



Faculty Board of Health, Science and Technology

# Policy

## **Regulations on doctoral thesis and public defence procedures**

**HNT 2019/229**  
(Earlier HNT 2016/225)

### **1. Thesis format**

- 1.1 The doctoral thesis can either be a single-topic scholarly study (monograph) or a collection of previously published academic papers with an introductory chapter (compilation thesis).
- 1.2 If a doctoral thesis is authored by more than one person, the individual contributions must be clearly indicated in order to be recognised as a person's doctoral thesis. To this end, the supervisor and each doctoral candidate sign an account of contributions to be included in the thesis and to serve as a guide for the external reviewer, examining committee and the public.
- 1.3 Upon assessment of a compilation thesis, the doctoral candidate's contributions shall be clearly distinguishable from other persons' contributions to the academic papers. An account of contributions must be included in the thesis.
- 1.4 A doctoral thesis shall be written in Swedish, Danish, Norwegian, English, French, or German. A doctoral thesis that has not been written in English, French, or German shall include a summary in one of these languages.
- 1.5 A doctoral thesis shall include a brief abstract in English, not exceeding 2 000 characters, including spaces.

### **2. Duplication of thesis**

At the latest three weeks before the public defence, the respondent shall deliver 5 copies of the doctoral thesis to the University Library if the thesis is published electronically. If the thesis is not published electronically, 10 copies shall be delivered to the University Library. A receipt is issued on delivery that is submitted to the relevant Faculty Office together with a copy of the doctoral thesis.

The discipline concerned shall distribute copies of the doctoral thesis to other relevant departments in the country at own cost.

The Faculty Board recommends electronic publication instead of distributing hard copies to other departments.

### **3. Time, place, notification**

- 3.1 Before the doctoral thesis is made public, it shall be reviewed, in its preliminary form, by a qualified academic assessor who has not been directly involved in supervising the candidate.

The Association of Swedish Higher Education's recommendations 2011:3 shall be taken into account during the preliminary review.

Six weeks before the public defence at the latest, the examiner must notify the Dean of the public defence and propose the names of the chair of the proceedings, the external reviewer and members of the examination committee, information on the preliminary reviewer, as well as the requested *spikning* time (notification of the date of the public defence). The chair should not have been one of the doctoral candidate's supervisors.

- 3.2 The public defence shall take place during the academic semester with the exceptions of the period 22 December to 10 January and the Saturday before Midsummer to the start of the autumn semester.
- 3.3 The Dean decides on the time and place and appoints the external reviewer, the examination committee, and the chair of proceedings.
- 3.4 Three weeks before the public defence at the latest, the time and place of the public defence shall be announced on the University noticeboard and the thesis made publicly available (nailed to the board). The periods from the Friday before Midsummer to 15 August and from 24 December to 6 January cannot be included in the three-week notification period required before the public defence takes place.
- 3.5 The Dean may allow a shorter notification period in case of acute and verified illness or other special circumstances. Examples of time limits: public notification must be made at the latest on 25 May for public defence scheduled for 15–18 June, 10 June for public defence scheduled on 1 September, 16 August for public defence scheduled on 6 September, 6 December for public defence scheduled on 10 January.

### **4. Accessibility of the thesis**

- 4.1 At the time of notification, the thesis must be duplicated and be available at the University in the number of copies necessary to enable the academic community and the public to read the thesis before the public defence.
- 4.2 At the same time, the thesis must be distributed to every higher education department in Sweden in the field of the thesis and to the libraries at such higher education institutions.

### **5. Public Defence**

- 5.1 The public defence is an open event and is chaired by a person appointed by the Dean.
- 5.2 There shall be an external reviewer appointed by the Dean at the public defence.
- 5.3 Members of the audience have the right to ask the respondent questions in the order indicated by the chair.

**6. External reviewer**

The external reviewer shall at least be a docent (associate professor/reader) unless there are special circumstances, be a specialist in the field, and shall not be employed at Karlstad University. If there are special circumstances, these must be justified.

**7. Assessment and examination committee**

7.1 One of the grades Fail or Pass shall be awarded in the examination of the doctoral thesis, assessed on the basis of the quality of the thesis and its defence.

7.2 The examination committee, specially appointed for each thesis, decides on the grade to be awarded.

**8. Composition of examination committee**

8.1 The examination committee shall have three or five members. The Dean decides on the number of members and their appointment. Substitute members may be appointed.

8.2 The members of the committee shall at least be docents (associate professors/readers). In special circumstances, one member who does not meet this requirement may be appointed.

8.3 Unless there are special circumstances, a majority of the members shall be recruited outside of the circle of subject colleagues to which the candidate belongs at Karlstad University. At least one of the members shall be recruited from the discipline at another university.

8.4 The supervisor cannot be a member of the committee and the chair of the proceedings should not be a member of the committee.

8.5 The University's gender equality guidelines shall be taken into account in the appointment of the examination committee.

**9. Examination committee meeting and decision**

9.1 After the public defence, the examination committee decides on the grade. The chair of proceedings, external reviewer and main supervisor are present at the meeting, but do not partake in the decision. The assistant supervisor may also be present, if deemed appropriate.

9.2 The committee elects one member to chair the meeting.

9.3 The committee can take a decision if all members are present. The decision applies that a majority of members agree on. If the thesis is awarded a Pass grade by majority decision, a member is entitled to have a dissenting opinion noted in the minutes without specifying the reason for this. The committee's minutes do not contain any motivation for the committee's or individual member's positions regarding the approval of the thesis.

9.4 Should the thesis fail, the committee shall motivate their decision and a member has the right to have a dissenting opinion noted in the minutes and the reasons for this opinion.

**10. Recording of the grade**

The completed assessment form for the doctoral thesis and public defence is given to the administrator who records the grade in the Ladok registry before it is submitted to the Faculty Office.