

**GUIDELINE**

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## Guideline on Third-Cycle Studies

This document is a translation. In case of a discrepancy between the Swedish original and the English version of the decision, the Swedish version will prevail.

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# 1. The organization of education

## 1.1. Responsibility for third cycle studies/postgraduate studies

The division of responsibilities in third cycle (postgraduate) studies is set out in the *Rules of Procedure for KTH* and in the *Delegation Procedure for KTH*.

## 1.2. Third cycle/postgraduate degrees

### 1.2.1. Doctoral degree (applies for students admitted after December 31, 2013)

The doctoral degree is obtained once a doctoral student has completed studies totaling 240 ECTS in one of KTH's third cycle subjects. In addition to a scientific dissertation (doctoral thesis) of at least 120 ECTS, the doctoral degree entails coursework totaling at least 60 ECTS.

For the course requirement of 60 ECTS, (1) At least 45 ECTS must be at the third cycle/postgraduate level, and (2) a maximum of 10 ECTS credits may be at the first cycle/undergraduate level.

In addition to the general course requirement, a maximum of 60 additional ECTS at any level may be included in the study plan for the subject.

Additional objectives may be found in a general study plan for third cycle (postgraduate) subjects.

### 1.2.2. Doctoral degree (applies for students admitted before January 1, 2014)

The doctoral degree is obtained studies totaling 240 ECTS have been completed in one of KTH's third cycle subjects. In addition to a passing grade on a scientific dissertation (doctoral thesis) of at least 120 ECTS, the doctoral degree entails coursework totaling at least 60 ECTS. The study plan for a particular subject may set higher requirements for the course component. At least 60 percent of the total course component must be at third cycle/postgraduate level.

Science and technology courses at the first cycle/undergraduate level may not be included in the degree. Exceptions may be made to this requirement for students with other qualifying education of a non-technological nature. To some extent, students with such education may use courses related to subjects other than technology as a substitute for compulsory courses in the study plan for a subject. This must be documented in the student's individual study plan.

Additional objectives may be found in a general study plan for third cycle (postgraduate) subjects.

### 1.2.3. Licentiate degree (applies for students admitted after December 31, 2013)

The licentiate degree is upon the completion of studies totaling at least 120 ECTS in one of KTH's third cycle (postgraduate) subjects. In addition to a passing grade on a scientific thesis of at least 60 ECTS, the licentiate degree entails coursework totaling at least 30 ECTS.

For the course requirement of 30 ECTS, (1) At least 15 ECTS must be at the third cycle/postgraduate level, and (2) a maximum of 10 ECTS credits may be at the first cycle/undergraduate level.

In addition to the general course requirement, a maximum of 30 additional ECTS at any level may be included in the study plan for the subject.

Additional objectives may be found in a general study plan for third cycle (postgraduate) subjects.

#### **1.2.4. Licentiate degree (applies for students admitted before January 1, 2014)**

The licentiate degree is upon the completion of studies totaling at least 120 ECTS in one of KTH's third cycle (postgraduate) subjects. In addition to a passing grade on a scientific thesis of at least 60 ECTS, the licentiate degree entails coursework totaling at least 30 ECTS. The study plan for a particular subject may set higher requirements for the course component. At least 50 percent of the total course component must be at third cycle/postgraduate level.

Science and technology courses at the first cycle/undergraduate level may not be included in the degree. Exceptions may be made to this requirement for students with other qualifying education of a non-technological nature. To some extent, students with such education may use courses related to subjects other than technology as a substitute for compulsory courses in the study plan for a subject. This must be documented in the student's individual study plan.

Additional objectives may be found in a general study plan for third cycle (postgraduate) subjects.

### **1.3. Subjects, general study plans and doctoral programs**

The Higher Education Ordinance contains the following provisions:

**Chapter 6, § 25** A university or higher education institution that may issue third-cycle/postgraduate degrees shall decide on the subjects for which third cycle education is to be organized. Ordinance (2010:1064).

**Chapter 6, § 26** For each subject in which third-cycle studies are organized, there shall be a general study plan. Ordinance (2010:1064).

**Chapter 6, § 27** In a general study plan, the following must be stated: The primary content of the education program, the requirements for special qualifications, and the other regulations that are required. Ordinance (2010:1064).

KTH issues licentiate degrees and doctoral degrees (doctorates). At KTH, established subjects and established general study plans are organized into doctoral programs.

#### **1.3.1. Applications for the establishment of a subject and proposals for a general study plan**

An application for the creation of a subject shall include the following content:

- The subject and classification of the subject according to the standards for the Swedish classification of research subjects (SCB),
- The doctoral program in which the subject is to be included,
- Description of current research in the subject area,
- Needs and external environmental analyses covering:
  - Possible collaborative partners and people representing outside interests
  - Related subjects at KTH
  - Recruitment basis, target group

- Equal opportunity perspective (this may relate to aspects such as the subject's orientation, as well as current and historical gender distribution among students, teachers and researchers)
- Sustainability perspective
- Description of available resources and any need for renewal in relation to:
  - Research environment
  - Supervisors
  - Funding
  - Infrastructure

*Annex to the application*

- Proposal for a general study plan for the subject (designed according to the template of the Education Committee).

*Application and decision*

Heads of school and directors of third cycle education apply for the creation of a subject. If several schools are concerned, the heads of school and directors of third cycle studies at the affected schools shall provide a statement of opinion. If the subject is to be included in an existing doctoral program, the revised program description shall be attached to the application. If the subject is to be included in a new doctoral program, the application for the establishment of a doctoral program must be submitted at the same time.

The application is submitted to the Faculty Council, which renders a decision regarding the establishment of the subject and the determination of the general study plan.

**1.3.2. Applications for the creation of a doctoral program**

A doctoral program should have at least 15 doctoral students and 10 supervisors.

The supporting documents for the creation of a doctoral program shall include the following information:

- Program description in accordance with the template of the Education Committee,
- Current subject study plan(s) or application for the creation of a third-cycle/postgraduate subject,
- Available infrastructure,
- Opportunities for international collaboration,
- Existing adjacent doctoral programs at KTH,
- Description of the composition and tasks of the Program Council, and

- Proposal(s) for program director(s) (if several schools are affected).

Heads of school and directors of third cycle education apply for the creation of a doctoral program. If several schools are concerned, the heads of school and directors of third cycle studies at the affected schools shall provide a statement of opinion. The application is submitted to the Faculty Council, which renders a decision regarding the establishment of a doctoral program.

### **1.3.3. Applications for the revision of a general study plan and program descriptions for doctoral programs**

The application for the revision of the general study plan for the subject and/or changes to the program description for the doctoral program is prepared at the affected school or schools. The application is prepared by the Program Director for Doctoral Programs and must be approved by the Director of Third Cycle Education. It must include:

- A justification for the proposed amendments,
- A summary of the proposed amendments,
- Date on which the amendment is to take effect, and any necessary
- Transitional provisions.

The application is submitted to the Faculty Council, which decides on issues related to the revision of general study plans and program descriptions for doctoral programs.

### **1.3.4. Applications for a discontinuation or proposed name changes**

The application for the discontinuation/renaming of a subject and/or doctoral program is prepared at the relevant school or schools. The application is prepared by the Program Director for Doctoral Programs and must be approved by the Director of Third Cycle Education. It must include:

- A justification,
- Date of discontinuation/name change,
- Management of existing doctoral students, and
- Transitional provisions clarifying how KTH shall ensure that admitted doctoral students are given the opportunity to complete their studies within the subject and/or doctoral program, and within what time frame they may do so. (Does not apply to proposals for name changes.)

The application is submitted to the Faculty Council, which renders decisions regarding discontinuations or name changes. Once the decision has been made, the responsible school shall inform doctoral students, supervisors and other interested parties about the discontinuation and its consequences.

## **1.4. Degree titles**

A third-cycle (postgraduate) degree at KTH is referred to as a *Degree of Licentiate of Engineering* or a *Degree of Doctor of Philosophy*. In individual cases, following a decision according to the following, other prefixes (e.g., *Philosophy*) may be used.

*Decision on other prefixes than Engineering/Science*

Decisions on other prefixes are made by the Director of Third Cycle Education early in the doctoral student's studies, and never later than five weeks before the specified date for a licentiate seminar or public thesis defense. Decisions shall take into account the doctoral student's focus in her/his studies at the first cycle (undergraduate) and second cycle (graduate) level or background in the subject area, as well as the focus of her/his doctoral education at KTH.

## 2. Admitted doctoral students

### 2.1. Supervision

The Higher Education Ordinance contains the following provision:

**Chapter 6, § 28** For each doctoral student, at least two supervisors shall be appointed. One of them shall be appointed as principal supervisor. The doctoral student has the right to supervision during her/his education, unless the President with the support of § 30 decides otherwise. A doctoral student shall be allowed to change supervisors if she/he requests this. Ordinance (2010:1064).

#### 2.1.1. Competency requirements for supervisors

Supervisors shall be active in the subject of the third cycle education, or in a subject related to the subject of the third cycle education.

##### *Main supervisor*

The following may be appointed as principal supervisors:

1. Professors or visiting professors employed at KTH.
2. Adjunct professors at KTH who are also admitted as docents.
3. Other teachers or researchers who are admitted as docents and permanently employed at KTH.
4. Within the framework of specific cooperation agreements with other higher education institutions regarding third-cycle studies, the principal supervisor may be appointed as an employee of the collaborating party, provided that the person is qualified to work as a docent.

The intended principal supervisor must have completed training in education at the university level related to doctoral supervision, or possess equivalent competence.

In the cases specified in points 1-3 above, the proposed principal supervisor shall have an employment rate of at least 20% of full-time. In the event that the proposed principal supervisor is employed on a temporary basis, the remaining period of employment shall be taken into account in relation to the student's remaining education period. Other circumstances, such as retirement, shall also be taken into account. For principal supervisors in accordance with point 4, corresponding considerations shall apply.

##### *Assistant supervisors*

An assistant supervisor may be appointed to a person who has completed a doctorate or who has equivalent scientific or artistic competence or any other professional skills that are of significant importance. Corresponding scientific or artistic competence is considered to be (1.) A completed foreign third cycle education program, or (2.) scientific or artistic work corresponding to a doctoral thesis in the subject area and documented experience of research activities corresponding to the fulfillment of key learning outcomes for third-cycle studies in the subject area.

The intended supervisor should have completed training in teaching at the university level related to doctoral supervision, or possess equivalent competence.

### **2.1.2. The responsibilities and tasks of a supervisor**

Once the doctoral student has been admitted to her/his program, the principal supervisor shall develop an individual study plan (as decided according to 2.2.3). Once the study plan has been decided, the principal supervisor is responsible for conducting a follow-up at least once a year, and for making changes to the plan to the extent that is necessary, as well as for ensuring the fulfillment of KTH's commitments (see also Sections 2.2.1. and 2.2.4.).

The principal supervisor is responsible for supervising the doctoral student and for ensuring that the course studies and thesis work can be conducted at an appropriate pace. In addition, the principal supervisor shall, inter alia, propose special reviewer at the licentiate seminar and opponents and grading committee members at the public defense of the student's thesis (see Sections 4.2.2. and 4.3.2.).

The responsibility and duties of assistant supervisors shall be stated in the doctoral student's individual study plan.

All supervisors must plan for anything that might affect the supervisor's availability to the doctoral student.

### **2.1.3. Changing supervisors**

#### *The supervisor's employment situation changes*

If the employment situation of the principal supervisor changes, the tasks of the principal supervisor should be reviewed. If the principal supervisor's employment at KTH is terminated, this will normally also conclude her/his assignment as supervisor. This individual can then be appointed as an assistant supervisor. If special reasons exist, the individual may stay on as the principal supervisor, e.g., if the doctoral student will soon complete her/his degree.

#### *A doctoral student requests a change of supervisor*

The request for a change of supervisor is made to the Director of Third Cycle Education, or to the Head of School in the event that the Director of Third Cycle Studies is the doctoral student's supervisor. Such a request must be dealt with expeditiously. When deciding on a new supervisor, the individual study plan shall be amended in accordance with Section 2.2.

In practice, the right to change supervisors is subject to limitations resulting from the availability of qualified supervisors and other factual circumstances. Further guidance can be found in the Higher Education Appeals Board decision of 03-17-2006, Reg. no 451-462-05, as well as the Swedish National Agency for Higher Education's report *Fakultetsnämndernas tillsyn över utbildningen på forskarnivå ur rättssäkerhetsperspektiv (The Faculty Boards' Supervision of Education at the Third Cycle Level from a Legal Certainty Perspective)* (2008:5 R).

#### *Consultation prior to the decision*

The Head of School shall consult the Director of Third Cycle Studies and the doctoral student before rendering her/his decision.

#### 2.1.4. Decision to appoint a supervisor

Heads of School appoint supervisors following preparation by their respective schools' Director of Third Cycle Studies. The right to render such a decision may only be subdelegated to the Director of Third Cycle Studies.

## 2.2. Individual study plans

The Higher Education Ordinance contains the following provision:

**Chapter 6, § 29** For each doctoral student, an individual study plan shall be drawn up. The plan shall include the university's and the doctoral student's commitments, as well as a timetable for the doctoral student's education. The plan shall be determined following consultation with the doctoral student and her or his supervisor.

The individual study plan shall be regularly followed up and, following consultation with the doctoral student and her or his supervisor, it may be changed by the university to such extent as is deemed necessary. The duration of the student's education may be extended only if there are special reasons to do so. Such reasons may include leave due to sickness, leave for total defense service, leave to undertake a position of trust in a trade union or student organization, or parental leave. Ordinance (2010:1064).

### 2.2.1. The content of the individual study plan

KTH's obligations must be stated in the student's individual study plan. The study plan is a governing document for the student's entire education program, and shall efficaciously contribute to her/his training and follow-up. The study plan must be concretely designed. This does not exclude the possibility that the plan may initially be incomplete; e.g., in the beginning, the latter part of education may be planned in less concrete terms. However, the study plan for the coming year must be detailed. In normal cases, KTH's system support for individual study plans should be used. The system support outlines the content of the study plan. Where individual study plans cannot be established through the system support, e.g., in educational collaborations, the doctoral student's study plan shall contain equivalent content, insofar as is possible. The principal supervisor is responsible for developing the study plan (see also 2.1.2.).

If the doctoral student is employed in accordance with Chapter 5, § 1 of the Higher Education Ordinance, the study plan shall have a clear link between the predetermined sub-objectives and the local collective agreement on doctoral pay (the so-called "doctoral ladder," which outlines salary grades for doctoral student employment).

### 2.2.2. The accreditation of education (transfer of credits)

The Higher Education Ordinance contains the following provisions:

**Chapter 6, 6 §** If a student at a university in Sweden has undergone some tertiary education for which she/he received passing grades, the student has the right to apply the credits earned in the course of this education to higher education at another university. However, this does not apply if there is a substantial difference between the education programs.

The same applies to students who have undergone specific education (with passing grades)

1. at a university or other higher education institution in Denmark, Finland, Iceland or Norway, or at a party to the Council of Europe's Convention of April 11, 1997 on the Recognition of Qualifications concerning Higher Education in the European Region (SÖ 2001:46), or
2. at the Nordic School of Public Health. Ordinance (2006:1053).

**Chapter 6, § 7** A student has the right to receive credit for education other than that referred to in § 6, if the knowledge and skills invoked by the student are of such a nature and have such scope that they essentially correspond to the education for which they are intended to be credited. A student may also receive credit for equivalent knowledge and skills acquired in professional activities. Ordinance (2006:1053).

**Chapter 6, § 8** The university shall examine whether previous education or activities can be accepted for the purposes of accreditation (the transfer of credits).

Only the student can be eligible for a credit transfer, unless otherwise indicated by laws or regulations. Ordinance (2010:1064).

Decisions regarding accreditation (credit transfer) are made by heads of school (this responsibility may be subdelegated to the Director of Third Cycle Studies, who may further subdelegate it to the Program Director). In the event of a denial of a requested credit transfer, a referral regarding appeals should be provided with information on how to appeal against the decision (see also Section 5).

### **2.2.3. Decisions regarding individual study plans and decisions regarding changes**

Decisions regarding individual study plans are made by the heads of school (this responsibility may be subdelegated only to the Director of Third Cycle Studies), after consultation with the doctoral student and her/his supervisor(s).

### **2.2.4. Follow-up**

Follow-up shall be initiated by the principal supervisor (see also Section 2.1.2.), and may also be initiated by the doctoral student, assistant supervisor, and Program Director. The Director of Third Cycle Studies shall ensure that follow-up is performed regularly.

## **2.3. The duties of a doctoral student (so-called “Departmental Duties”)**

The Higher Education Ordinance contains the following provision:

**Chapter 5, § 2** An individual who is employed as a doctoral student shall primarily devote her/himself to her/his own education.

However, an employee may work to a limited extent with education, research, artistic research and administration to a limited extent. Prior to the completion of a doctorate or an artistic doctorate, such work may not account for more than 20% of full-time working hours. Ordinance (2014:1012).

The scope of the work and the tasks to be carried out under the above provision shall be outlined in the individual study plan. The doctoral student's training period shall be extended in accordance with the scope of the work. In issues related to teaching work, Section 2.4 (below) shall apply.

## **2.4. Training in education at the university level for doctoral students**

A doctoral student who is to teach at the undergraduate (first cycle) or graduate (second cycle) level must undergo relevant training in education at the university level before her/his teaching assignment begins. The training in education at the university level must be documented in the individual study plan.

Doctoral students who will not be performing teaching assignments may also undergo training in education at the university level.

## **2.5. Student influence**

The students' right to influence is determined in Chapter 1, § 4a and Chapter 2, § 7 of the Higher Education Act, as well as Chapter 2, § 14 of the Higher Education Ordinance. The Student Union Ordinance (2009:769) contains provisions on student unions at national universities and colleges. Several governing documents at KTH contain provisions on student influence, including KTH's Rules of Procedure and the Guideline on Student Influence and Status as a Student Union.

## **2.6. The extension of the education period and study financing (due to certain types of leave)**

### **Extension of the education period**

A doctoral student who has been on leave due to sickness, total defense service, the execution of a position of trust in a trade union or student organization, or parental leave may receive an extension of her/his education period (see Chapter 6, § 29 of the Higher Education Ordinance; the provision is reproduced in its entirety in Section 2.2. above). Decisions regarding the extension of the education period are rendered by heads of school following preparation by the respective school's Director of Third Cycle Studies. The right to render such a decision may only be subdelegated to the Director of Third Cycle Studies.

In the case of departmental duties, see Section 2.3.

### **Extension of study financing**

A doctoral student who is employed as a doctoral student pursuant to Chapter 5, § 1 of the Higher Education Ordinance may receive renewed (extended) employment under the provisions of § 7 of the same chapter. According to Chapter 7, § 36 of the Higher Education Ordinance, no equivalent provision exists for doctoral students with some other form of study financing. However, doctoral students with an educational scholarship are subject to the provisions on insurance set forth in Chapter 1, § 11 c of the Higher Education Ordinance. Decisions regarding the extension of study financing are rendered by heads of school (this responsibility may be subdelegated) (see also Section 2.7).

## **2.7. Study financing**

KTH's provisions on study financing for doctoral students, both upon their admission and during their education, are available in the *Admissions Regulations at KTH*.

## **2.8. Notification of non-completion of a study place**

Notification of non-completion of a third-cycle study place must be executed in writing by the doctoral student through an online form (available in the KTH forms archive). If a doctoral student renounces her/his study place and if there is reason to do so, the student's resources should be retracted in accordance with Chapter 6, § 30 of the Higher Education Ordinance (see Section 2.9).

## 2.9. The right to supervision and other resources

### 2.9.1. The retraction of supervision and other resources

The Higher Education Ordinance contains the following provision:

**Chapter 6, § 30** If a doctoral student significantly breaches her/his obligations under the individual study plan, the President shall determine that the doctoral student shall no longer have the right to supervision and other resources for her/his education. Before making such a decision, the doctoral student and her/his supervisor shall be given the opportunity to comment. The examination of the case shall be made on the basis of their statements and other available information. The assessment shall take into consideration whether the university has completed its own commitments under the individual study plan. The decision must be justified and provided in writing.

Resources may not be retracted for the time in which the doctoral student is employed as a doctoral student or receives a study grant (allowance) for doctoral students. Ordinance (2010:1064).

Supervision and other resources may not be retracted for the time in which the doctoral student is employed as a doctoral student. Therefore, the issue of retraction must be addressed in good time before the current employment is to be extended.

Other resources refer to, inter alia, tuition, costs associated with courses, work space, computers, telephones, office supplies, library resources, and access to laboratory facilities and equipment.

#### *Measures to be taken before the retraction of resources may be implemented*

If a doctoral student neglects her/his commitments as set forth in the individual study plan, the doctoral student's supervisor should raise this issue with the doctoral student at an early stage. The doctoral student's supervisor should have several meetings with the student within a short period of time in order to reconcile and set clear requirements regarding what the doctoral student must demonstrate, based on what is stated in the individual study plan. All measures and agreements with the doctoral student shall be documented in the individual study plan and followed up by the principal supervisor. If the principal supervisor considers that, despite these measures, the doctoral student continues to neglect her/his obligations during this follow-up period (which may normally be about six months in length), the principal supervisor shall inform the Director of Third Cycle Studies. The Director of Third Cycle Studies shall give the doctoral student the opportunity to respond in writing to the statement of her/his supervisor. In consultation with the Head of School, the Director of Third Cycle Education shall call the doctoral student, supervisor and Program Director to a meeting to discuss the situation and to hear their respective opinions on the matter. Prior to this meeting, the doctoral student must be informed of the content of the meeting and of her/his right to bring along a legal representative or advisor. If necessary, an interpreter must be engaged. Meeting notes should be made and sent to all participants. If the doctoral student does not speak/understand Swedish, the notes must be translated.

If it is decided that the study plan shall be revised, this revision shall include a detailed timetable for the remaining studies of the doctoral student. The commitments of the various supervisors must also be clearly stated, as well as which other resources the doctoral student shall have at her/his disposal.

Together, the Director of Third Cycle Studies and the supervisors follow up on what has been decided. Further meetings and revisions may be necessary. If the supervisors assess that the doctoral student has continued to substantially neglect her/his obligations under the individual study plan, then the

Head of School, in consultation with the Director of Third Cycle Studies, shall notify the President of the retraction of supervision and other resources.

*Notification of the retraction of supervision and other resources*

A notification must be provided to the President and sent to the registrar. This notification shall include information regarding

- the way in which the doctoral student has substantially neglected to fulfill her/his commitments,
- how KTH has fulfilled its commitments, pursuant to the individual study plan.

The notification shall also include the following documents:

- all versions of the doctoral student's individual study plan,
- a description of the measures taken to facilitate the doctoral student's education,
- if the affected student's individual study plan have been drafted and followed up in accordance with Chapter 6, § 29 of the Higher Education Ordinance,
- documentation from the meetings held with the doctoral student, the doctoral student's supervisor, the Director of Third Cycle Studies and the Program Director,
- any relevant supporting documents, such as email conversations,
- the supervisors' joint assessment of the doctoral student's current performance and ability to fulfill her/his obligations under the individual study plan.

*The notification is investigated*

An administrative lawyer investigates the notification. The purpose of the investigation is to determine whether the doctoral student has substantially neglected her/his obligations and whether KTH has fulfilled its obligations under the individual study plan. The doctoral student and the doctoral student's supervisor shall be given the opportunity to submit written statements of opinion regarding the notification. If the doctoral student does not speak/understand Swedish, the written documents and any statements of opinion must be translated.

The investigation shall conclude with a justified proposal for a decision. The doctoral student and the doctoral student's supervisor(s) must be given the opportunity to comment on the investigation, incl. the proposed decision.

*Decision*

The President renders decisions regarding the retraction of supervision and other resources (this responsibility may not subdelegated). The decision must be provided in writing and contain a justification, and it must be served to the doctoral student.

If the decision means that the resources are retracted, the decision shall provide information regarding how the doctoral student can apply to the President to regain supervision and other resources. Furthermore, a referral for appeals shall be attached when the decision can be appealed to the Higher Education Appeals Board.

If the decision means that there are no grounds for suspending supervision or other resources, all concerned parties shall be informed of this decision. The Director of Third Cycle studies shall, after consulting the Head of School, decide whether it is necessary to undertake certain measures, such as a change of supervisor or the revision of the individual study plan.

If the investigation concerns a doctoral student who does not speak/understand Swedish, then the decision, written documentation, statements of opinion and referral for appeals must be translated.

#### *Doctoral students whose supervision and other resources have been retracted*

A doctoral student whose supervision and resources have been retracted is still admitted to doctoral education at KTH. The doctoral student has the right to independently conduct studies at the doctoral level and has the right to be examined, i.e., to apply to submit a doctoral thesis and defend it in a public defense or a licentiate seminar. (see further guidance in budget proposition 1997/98:1, expenditure category 16, p. 102 (f), and the Higher Education Appeals Board decision of 03-14-2014, Reg. no 245-49-14).

#### **2.9.2. Application to regain the right to supervision and other resources**

The Higher Education Ordinance contains the following provision:

**Chapter 6, 31 §** If the resources for the training have been retracted in accordance with § 30, the doctoral student may, after applying to the President, regain her/his right to supervision and other resources. In doing so, the doctoral student must demonstrate (through additional study results of a noteworthy quality and extent, or in some other way) that she or he is likely to be able to fulfill her or his remaining commitments under the individual study plan. Ordinance (2010:1064).

The application is addressed to the President and sent to the Registrar.

#### *Investigation*

The application is investigated in order to determine whether the applicant has demonstrated the required study results, or whether it is likely that the commitments set out in the individual study plan will be fulfilled. The Director of Third Cycle Studies may decide that the application should be assessed by an expert on the subject of postgraduate education who has not previously been involved in the doctoral student's education.

If the investigation concerns a doctoral student who does not speak/understand Swedish, then the written documentation, statements of opinion and proposed decision must be translated.

The Director of Third Cycle Studies shall, with the support of an administrative lawyer, present a reasoned proposed decision to the President.

#### *Decision*

The President decides (this responsibility may not subdelegated) whether the doctoral student shall regain the right to supervision and other resources. The decision shall be served on the doctoral student. In the event of a decision of denial, a referral for appeals shall be attached, if such a decision can be appealed to the Higher Education Appeals Board.

If the investigation concerns a doctoral student who does not speak/understand Swedish, then the decision, written documentation, statements of opinion and referral for appeals must be translated.

## 2.10. Disciplinary measures

Chapter 10 of the Higher Education Ordinance contains provisions regarding student disciplinary measures. Notifications (according to Chapter 10, § 9 of the Higher Education Ordinance) are addressed to the President and sent to the Registrar.

In the case of an appeal, see Chapter 12, § 3 of the Higher Education Ordinance (the provision is reproduced here in Section 5).

## 2.11. Notification of suspected scientific misconduct

The Higher Education Ordinance contains the following provision:

**Chapter 1, § 16** A higher education institution that receives a complaint or becomes aware in some other way of suspected misconduct in research, artistic research or development work at the higher education institution shall investigate the suspicions.

During its investigation the higher education institution may request an opinion from the expert panel on research misconduct at Centrala etikprövningsnämnden (the Central Ethical Review Board).

If requested by the individual submitting a complaint about suspicion of misconduct or the subject of the complaint, the higher education institution shall request an opinion of this kind. No opinion need be requested, however, if the higher education institution considers it manifestly unnecessary. Ordinance (2014:1012).

A suspicion of misconduct in research involving the doctoral student's research work is handled in the manner specified in *KTH's Instructions on Misconduct in Scientific Activities*. If a doctoral student is suspected of having committed a disciplinary offense in her or his other studies, a notification of disciplinary measures may be considered, provided that the conditions set forth in Chapter 10 of the Higher Education Ordinance are met (see Section 2.10 above).

## 2.12. Expulsion

The Higher Education Act contains the following provisions:

**Chapter 4, § 6** The Government may issue regulations on the expulsion of students until further notice in cases where the student:

1. suffers from a mental disorder,
2. abuses alcohol or drugs, or
3. has been found guilty of a serious crime.

A further requirement for expulsion is that a palpable risk is considered to exist that in consequence of the circumstances set out in 1-3 above the student can harm another person or damage valuable property during her or his studies.

**Chapter 4, § 7** A board for the higher education sector must hear issues relating to expulsion. The chair of the board must be a lawyer and have experience of acting as a judge.

Students and higher education institutions may appeal to the general administrative courts against expulsion decisions taken by the board.

Leave to appeal is required before appeal may be made to the Administrative Court of Appeal.

At the request of the expellee, decisions relating to expulsion must be reviewed after two years. Act (1996:555).

These provisions are supplemented by the Regulation (2007:989) on the Expulsion of Students from Higher Education. Under § 7 of that regulation, the President, or a person deputized by said President, shall provide a written notification of expulsion to the university's Expulsion Board (which is an independent authority).

### **3. The examination of courses**

#### **3.1. The grading system for courses**

The Higher Education Ordinance contains the following provision:

<p><b>Chapter 6, § 32</b> Examinations that form part of third-cycle courses and study programs 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). Ordinance (2010:1064).</p>
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The grades Pass (P) and Fail (F) are given for third cycle courses and shall be indicated in the course syllabi.

#### **3.2. The appointment of examiners**

An examiner must be appointed for each course. The person who is employed at a rate of at least 20% of full-time at KTH as a professor, visiting professor, adjunct professor, lecturer, assistant lecturer or associate professor and whose employment lasts at least until the time of examination may be appointed as an examiner.

Decisions are rendered by heads of school (this responsibility may be subdelegated to the Director of Third Cycle Studies). The examiner for a given course must be stated in the course information or its equivalent, as well as on the exam or other documents used for examination.

## **4. Licentiate theses and doctoral theses**

### **4.1. Formalities and the review of licentiate theses and doctoral theses**

#### **4.1.1. Language**

The licentiate thesis/doctoral thesis (dissertation) is normally written in English. In individual cases, the Director of Third Cycle Studies may decide on another language. The summary should always be in both English and Swedish.

#### **4.1.2. Format, identifier and number of copies for print**

The licentiate thesis/doctoral thesis may be drawn up as a summary thesis (a collection of scientific publications/manuscripts published by the candidate, with an introduction and a summary of the included work). The publications/manuscripts included may be written by the individual doctoral student or in collaboration with others. If the publication/manuscript has several authors, the student's contribution must be clearly stated. The licentiate thesis and the doctoral thesis may also be written as a monograph (a relatively extensive, coherent scientific paper). In a monograph, earlier publications may be attached as appendices.

#### ***Identifiers for licentiate theses and doctoral theses***

The KTH Library provides information on which identifier e.g., ISBN, is applicable.

#### ***Number of printed copies***

The licentiate thesis/doctoral thesis must be printed in at least 30 copies.

#### **4.1.3. Making the thesis publicly available (nailing) and distribution**

The licentiate thesis/doctoral thesis must be available to the public at least three weeks prior to the licentiate seminar/public thesis defense. These three weeks must fall between January 7 – June 15 and August 15 - December 20.

The licentiate thesis/doctoral thesis shall be made available electronically in DiVA, as well as by submitting a printed copy to the KTH Library. This is called “nailing.” The thesis shall also be made available according to the distribution list and in the manner (electronic or printed product) decided upon by the Director of Third Cycle Studies.

Notifications (spikblad) of the submission of a doctoral thesis have been discontinued at KTH. Information about a licentiate seminars/public thesis defenses and subjects at the third cycle/doctoral level shall be made available on the title page of the thesis and in the printing information sheet.

#### **4.1.4. Quality objectives**

KTH's quality objective is that a doctoral thesis should be of such a level of quality that substantial parts of it can be submitted for publication in a peer-reviewed scientific journal of good International quality, and that a licentiate thesis should be of such a level of quality that it can be included as part of a summary thesis/dissertation for a doctoral degree. Additional specified quality requirements/objectives may be found in the general study plan for the postgraduate/third cycle program subject in question.

#### **4.1.5. Supervisor review and plagiarism check**

The review of both the formalities and the scientific content of the licentiate thesis/doctoral thesis shall be continuously carried out by designated supervisors. The principal supervisor is responsible for conducting a plagiarism check once the manuscript is completed. Any deficiencies must be rectified before the manuscript is submitted for advance review.

#### **4.1.6. Mandatory advance review**

An advance reviewer should always examine the licentiate thesis/doctoral thesis, in order to assess whether it is ready for final examination. Sufficient time shall be set for this assignment.

The advance reviewer shall be

- (1) employed as a docent or have equivalent scientific competence and
- (2) competent within the subject in question (at the postgraduate/third cycle level).

Only individuals who fulfill the requirements stated in Section 4.4 may be designated as advance reviewers. The principal supervisor suggests who should be appointed as an advance reviewer. The Director of Third Cycle Studies appoints advance reviewers and sets the schedule for such assignments.

## **4.2. Licentiate seminars and the grading of licentiate theses**

### **4.2.1. Announcement of the presentation of a licentiate thesis**

Licentiate seminars are held between January 7 – June 15 and August 15 – December 20. An announcement of the presentation of a licentiate thesis for examination at a seminar must be made at least five weeks before the planned date of the licentiate seminar. These five weeks must fall within the limits of the above dates. The Director of Third Cycle Studies may determine another time for the announcement, but it must never occur less than five weeks prior to the planned date of the licentiate seminar. The announcement is made using the form “Announcement: Licentiate Seminar.”

### **4.2.2. Proposing special reviewers**

The licentiate thesis shall be reviewed by a special reviewer who acts as an opponent at the licentiate seminar. The special reviewer shall possess a doctorate degree and should have scientific competence equivalent to that of an associate professor. The principal supervisor proposes a special reviewer and an examiner for the licentiate thesis. The reviewer must be recruited from outside KTH, and should be an eminent researcher within the subject area in question.

### **4.2.3. Decisions regarding the time and place of a licentiate seminar and the appointment of a special reviewer and examiner**

The Director of Third Cycle Studies determines the time and place of the licentiate seminar and appoints a special reviewer and an examiner for the licentiate thesis (see section 3.2. above regarding examiners). Before a decision is made, the relevant rules on disqualification must be taken into account; see Section 4.4. and §§ 16-18 of the Administrative Procedure Act.

The Director of Third Cycle Studies is responsible for ensuring that information about a licentiate seminar is distributed to interested parties and published in the official KTH calendar. The principal supervisor is responsible for the distribution of the licentiate thesis according to the approved distribution list.

#### 4.2.4. The grading of licentiate theses

Licentiate theses may be awarded a grade of Pass or Fail, and these grades are determined by the examiner(s).

### 4.3. Public thesis defenses and the grading of doctoral theses

The Higher Education Ordinance contains the following provisions:

**Chapter 6, § 33** The qualification descriptors for PhD'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. Ordinance (2010:1064).

**Chapter 6, 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).

**Chapter 6, 35 §** A higher education institution may issue regulations on the grading system to be used and on public defenses and grading in other respects. Ordinance (2010:1064).

#### 4.3.1. Announcement of a public thesis defense

Public thesis defenses are held between January 7 – June 15 and August 15 – December 20. The announcement of the public thesis defense must be made at least five weeks before the scheduled date of the public thesis defense. These five weeks must fall within the limits of the above dates. The Director of Third Cycle Studies may determine another time for the announcement, but it must never occur less than five weeks prior to the planned date of the public thesis defense. The announcement is made using the form “Announcement: Public Thesis Defense.”

#### 4.3.2. Proposing opponents, chairpersons for public thesis defenses, members of grading committees

The principal supervisor makes proposals for opponents, chairpersons for public thesis defenses, members of grading committees. Applicable rules on disqualification shall be taken into account; see Section 4.4 and §§ 16-18 of the Administrative Procedure Act.

##### *Opponent*

The opponent shall possess a doctorate degree and must have scientific competence equivalent to that of a docent. The opponent must be recruited from outside KTH, and should be an internationally eminent researcher within the subject area in question.

The principal supervisor is responsible for ensuring that the opponent is provided with detailed information about the thesis and its design, as well as the progress of the thesis defense.

If the appointed opponent is prevented from fulfilling her/his duties and must withdraw with short notice, an external (to be chosen from outside KTH) member of the grading committee may be appointed to serve as the opponent. This decision is made by the Director of Third Cycle Studies.

##### *Chairperson for the public thesis defense*

The chairperson should be an experienced teacher and not one of the doctoral student's supervisors.

### *Grading committee*

The grade awarded to a doctoral thesis shall be determined by a grading committee appointed for each individual thesis. The grading committee shall consist of three or five ordinary members, of which at least three members are sourced from outside of KTH. Women and men shall be equally represented, unless special reasons prevent this (any such reasons must be presented as an annex to the decision). A substitute member must always be appointed; this person may be active at KTH. The advance reviewer may be designated as a substitute. Exceptions to the rule regarding the sourcing of at least three members from outside KTH may only be made in cases in which the substitute is called upon to participate in the grading committee. See also Section 4.4., regarding conflicts of interest.

Requirements for members of the grading committee:

1. Each member shall possess a doctoral degree, and a majority of the members shall possess docent competence.
2. At least one member shall have good knowledge of Swedish doctoral education, the examination process, and the degree description for a doctorate, as described in Appendix 2 to the Higher Education Ordinance.

The members of the grading committee must attend the public thesis defense.

#### **4.3.3. Decisions regarding the time and place of the public thesis defense and the opponent, grading committee, and chairperson of the thesis defense**

The Director of Third Cycle Studies determines the time and place of the thesis defense and appoints the opponent, members of the grading committee, and chairperson of the thesis defense. Before a decision is made, the relevant rules on disqualification must be taken into account; see Section 4.4. and §§ 16-18 of the Administrative Procedure Act.

The Director of Third Cycle Studies is responsible for ensuring that information about a public thesis defense is distributed to interested parties and published in the official KTH calendar. The principal supervisor is responsible for the distribution of the thesis/dissertation according to the approved distribution list.

#### **4.3.4. Description of the public thesis defense**

The thesis defense is open to the public. The doctoral student's principal supervisor shall be present at the public defense, unless special reasons prevent her/him from fulfilling this obligation. The public thesis defense is conducted in the following order:

##### *Chairperson for the public thesis defense*

The chairperson opens the public thesis defense session. The chairperson is responsible for ensuring that the doctoral student (respondent), the opponent and the grading committee are provided with the necessary conditions for a well-executed presentation and opposition. The chairperson shall provide a form for the grading committee's minutes to the grading committee. The chairperson should also ensure that the minutes can be delivered directly to the school office upon conclusion of the session.

The chairperson presents the respondent and the opponent. The chairperson describes where the research has been conducted and which other person(s) has/have participated in the project in addition to the respondent. The chairperson closes the introduction by informing those present that they will be provided with the opportunity to ask questions following the opponent's examination.

### *Doctoral student (respondent)*

The doctoral student is given the opportunity to comment on any formal errors in the thesis. The doctoral student or the opponent provides a brief summary of the thesis. This summary shall include, inter alia, problems, achievements and the scientific and societal relevance of the results. The summary regards the thesis in question and may not constitute a lecture on current research problems in the doctoral student's field of research. If the opponent summarizes the thesis, the doctoral student is given the opportunity to comment and to supplement this summary.

### *Opponent*

The opponent discusses the thesis with the doctoral student and asks questions that primarily concern the work and the area described in the thesis. The opponent's examination is completed once the opponent has exhausted her/his line of questioning. During this part of the public thesis defense, the audience may not participate in the discussion.

### *Chairperson for the public thesis defense*

Once the opponent's examination has been completed, the chairperson asks the members of the grading committee to discuss such issues that the members think require further elucidation with the doctoral student. Thereafter, other persons in attendance are given the opportunity to ask questions and/or comment on the thesis. The principal supervisor, the opponent and the doctoral student have the right to participate in the discussion that may ensue.

The chairperson concludes the public thesis defense, which normally lasts about 2-3 hours.

#### **4.3.5. The grading committee's decision regarding the grade awarded for the thesis/dissertation**

The grading committee must meet as soon as possible after the public thesis defense. The members of the grading committee shall appoint one of the members to act as chairperson. The opponent and the principal supervisor (among others) must be available at the meeting of the grading committee. The grading committee determines which of these parties have the right attend and to speak at the meeting. The opponent must provide an oral opinion on the thesis.

The meeting of the grading committee and its decision regarding the grade awarded to a thesis shall be documented in a protocol which shall be immediately adjusted by all members of the grading committee. A grade of Pass or Fail may be awarded. When it comes to this decision, the opinion of the majority shall apply. In the event of a tie, the chairperson's opinion shall determine the grade. Anyone who disagrees with the final decision may make her/his reservations known by submitting a note of dissenting opinion. This dissenting opinion shall be reported in the form of a separate document appended to the protocol. All those who do not report a dissenting opinion are considered to be in support of the decision. Whosoever contributes in the final processing of the thesis defense without taking part in the decision has the right to have her/his dissenting opinion recorded.

#### **4.4. The handling of conflict of interest issues in connection with examination**

In order to avoid conflicts of interest in connection with a public thesis defense or the presentation of a licentiate thesis, the grading committee, opponent, special reviewer and advance reviewer must be completely independent of the doctoral student, her/his supervisor(s) and the project. In these cases, the following two levels of conflict of interest apply:

Level 1. Conditions that must not exist:

- That the proposed person has been in a doctoral student/supervisor relationship with the principal supervisor within the past five years.
- That there is some form of kinship or close personal relationship between the proposed person and the principal supervisor or the respondent.

Level 2. Conditions which should be avoided and which must be reported in connection with the for a public thesis defense:

- That the proposed person has engaged in scientific co-production with the principal supervisor or the respondent with the last five years.
- That the proposed person has participated in a joint research project with the principal supervisor or the respondent with the last five years.

See also the disqualification provisions set forth in §§ 16-18 of the Administrative Procedure Act.

#### **4.5. Degree certificates (diplomas)**

The Higher Education Ordinance contains, inter alia, the following provisions:

**Chapter 6, § 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 § 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 programs have been completed.

A translation of the title of the qualification to one or several languages may be included in the certificate. Ordinance (2011:687).

**Chapter 6, § 10 a** A certificate shall be accompanied by a

1. diploma supplement that describes the study program and its place in the educational system, and
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 § 4 of the Ordinance on admission to programs 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 Council for Higher Education may issue more detailed specifications of the contents of a diploma supplement as laid down in item 1 above. Ordinance (2012:712).

The degree certificate shall also specify the third-cycle subject, any specialization within this area, and the title of the thesis/dissertation. The degree certificate must be bilingual (Swedish/English).

## 5. Appeals and the rectification and amendment of decisions

### 5.1. The rectification and amendment of decisions

§§ 36-39 of the Administrative Procedure Act provide for the rectification of typos and the amendment of decisions.

### 5.2. Appeals

The Higher Education Ordinance contains, inter alia, the following provisions:

**Chapter 12, § 2** Appeals may be made to the Higher Education Appeals Board against the following decisions of a higher education institution:

1. a decision relating to employment at a higher education institution, with the exception of a decision on employment as a doctoral student or as a lecturer in a promotion pursuant to Chapter 4, § 12 c,
2. Decisions under Chapter 4, § 13 to refuse an application for promotion,
3. a decision that an applicant does not meet the general entry requirements for admission to first or second cycle higher education courses and study programs and a decision not to grant an exemption from the general entry requirements for admission in cases referred to in the second sentence of § 3 or the second paragraph of § 28 of Chapter 7,
4. a decision on the transfer of credits for courses and study programs or professional or vocational activities,
5. rejection of a student's application for exemption from a compulsory element of a course or study program,
6. a decision to withdraw study resources from a doctoral student pursuant to § 30 of Chapter 6 and a decision that a student is not to recover these resources pursuant to § 31 of Chapter 6,
7. rejection of a student's request to be issued with a degree certificate or a course certificate, and
8. a decision not to allow those admitted to first or second cycle courses and study programs to defer commencement of their studies or to continue their studies after an approved period of leave. Ordinance (2017:844).

**Chapter 12, § 3** of § 40 of the Administrative Procedure Act (2017:900) contains provisions on appeals to the general administrative court. However, decisions by a Disciplinary Board other than decisions on suspension and warnings may not be appealed. Ordinance (2018:957).

**Chapter 12, § 4** Appeals against decisions by a higher education institution on matters other than those laid down in this chapter may only be made if permitted by a statute other than the Administrative Procedure Act (2017:900). Ordinance (2018:957).

The manner in which decisions are appealed is set out in §§ 40-44 of the Administrative Procedure Act. If a decision is subject to appeal, a referral regarding appeals should be provided with information on how to appeal against the decision.

A written appeal shall be lodged with the Higher Education Appeals Board, but is to be sent to the KTH Registrar, Brinellvägen 8 100 44.

Pursuant to § 45 of the Administrative Procedure Act (2017:900), KTH shall examine whether the appeal has submitted in time. If the appeal has been received too late, KTH will decide to reject the appeal. When an expulsion decision is subject to appeal, the decision must be accompanied by a referral for appeal.

If the appeal is deemed admissible, then the appeal, together with copies of the other documents in the case and any statement of opinion from KTH, must be submitted to the Higher Education Appeals Board within one week.

A decision by the Higher Education Appeals Board may not be appealed.