

General information – Public defense of a doctoral thesis

Forms referred to in this document can be found under the heading “Licentiatseminarium, disputation” here: <https://intra.kth.se/administration/blanketter/forskning-forskarutbildning> (The web-page is in Swedish, but all forms are bilingual.)

Essential reading: KTH Guideline on *Third Cycle Studies* [KTHs riktlinje för utbildning på forskarnivå]: <https://intra.kth.se/en/styrning/styrdokument/regler/utbildning-1.1117452>

See especially

- Eligibility/requirements for participants: Ch. 6.2.6 (advance reviewer), 6.4.2 (opponent etc.)
- Conflicts of interest [Jäv]: Ch. 7

What are the requirements for a doctoral degree?

Before considering to write and defend a doctoral thesis, make sure that the requirements for a doctorate can be obtained on time.

1. Thesis part

This would typically correspond to at least:

- Two published or accepted articles in peer-review scientific journals (at least one should be first-authored by the student).
- Two manuscripts in preparation of sufficient quality for publication in peer-review scientific journals (at least one should be first-authored by the student).

2. Course part of 60 ECTS

Compulsory courses

For students admitted after January 1, 2017

- At least two PhD seminar courses
- FLH3000 Basic Communication and Teaching 3.0 ECTS (for students who teach in cycle 1 or 2)

Additionally, for students admitted from January 1, 2019

- Course in basic research ethics
- Half time seminar

For students admitted after December 11, 2021

- Seminar course series: at least two consecutive courses in a series, min. 6 ECTS. The total time participating in a seminar courses must not be less than two years.
- Basic higher education pedagogy, minimum 3.0 ECTS
- Sustainable Development, minimum 3.0 ECTS
- Basic research ethics, minimum 2.0 ECTS
- Half time seminar

When can a public thesis defense be scheduled?

Doctoral thesis defenses may only be scheduled during the periods **January 7 to June 15** (spring term), and **August 15 to December 20** (fall term). This means that the intervening periods are deferred, and must be deducted from the plan.

Thus, there is no distinct time advantage to plan the thesis defense sooner than 5 weeks after January 7 or August 15. For this reason, the periods **February 12 to June 15**, and **September 19 to December 20** are preferred for thesis defenses. This still means that tasks due 8-12 weeks before the defense have to be carried out *before* the intervening periods, i.e. in **November and May** respectively.

Planning the public defense of a doctoral thesis – timeline

12 WEEKS (at the very latest 8 weeks) before the dissertation defense (5 tasks)

1. Book date and room

Email the local administrator for third-cycle studies for the BIO/TCB PhD programs to book a date for the thesis defense. A suitable room is then booked by the student or supervisor.

There should preferably not be more than two thesis defenses (doctoral or licentiate) per day on the same third-cycle subject (i.e. *Biotechnology* or *Theoretical Chemistry and Biology*), at least if the defense is targeted towards the same audience. The first session typically starts at 10 am, and the second in the afternoon at 1 pm. Book the room early since the booking calendar fills up quickly.

2. Suggest advance reviewer for the doctoral thesis (form FO-FOGR)

Advance review of the doctoral thesis is mandatory. The supervisor must suggest an advance reviewer, and motivate the choice, and e-mail an initial suggestion to the vice FA or FA for approval. The information must next be entered in the form FO-FOGR and sent to vice FA/FA for signature (formal approval).

The principal supervisor is responsible for conducting thesis review and plagiarism control of the thesis (and associated unpublished material) and rectify any deficiencies **before** the thesis is submitted for advance review.

Who can act as advance reviewer?

See Chapter 6.2.6 in the KTH Guideline on *Third Cycle Studies* for requirements.

3. Suggest opponent, grading committee, substitute committee member, and chair for the defense

The supervisor sends an initial suggestion to the vice FA or FA for approval. Include title, affiliation, homepage, CV for the suggested persons, as well as the doctoral student's complete list of published papers and manuscripts. The vice FA/FA then evaluates the suitability of the named persons for their respective roles, including possible conflicts of interest. When contacting the opponent and committee members, provide information about articles and manuscripts that will be part of the thesis.

Who can act as faculty opponent, member of the grading committee, substitute member and chair of the thesis defense?

See Chapter 6.4.2 in the KTH Guideline on *Third Cycle Studies* for requirements.

4. Update ISP to the final version

The individual study plan (ISP) needs to be updated to reflect that all examination goals have been fulfilled at the time for examination. Be particularly careful when addressing the goals in section 9 of the ISP interface. Here, each of the learning outcomes defined by the Higher Education Ordinance should be adequately motivated.

Since this is the final ISP, clear statements must be given, e.g. "I have reached the goal to... [enter the goal], by [for instance] participating in the PhD seminar courses given at the department [state course]". Motivate goal fulfillment by giving as many examples as possible for each goal.

The final ISP will not be approved until satisfactory motivation for goal fulfillment has been given for all goals. The final ISP is approved by the vice FA/FA electronically.

The general study plans and help document with examples of how the examination goals can be concretized are also found via the CBH Canvas sites for [Doctoral students](#) and [Doctoral supervisors](#).

5. Contact the printing office (US-AB)

Make sure to book thesis printing in due time since US-AB is very busy, especially at the end of the semester when many students plan their dissertation defenses.

Web: <https://www.us-ab.com/eng/> ; Email: tryck@us-ab.com

6 WEEKS (at the very latest 5 weeks) before the dissertation defense (4 tasks)

1. Submit application for thesis defense

The application contains three parts:

1. "Application thesis defense" (form FO-ANDI)
2. The completed and signed summary for the advance review (form FO-SUKV)
3. Approved final ISP (approved by vice FA/FA electronically).

In the "Application Thesis Defence" (FO-ANDI), the names of the opponent, chair, grading committee and substitute committee member are given, as well as time and place for the public defense. The main supervisor also needs to certify that no conflicts of interests exist for the named persons, and the PhD-student must indicate whether all items of the individual study plan have been fulfilled or not.

Note that the "Subject" in this case is the subject of the third-cycle program and nothing else (i.e. *Biotechnology* or *Theoretical Chemistry and Biology*).

All forms are completed and submitted to the administrator for third-cycle studies.

2. Preparations for the thesis

Graphical profile and layout:

<https://www.kth.se/en/student/studier/examensarbete/avhandlingarochexamensarbeten>

Identifiers for the thesis:

- Submit request for **ISBN number**:
<https://www.kth.se/en/biblioteket/publicera-analysera/vagledning-for-publicering/bestallning-av-isbn-1.854778>
- The **TRITA number** is requested from the BIO/TCB administrator for third-cycle studies.
- The former **ISSN number** is no longer needed.

3. Supervisor review and plagiarism check

The review of both the formalities and the scientific content of the doctoral thesis shall be continuously carried out by designated supervisors.

The summary/scientific abstract of the thesis shall be available in English and in Swedish (compulsory).

A popular science summary/abstract may be included in both languages (optional).

The principal supervisor is responsible for conducting a plagiarism control once the thesis (and associated unpublished material) is completed. Any deficiencies must be rectified **before** the thesis is submitted for advance review.

4. Print your thesis

- At least 30 copies must be printed, but it is recommended that **75-100 copies** be printed.
- The printing office takes care of sending the legal deposit ("pliktexemplar") comprising 7 copies of the printed thesis to Kungliga Biblioteket and the libraries at the main Swedish universities Lund U, Stockholm U, Uppsala U, Linköping U, Gothenburg U and Umeå U.
- The "spikblad" is no longer required (KTH President's decision 2018-02-20).

4 WEEKS (at the very latest 3 weeks) before the public defense (hard deadline) – "Spikning" = "Nailing" (3 tasks)

The doctoral thesis must be available to the public **at least three weeks prior** to the public thesis defense. These three weeks must fall between January 7 – June 15 and August 15 - December 20. This means that *three weeks before the thesis defense, the opponent and grading committee should have received the printed thesis*. This is important because the quality of review depends on all parties having enough time to go evaluate the thesis contents thoroughly.

This also means that "nailing" is the most **critical deadline** in the time plan. Failure to meet this deadline will result in a hard end point, that is, postponement of the public defense. To not risk having

to postpone the public defense, it is therefore advised that the "nailing" is performed **no later than at least two days before** this "3-week-deadline", but preferably earlier. This is because after uploading, it may take a few days for the thesis meta-data to be reviewed, edited and finally approved in DiVA.

Please note that although the full thesis must be uploaded, the version that is *published on-line* in DiVA (the thesis "kappa") will not contain the full content of the printed thesis and that published papers and manuscripts are not always available through DiVA for copyright reasons. It is thus essential that the opponent and grading committee receive the printed thesis as stated above.

Posting a doctoral or licentiate thesis (kth.se): <https://www.kth.se/en/biblioteket/publicera-analysera/hantera-publikationer/spika-avhandling-licentiatuppsats-1.854781>

Step-by-step checklist for posting in DiVA (kth.se): <https://www.kth.se/en/biblioteket/publicera-analysera/hantera-publikationer/spika-avhandling-licentiatuppsats-1.854783>

Comments to the step-by-step checklist:

1. Uploading the thesis in DiVA. Before uploading, make sure to have the following at hand:

- a) The two digital files from the print office: one pdf for electronic publishing in DiVA ("kappa") and one pdf for electronic archiving (full text)
- b) The abstract text in English and Swedish
- c) Keywords
- d) Your KTH-ID

Now, you are ready to upload the files in the DiVA database:

Log into DiVA: <https://kth.diva-portal.org/dream/login.jsf>

- Choose "Add publication / Upload files".
- Choose the correct publication type, normally "Doctoral thesis, comprehensive summary" (this is the kappa of your thesis). You first have to register the individual papers of your thesis in DiVA (unless you have done it before). You must also create posts for any unpublished manuscripts that are part of your thesis, but here the full text is not uploaded, only information about the manuscript. Click continue.
- Register the requested information about your thesis.
- Add name and year of birth.
- Add ORCID (if you have one).
- Add your KTH-ID in the field "Local User Id".
- Add your organization and email.
- Add title, language, and year.
- Add publisher.
- Add "National subject category", for instance "Natural Sciences".
- Add "Research subject", should be either "Biotechnology" or "Theoretical Chemistry and Biology".
- Add keywords.
- Add the abstract in English and Swedish.
- Add supervisor.
- Add opponent.
- Add information about public defense.
- Choose "Degree"
- Click continue and upload.
- Approve conditions for electronic publishing.
- Review the information and make sure everything is correct.
- Check the fulltext file by clicking on "fulltext" to make sure it is possible to open it.
- Submit.
- Once the post has been processed and approved by KTH it will appear in DiVA. This, i.e. making your thesis publicly available, is the first part of the formal "nailing". (The second is providing a hard copy to the library.)
- Sign the form [Media_agreement.pdf](https://www.kth.se/polopoly_fs/1.586913!/Media_agreement.pdf) and give to the KTH Library when handing in your thesis.

2. Visit KTHB (campus library) and hand over one copy of the printed thesis and the original Media Agreement.

3. Complete distribution list (FO-DIDO) and send printed thesis to required recipients

Here, you list all people and organizations that you will send the printed thesis to (give name and affiliation/address). The document must be signed by vice FA. On page 1 of FO-DIDO all required recipients are listed and they should receive the printed thesis ASAP. The “School Office” mentioned is the third cycle administrator.

Once the “spikning” is confirmed the event is added to the online KTH calendar, and the local administrator for third-cycle studies issues and announces the formal decision for thesis defense “*Beslut – Disputation*” (form FO-BEDI).

1 WEEK before the public defense

The local administrator for third-cycle studies emails the draft minutes (“*Minutes of the Grading Committee for Grading of Doctoral Thesis*”, form FO-PROT) to the chair and main supervisor to be handed over to the grading committee at the meeting following the public defense.

0 WEEKS – Day of the public defense act

Local guidelines regarding the procedure for the public thesis defense

The thesis defense is open to the public. The parties at a thesis defense include the opponent, the respondent, the members of the grading committee, the chair of the thesis defense, and normally the supervisors, as well as the general public and colleagues in the audience. There are no strictly defined rules regarding the form of the act, but it typically follows the scheme described in the [local guidelines regarding responsibilities of opponent and the procedure for thesis defense](#).

What happens after a successful thesis defense?

Provided that you have completed the course curriculum, and that the protocol from the defense has been submitted to the administrator of third-cycle studies, is now time to apply for doctoral degree.

This step is performed electronically when you are logged in at kth.se, under “My account / Services / Certificates / Degree certificate. When this is done, send an email informing the local third-cycle studies administrator so that he/she can proceed with the application.

Additional information

Remuneration for faculty opponent and external members of grading committee (Swedish only): <https://intra.kth.se/styrning/styrdokument/regler/uppdragstagare-1.701416>

Contact for *Biotechnology and Theoretical Chemistry and Biology*

Christina Divne, vice FA (divne@kth.se)

Kristina Jansson, administrator of third-cycle studies (phdadmin@cbh.kth.se).

Postal address: AlbaNova University Center, Att. Kristina Jansson, KTH-CBH, 106 91 Stockholm;

Visiting address (by appointment): AlbaNova, Roslagstullsbacken 21, floor 3, room B3:1009

All decisions related to the dissertation as outlined in this document are taken by vice FA (by delegation from FA) or FA.