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Instructions for the Production of Doctoral and Licentiate Theses

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These guidelines summarise the most important provisions in the legislation, implementing regulations and other decisions concerning the public defence of doctoral theses at the Faculty of Educational Sciences. The major governance documents in this connection are the *Higher Education Ordinance*, Chapter 5 (Employment as a doctoral student), Chapter 6 (Courses and study programmes) and Chapter 7 (Admission to courses and study programmes); *Guidelines for Doctoral Studies at Uppsala University* (UFV 2022/728); and *Admission and Grading Regulations for Doctoral Studies at Uppsala University* (UFV 2022/729).

Doctoral/licentiate students wishing for further information when preparing for a doctoral defence/licentiate seminar are kindly requested to contact the doctoral studies administrator at the Department of Education and to consult the University's home page for theses.

1 Public presentations and final review

Doctoral thesis

Doctoral students must present their thesis as a work in progress at at least three public seminars. The first should occur in the planning phase and the second roughly halfway through the writing of the thesis. The third seminar, the final review, should be held during the final stages of work on the thesis, when the entire thesis is reviewed before it is registered for public defence and the faculty board appoints the external reviewer and examining committee. Both at the public presentation halfway through the work on the thesis and at the final review, the thesis is to be reviewed by a specially enlisted external expert.

Doctoral students admitted to a later part of a doctoral programme following a licentiate degree must present their draft publicly at a planning seminar and at a final review.

After the final review, the supervisors, reviewer and doctoral student discuss corrections that should be made in the manuscript. The doctoral student should then make revisions in response to the comments that have been made on both form and content, in consultation with the supervisor. If very extensive criticisms have been expressed at the final review, an additional open seminar can be organised at which the final draft is reviewed once more. In conjunction with the final review, a reading/editorial team should be appointed (consisting of two employees at the department with doctoral degrees) who will read through the revised draft and make comments before the thesis goes to the printers.

The reviewer at the seminars must not have been the doctoral student's supervisor, nor must they be the external reviewer or a member of the examining committee at the doctoral defence. This also applies to a licentiate thesis.

Licentiate thesis

A licentiate thesis must be publicly presented at least twice, once in a planning phase and a second time at a final review. At the final review, the thesis is to be reviewed by an external expert.

After the final review, the supervisors, reviewer and licentiate student discuss corrections that should be made in the manuscript. The licentiate student should then make revisions in response to the comments that have been made on both form and content, in consultation with the supervisor. If the external expert and/or the supervisor considers that very extensive criticisms have been expressed at the final review, an additional open seminar can be organised at which the final draft is reviewed once more before the thesis is submitted for printing.

2 Public defence

Doctoral thesis

The basic rule at the Faculty of Educational Sciences is that the public defence of a

doctoral thesis takes place on campus and that both the external reviewer (opponent) and all members of the examining committee participate in person. In special cases, the dean may also permit remote participation via a link. If remote participation is involved, the department must ensure that this can take place fairly using reliable technical arrangements.

The dean decides on the chair, external reviewer, examining committee and time and venue for the doctoral defence, acting on a proposal from the head of department. A proposal should be sent to the Faculty Board at least three months in advance on a special form (see the Faculty's home page). In connection with this, the principal supervisor ensures that the venue is booked before the proposal is sent to the Faculty Board.

Licentiate seminar

The head of department decides on the external reviewer, examining committee and time and venue for the seminar, acting on a proposal from the principal supervisor. A proposal should be sent to the head of department at least two months before the seminar takes place. The principal supervisor is to book the venue before sending the proposal to the head of department.

The licentiate thesis must be made available in printed form at least three weeks before the seminar. It is the responsibility of the author of a licentiate thesis to find out the specific requirements and time limits that apply to theses included in specific publication series.

Chair and external reviewer (opponent)

Doctoral defence

The chair of the defence ceremony should be a member of the academic staff at the Faculty of Educational Sciences. Normally, the principal supervisor should be the chair.

The external reviewer should normally be a docent or have equivalent qualifications. Great weight must also be given to expertise in the field addressed by the doctoral thesis. The external reviewer must not be engaged at the Faculty of Educational Sciences at Uppsala University. The person appointed as external reviewer must not have played a significant role in the production of the thesis, for example by being the external expert at the final review or by having co-authored publications with the author of the thesis.

If an external reviewer or a member of the examining committee preparing for a licentiate seminar or a doctoral defence finds shortcomings in the thesis that are so serious that they are concerned that the thesis may fail, they must inform the dean and the chair of this as soon as possible. It is the responsibility of the principal supervisor to inform the members of the examining committee about this.

Licentiate seminar

The external reviewer of a licentiate thesis must at least hold a doctoral degree. Great weight must also be given to expertise in the field addressed by the thesis. The external reviewer

must not be engaged at the Faculty of Educational Sciences at Uppsala University. The person appointed as external reviewer must not have played a significant role in the production of the thesis, for example by being the external expert at the final review.

Examining committee

Doctoral defence

The examining committee must consist of three members. A reserve member of the examining committee must be appointed and as a majority of the members are not allowed to come from the doctoral student's department, the reserve should be external.

One of the members should be chosen from the academic staff at the Faculty and the other members should be selected from the academic staff at another faculty or another higher education institution. At least one of the members must come from another higher education institution. The members of the examining committee should normally represent different legal genders. If this goal cannot be achieved, the principal supervisor must present an explanation for this to the Faculty Board.

The members of the examining committee must be docents or have equivalent qualifications. A person who has been a principal supervisor or assistant supervisor of the doctoral student may not be on the examining committee. People who have contributed significantly to the final shape of the thesis must not be on the examining committee. If these goals cannot be achieved, the principal supervisor must present an explanation for this to the Faculty Board.

Licentiate seminar

For licentiate theses, an examining committee is to be appointed consisting of three members from or outside the department who have doctoral degrees. The examining committee selects one of its members as chair. According to Uppsala University's central guidelines, a reserve should also be appointed to the examining committee (UFV 2022/728). Members of the examining committee must not have contributed significantly to the content and form of the thesis.

3 Doctoral thesis

Doctoral theses can take the form either of a unified, cohesive work (a monograph thesis) or a compilation of scholarly papers with an introductory chapter (a compilation thesis). The various contributions in a compilation thesis must together demonstrate "advanced and up-to-date specialised knowledge in a limited area of the field of research" (Higher Education Ordinance, Annex 1: System of Qualifications). If it is not possible to distinguish the independent contributions of the authors of co-authored papers from the papers themselves, this must be clarified in the introductory chapter in order to make it possible to assess the contributions made by the doctoral student or licentiate student.

A doctoral thesis may be written in Swedish, English, Danish, Norwegian, French or German. The Faculty of Educational Sciences Faculty Board may also decide to allow the thesis to be written in another language. The doctoral thesis must have a summary in English. Theses in a language other than Swedish must have a summary in Swedish. A brief account of the contents of the thesis, written in English, must be attached to the thesis (an abstract). This together with information about the public defence of the doctoral thesis constitutes the ‘posting page’ (the notification of submission of the doctoral thesis), which must be published electronically on the University’s home page. For additional information about templates and other matters, see Uppsala University’s Staff Portal.

The doctoral student must contact Thesis Production to plan the publication process at least 14 weeks before the defence. Information is available on the Uppsala University Staff Portal.

If the thesis is being published by a publishing house or is part of a thesis series published jointly with another university or by a foreign publishing house or in a foreign thesis series, the doctoral student should personally contact the publisher. Information is available on the Uppsala University Staff Portal and on the Faculty’s home page on the Staff Portal.

The doctoral student and the Department of Education, represented by the head of department, enter into an agreement on the printing of the thesis. The doctoral student may not enter into any binding agreement on printing with a printing company before the head of department has approved the quotation and signed the agreement.

The guidelines in this section also apply to licentiate theses.

4 Publication grant and other costs

The Faculty of Educational Sciences Faculty Board reimburses production costs for an edition of a maximum of 150 copies.

After the principal supervisor has recommended printing, an agreement is drawn up between the department and the doctoral student, in which the department commits itself to be the party ordering and responsible for paying for the production cost of the doctoral or licentiate thesis, up to an amount determined by the Faculty Board.

The author does not have the right to sell any copies of the thesis paid for by a grant from the department.

5. Number of copies and distribution of the thesis

The minimum edition is 120 copies. The required number of copies of the thesis (see below) must be available at Uppsala University Library at least three weeks before the defence.

The thesis must be available at all Swedish departments that conduct doctoral education in the field to which the subject of the thesis belongs at least two weeks before the defence. It is the responsibility of the department to draw up a list of departments that should generally receive a copy of the thesis.

The author must deliver 10 copies of the thesis to the University Library at least three weeks before the defence, and this is also the latest possible date for the posting of the thesis. Authors of monographs published in the Acta series should contact Thesis Production to find out what applies to the series concerned.

Fifteen copies of the thesis are department copies and are to be delivered to the doctoral studies administrator. The author must also distribute the thesis as directed in a list drawn up by the department.

The author of the thesis can choose to make a number of copies of the thesis available at the defence. The remaining copies can be distributed to participants in the author's own research seminar or to colleagues in the field at other universities in and beyond Scandinavia, or used by the author personally.

The author of a doctoral thesis must contact the doctoral studies administrator at the department well in advance of the posting of the thesis to obtain necessary information clarifying the distribution procedures.

The guidelines in this section concerning the period of availability also apply to licentiate theses, except that two copies of the thesis rather than ten are to be delivered to the University Library. Five copies of the thesis are department copies. When a student has been admitted with a licentiate degree as the final objective, the licentiate thesis should be published with open access in the University's publishing platform.

6 Posting, period of availability and venue for the defence

The time and venue for the public defence of a doctoral thesis are announced by electronic posting (compulsory) and traditional posting of the thesis in the University Main Building (optional) at least three weeks before the defence. Licentiate theses can be posted in the Uppsala University Library premises in Blåsenhus and the licentiate seminar must be announced on the department home page at least three weeks before the seminar is held.

No postings or defences are allowed between 15 June and 15 August. This means that anyone wishing to defend their thesis between 16 August and the beginning of the autumn semester needs to post the thesis before the summer recess. Further information about electronic posting is available on Uppsala University's Staff Portal.

The guidelines in this section also apply to licentiate theses.

7 The defence ceremony

The defence can only begin if all members of the examining committee are present. The defence is led by the chair in the presence of the entire examining committee. It proceeds as follows:

- The ceremony begins with the chair introducing the author of the thesis, the title of the thesis, the research subject, the external reviewer and the members of the examining committee.
- The chair declares the defence ceremony open.
- The chair gives the floor to the author of the thesis, who has the opportunity to announce any corrections and amendments (*errata*).
- The external reviewer gives a summary of the thesis and the author states whether the contents have been understood correctly.
- After this, the actual defence begins. This can vary in form and scope, but must comprise a critical review and examination of the scholarly findings of the thesis presented. It consists of a dialogue between the external reviewer and the author, in which the external reviewer makes critical comments on the thesis and the author responds to the criticism. At the end of this examination and discussion, the external reviewer delivers an overall opinion of the thesis. However, the external reviewer does not express an opinion on the grade for the thesis.
- After the external reviewer has completed the review and the examining committee has been given an opportunity to ask questions, the chair opens the floor to the public, upon which anyone who wishes has the right to comment on the thesis, in the order determined by the chair. The author of the thesis responds to any comments made.
- The chair declares the defence ceremony closed.

There is no maximum duration for a doctoral defence, a point that should be considered when booking the venue for the defence. It is desirable for the external reviewer to give the supervisor advance notice of how long they expect their critical review and discussion of the thesis to take.

The guidelines in this section also apply to licentiate seminars.

8 Meeting of the examining committee

When the examining committee begins its deliberations after the defence, the committee chooses one of its members as chair. All members must be present for the examining committee to be quorate. The person chosen to chair the examining committee is responsible for ensuring that the committee's decision is conveyed to the author of the thesis.

The external reviewer, principal supervisor and assistant supervisor are entitled to participate in meetings of the examining committee and in its deliberations but not in its decision.

A designated reserve member is not permitted to participate in the examining committee's meeting unless the ordinary member is absent.

A doctoral thesis will receive one of two grades: fail or pass. When deciding on the grade, the committee must consider both the contents of the thesis and the defence of the thesis.

The opinion on which the majority agrees will constitute the committee's decision. The examining committee is quorate when all members are present. The opinion on which the majority agrees will constitute the committee's decision. If a member of the examining committee has expressed a reservation against the decision of the majority, a dissenting opinion is to be noted in the minutes or other decision document, but not on the degree certificate. The examining committee decides whether to give reasons for its decision. Any such explanatory statement is to be attached to the minutes, but not to the degree certificate.

If criticisms of such an extraordinary nature are expressed at the defence that the examining committee finds it necessary to undertake special inquiries or checks before making a decision, the committee may adjourn its meeting for this reason.

After the examining committee has concluded its meeting, the grade for the thesis must be reported to the Vice-Chancellor. This is done by sending the minutes of the examining committee's meeting, signed by the members of the committee, to the doctoral studies administrator for forwarding to the Faculty of Educational Sciences Faculty Board. The chair of the defence ceremony is responsible for ensuring that this report is made.

If the thesis or the doctoral student's ability to defend the thesis has been failed at a doctoral defence, another defence can be held provided that the thesis or the doctoral student's ability to defend the thesis has been substantially improved.

The guidelines in this section also apply to licentiate seminars.

9 Fees and reimbursement of external reviewer

The external reviewer's fee is paid by arrangement of the department concerned. The external reviewer is also reimbursed for travel, board and lodging in connection with the defence. The members of the examining committee are reimbursed for travel and accommodation expenses, if they are not employed at Uppsala University.

10 Doctoral degree

A doctoral degree is awarded by the Vice-Chancellor upon application by the student. For the doctoral degree to be awarded, the doctoral student must have passed the courses included in their doctoral programme and have received a pass grade for their doctoral thesis. Applications for a doctoral degree are made using a special form (see www.uu.se).

The guidelines in this section also apply to licentiate seminars.