. The committee must appoint one of its members as chair. The external reviewer has the right to be present at the meeting of the examining committee and to participate in its discussions, but must not be present for decisions. The same applies to the supervisors. The examining committee is in quorum when all members are present. The opinion on which the majority agrees is to constitute the committee's decision. The committee

is to determine whether to give reasons for the decision and whether any dissenting opinions are to be reported (Section 11, Guidelines)

Faculty's regulations: The opponent is normally to be a professor or have professor competence. Teachers at Uppsala University may not be appointed as opponent.

If the examining committee consists of three members, a substitute is to be appointed. At least two members or one member and one substitute shall come from a higher education institution other than Uppsala University.

If the examining committee consists of five members, at least two members are to come from a higher education institution other than Uppsala University. Regardless of the number of members, the majority of the members are to come from outside the faculty with which the doctoral student is affiliated. The member can come from outside the academia. Appointment of examining committee members, opponent and chair of the public defence, as well as any substitutes required, has been delegated to the respective section dean. Examining committee members are to, as a minimum, have docent competence or equivalent, unless special circumstances exist. A person who has been a supervisor for the doctoral student may not be part of the examining committee.

For both the public defence and the licentiate seminar, potential conflict of interest are to be taken into account. There may not be any conflict of interest between the doctoral student/supervisor and opponent or any examining committee member. Co-publication within the past five years is considered to indicate a risk of conflict of interest.

Examining committee members are to represent different genders. The faculty requires a written report in cases where it has not been possible to satisfy this requirement.

An appointed substitute may not participate in the examining committee's meeting except when the regular member is absent. Supervisors and the opponent have the right to be present at the beginning of the meeting with the examining committee. Only examining committee members have the right to be present at the final deliberations and decision. It is up to the chair of the public defence to give instructions to the examining committee members.

Information in English, "*Information for the Examination Committee and the Opponent Regarding the Public Defence for the PhD degree at the Faculty of Science and Technology*" (TEKNAT 2012/48) is available on the faculty's website.