

Rules for doctoral education at Karolinska Institutet

Ref 1-458/2016



**Karolinska
Institutet**

Introduction

Doctoral education is regulated by the Higher Education Ordinance and by local regulations decided by Karolinska Institutet (KI). This document is a compilation of the national and of the local regulations. The document is updated according to existing regulations.

The latest version of this document is always published on Karolinska Institutet's website, <http://internwebben.ki.se/en/doctoral-education>. On that website, all kinds of information regarding doctoral education at KI is found. For general information about doctoral education in Sweden, please visit the Swedish Higher Education Authority's websites and Swedish Council for Higher Education's website *studera.nu/doctoral studies*.

This document replaces earlier version of Rules for doctoral education, ref.: 1-133/2013.

This is a translation of the Swedish version. In the event of any discrepancy, the Swedish version of this document has preferential interpretation.

Relevant chapters from the Higher Education Ordinance are cited in this document. Please take a look at the Swedish Council for Higher Education's website for the latest version of the Ordinance in English.

Updates

Updates since the last version 2015-07-01

Section	Updates	Decision
6.1	A passing score on the web course for supervisors cannot be older than 5 years prior to accepting a new doctoral student	FUS ¹ 2015-11-09, §8 Dean's decision 2016:5
7.2.2	Changed rule regarding the number of published papers in a doctoral thesis.	FUS 2016-02-01, §15 Dean's decision 2016:19
8	The section regarding doctoral grants is deleted since that is no longer an option at KI	Vice-chancellor's decision ref. no: 1-15/2015
8.3	New regulations for scholarships at Karolinska Institutet applies from 2016-06-01 A paragraph is added regarding insurances for doctoral students with scholarships	Vice-chancellor's decision ref. no: 1-728/2015 Higher Education Ordinance

Editorial changes:

Section	Changes
4.3	The section regarding credit transfer is moved from chapter 3 "Courses" to chapter 4 "General syllabus".
7.2.2	The different paragraphs are written in another order than earlier for better structure and understanding.
8	The chapter has a new heading which better suits the content; "Financial support for the doctoral student" instead of "Study funding".
Through-out	The Swedish word <i>mål</i> is now translated throughout the document with "outcomes" instead of the earlier "objectives", in agreement with the official translation of the Higher Education Ordinance.

¹ FUS = Board of doctoral education

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1 Doctoral Education at Karolinska Institutet

Karolinska Institutet's (KI) mission is to contribute to the improvement of human health through education and research. KI strives to carry out high quality, innovative research with the highest possible international impact. This commitment shall also permeate doctoral education.

1.1 Aim

The aim of doctoral education at KI is to advance knowledge in the subject of **medical science** and contribute to societal development within this field. Doctoral education should, therefore, provide a broad base and prepare students for research and other work, both within academia and in society as a whole.

After taking a licentiate degree or doctorate, our graduates may continue their careers within research, as combined researchers and teachers in higher education, as managers with research expertise in industry or healthcare, as scientific journalists or consultants, etc.

1.2 Outcomes of doctoral education

After completing their doctoral education at KI, our graduates will possess a high general expertise in medical science and scientific methodology, as well as cutting edge scientific expertise in the research area covered by their thesis.

See below the outcomes for doctoral education as specified in the Higher Education Ordinance.

1.2.1 Outcomes for the Degree of Doctor

Higher Education Ordinance – Appendix 2 - Qualifications ordinance

Knowledge and understanding

For the doctoral degree, the doctoral student shall

- demonstrate broad knowledge and systematic understanding of the research field as well as advanced and up-to-date specialised knowledge in a limited area of this field, and
- demonstrate familiarity with research methodology in general and the methods of the specific field of research in particular.

Competence and skills

For the doctoral degree, the doctoral student shall

- demonstrate the capacity for scholarly analysis and synthesis as well as review and assess new and complex phenomena, issues and situations autonomously and critically,
- demonstrate the ability to identify and formulate issues with scholarly precision critically, autonomously and creatively, and to plan and use appropriate methods to undertake research and other qualified tasks within predetermined time frames and to review and evaluate such work,
- demonstrate through a dissertation the ability to make a significant contribution to the formation of knowledge through his or her own research,
- demonstrate the ability in both national and international contexts to present and discuss research and research findings authoritatively in speech and writing and in dialogue with the academic community and society in general,
- demonstrate the ability to identify the need for further knowledge, and
- demonstrate the capacity to contribute to social development and support the learning of others both through research and education and in some other qualified professional capacity.

Judgement and approach

For the doctoral degree, the doctoral student shall

- demonstrate intellectual autonomy and disciplinary rectitude as well as the ability to make assessments of research ethics, and
- demonstrate specialised insight into the possibilities and limitations of research, its role in society and the responsibility of the individual for how it is used.

1.2.2 Outcomes for the Degree of Licentiate

Higher Education Ordinance – Appendix 2 - Qualifications ordinance

Knowledge and understanding

For a licentiate degree, the doctoral student shall

- demonstrate knowledge and understanding in the field of research including current specialist knowledge in a limited area of this field as well as specialised knowledge of research methodology in general and the methods of the specific field of research in particular.

Competence and skills

For a licentiate degree, the doctoral student shall

- demonstrate the ability to identify and formulate issues with scholarly precision critically, autonomously and creatively, and plan and use appropriate methods to undertake a limited piece of research and other qualified tasks within predetermined time frames in order to contribute to the formation of knowledge as well as to evaluate this work,
- demonstrate the ability in both national and international contexts to present and discuss research and research findings in speech and writing and in dialogue with the academic community and society in general, and
- demonstrate the skills required to participate autonomously in research and development work and to work autonomously in some other qualified capacity.

Judgement and approach

For a licentiate degree, the doctoral student shall

- demonstrate the ability to make assessments of ethical aspects of his or her own research
- demonstrate insight into the possibilities and limitations of research, its role in society and the responsibility of the individual for how it is used, and
- demonstrate the ability to identify the personal need for further knowledge and take responsibility for their ongoing learning.

1.3 An overview

Doctoral education at KI is, to a great extent, based on the doctoral student's¹ individual research project, which is complemented with a specific knowledge requirement².

For a doctoral degree, the equivalent of four years of full-time third-cycle education is required (240 higher education credits). A licentiate degree corresponds to two years of doctoral education (120 higher education credits). Doctoral studies may be conducted in parallel to clinical practice or other duties, but must be completed within four years for a licentiate degree and within eight years for a doctoral degree.

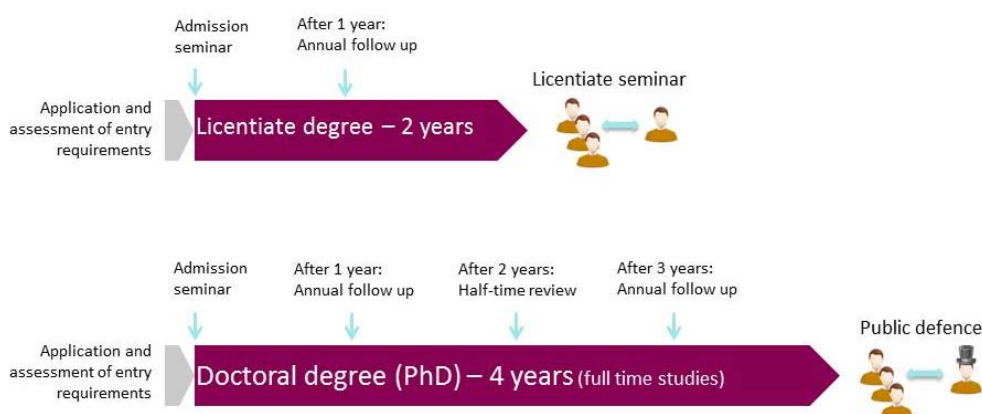
1.3.1 Follow-up

The progress of doctoral studies is followed up annually. The half-time review, which takes place after the equivalent of two years of full-time doctoral studies, is more comprehensive than the annual follow-up.

1.3.2 Degree

For a doctoral degree, the doctoral student shall have been awarded a pass grade for a research thesis worth at least 120 higher education credits. The thesis is defended during a public defence. For a licentiate degree, the doctoral student shall have been awarded a pass grade for a licentiate thesis worth at least 60 higher education credits. This thesis is defended during a licentiate seminar.

The different phases in doctoral education which the doctoral student must go through to achieve a licentiate degree or doctoral degree at KI are illustrated in the figure below.



¹ "Doctoral student" in this document refers, in accordance with the Higher Education Ordinance, to a student who has been admitted to and is pursuing doctoral education. This definition applies to those admitted to study towards both doctoral and licentiate degrees.

² Knowledge requirement refers to courses and activities specified in the general syllabus for doctoral education in the subject of medical science.

2 Admission to Doctoral Education

2.1 Admissions regulations

Higher Education Ordinance, Chapter 6

Section 3. Students shall be provided with study and career guidance. The higher education institution shall ensure that those intending to begin a course or study programme have access to any necessary information about it.

The higher education institution shall also ensure that the admissions regulations are available. The admissions regulations comprise the rules that apply at the higher education institution to applications, entry requirements, selection, and admissions, as well as how decisions are made and how these decisions may be appealed.

The admissions procedure shall have the same overall structure in all departments at KI. The Board of Karolinska Institutet has established admissions regulations which describe the general framework of the admissions procedure (ref.no. 1-563/2013).

2.2 Entry requirements

In order to be admitted to doctoral education, the potential doctoral student must meet the general and specific entry requirements. Assessment of qualifications is conducted by administrators at the University Administration. The decision concerning fulfilment of entry requirements must be attached to the application for admission to doctoral education.

2.2.1 General entry requirements

Higher Education Ordinance, Chapter 7

Section 39. A person meets the general entry requirements for doctoral education if they:

1. have been awarded a second-cycle qualification,
2. have satisfied the requirements for courses comprising at least 240 credits, of which at least 60 credits were awarded in the second-cycle, or
3. have acquired substantially equivalent knowledge in some other way, either in Sweden or abroad.

The higher education institution may permit an exemption from the general entry requirements for an individual applicant if there are special grounds.

A decision on the general entry requirements must be attached to the application for admission to doctoral education.

⇒ Form 1: Application for scrutiny of the general entry requirements

2.2.2 Specific entry requirements

Higher Education Ordinance, Chapter 7

Section 40. The specific entry requirements laid down shall be necessary in order for the student to be able to benefit from the course or study programme. These requirements may comprise

1. knowledge from one or more higher education courses and study programmes or corresponding courses and study programmes,

2. specific professional or vocational experience, and
3. requisite language skills or other conditions determined by the course or study programme.

To be eligible for doctoral education at KI, the student must have knowledge of the English language equivalent to a pass grade at English B/English 6.

Applicants who fulfil the general entry requirements (in accordance with Chapter 7, Section 39, points 1 and 2 above) as a result of academic education in an educational institution in one of the Nordic countries are judged to have fulfilled this requirement.

For other equivalence assessments, the Association of Swedish Higher Education (SUHF) assessment handbooks for Swedish and foreign preparatory educational apply.

Other entry requirements related to any specific doctoral position are set by the head of the department.

2.3 Advertising of doctoral positions

Higher Education Ordinance, Chapter 7

Section 37. Questions relating to admission are dealt with by the higher education institution. Those who wish to be admitted to a doctoral course or study programme shall apply within the time and in the manner prescribed by the higher education institution.

When a higher education institution intends to admit one or more doctoral students, information shall be provided by the higher education institution through advertising or some equivalent method. Information need not, however, be provided

1. when admitting a doctoral student who is to complete the course or study programme within the framework of employment by an employer other than the higher education institution
2. when admitting a doctoral student who has previously begun doctoral studies at another higher education institution, or
3. if there are similar special grounds.

All doctoral positions at KI must be advertised.

Exceptions from the required advertisement may be allowed in accordance with Chapter 7, Section 37 of the Higher Education Ordinance (see above). At KI, special reasons in accordance with point three may be a position for which the doctoral student has already been selected in a competitive recruitment process.

Before advertising a position, the head of department (or delegated equivalent) must approve the commencement of recruitment for the position.

When advertised, positions must:

- be advertised via the KI recruitment system
- be advertised at a suitable time, and for an application period which is recommended, as a rule, to last for three weeks or longer
- the position must be advertised in Swedish and/or English. The choice of advertising language depends on the tasks involved in the position.

2.4 Selection

Selection from amongst the applicants will take place on the following grounds:

- documented knowledge of the subject that is of significance to the research area
- analytical expertise
- other documented knowledge/experience which may be of significance for doctoral education in the subject.

A combined assessment of the applicants' qualifications and suitability will be conducted.

2.5 Admission

Higher Education Ordinance, Chapter 7

Section 34. The number of doctoral students admitted to doctoral courses and study programmes may not exceed the number that can be offered supervision and otherwise acceptable conditions for study and whose studies are funded pursuant to Section 36.

Section 35. The requirements for admission to doctoral courses and study programmes are that the applicant

1. meets the general and specific entry requirements that the higher education institution may have prescribed, and
2. is considered in other respects to have the ability required to benefit from the course or study programme.

At KI, admission of doctoral students to doctoral courses and study programmes is delegated to the Head of Department where the doctoral student will be registered³. Each department shall appoint a Director of doctoral education, who has been assigned the tasks to prepare cases for admission and coordinate doctoral education in the department.

In order for applicants to be admitted to doctoral education at KI, there is a requirement, aside from the general and specific entry requirements, for them to have an individual study plan, a realistic funding plan, satisfactory supervision and an environment which promotes doctoral education of the highest quality.

If the applicant plans to pursue doctoral education in parallel with employment within another organisation, e.g. Stockholm County Council, there is a requirement that the head of the organisation approve the individual study plan. This means that the time proposed in the individual study plan should be set aside for doctoral education.

Departments who do not follow the regulations governing doctoral education which are applicable at KI may be subject to restrictions on their right to admit doctoral students.

KI's ethical regulations and guidelines shall be adhered to at all times while pursuing doctoral education.

³ See *Arbets- och delegationsordningen för Styrelsen för forskarutbildning* (Work and Delegation Ordinance for the Board of Doctoral Education).

2.6 Admissions Board

According to the admissions regulations, each department must have an Admissions Board. The Admissions Board is responsible for preparing cases, organising and evaluating the admissions seminar, as well as submitting a proposal for a decision on admissions that serves as a guide for the Head of Department. The Admissions Board shall have the following composition:

- the department's Director of doctoral education (chairperson)
- at least three faculty representatives
- at least one representative who is a doctoral student.

If necessary, for example if the syllabus' specialisation lies outside the expertise of the board, another expert may be co-opted.

The mandate period for the board's ordinary members should be at least three years and the board shall convene at least once per term.

The meetings and proposals for decision by the Admissions Board must be documented.

2.7 Application for admission to doctoral education

The application for admission to doctoral education shall be addressed to the Admissions Board of the relevant department. The application shall be submitted to the Admissions Board in good time prior to the board meeting, and must include the following:

⇒ Form 2: Application for admission to doctoral education
with the following appendices:

- proof that the applicant fulfils the general and specific entry requirements (see Section 2.2)
- individual study plan with appendices (see Section 5).

2.8 Admissions seminar

The Admissions Board will call the applicant to an admissions seminar. Date and details about the department's admissions seminars shall be advertised internally at KI.

The admissions seminar will be held in English by the applicant and must contain the following elements:

- background, structure and aim of the research project, which is planned in the individual study plan
- timetable
- how the learning outcomes according to the Higher Education Ordinance will be fulfilled (see 1.2.1 or 1.2.2)
- description of how the suggested supervisors are expected to contribute to the doctoral student's education

- presentation of funding plan.

The principal supervisor, and, if possible, co-supervisor(s) and mentor, shall be present and may express their opinions during the admissions seminar, but will not participate in the decision of the Admissions Board.

2.9 Admission towards a licentiate degree

Doctoral students shall, as a rule, be admitted with a doctoral degree as their goal. Only those who are professionally active and who would like to complement or deepen their knowledge in a field of research and only wish to take a licentiate degree may be accepted with a licentiate degree as their goal.

2.10 Decision on admission to doctoral education

Before a decision on admission is taken, the Admissions Board shall assess the following factors:

Doctoral educational environment

- whether there is an environment that promotes doctoral education of the highest quality (see the guidelines below)

The research project

- the quality of the project
- the feasibility of the project
- whether the requirement for ethical permits has been taken into account

Individual study plan

- if the proposed courses and the content of the study plan, in general, are relevant and sufficiently extensive in relation to the learning objectives according to the Higher Education Ordinance and the requirements of the general syllabus
- timetable
- funding plan

Applicant

- whether the applicant's knowledge of the English language is sufficient in order to benefit from doctoral education in an international perspective
- whether the applicant is familiar with what doctoral education at KI involves
- the applicant's ability to benefit from the education, based on the overall information in the application and information gained during the admissions seminar.

Supervision

- whether the proposed principal supervisor has the means to assist with good, professional supervision

- whether the proposed co-supervisor(s) will be able to contribute the relevant complementary expertise.

The Admissions Board's assessment will result in one of the following:

- A recommendation that the Head of Department admit the doctoral student.
- A proposal that the individual study plan be revised (which may then be reconsidered).
- A recommendation that the Head of Department reject the application.

The Head of Department takes the final decision on whether to admit the applicant or reject the application⁴. When deciding on admissions, the Head of Department must also approve the individual study plan (see Section 5). The decision of the Head of Department cannot be appealed. A rejection does not prevent a new application for admission being submitted.

In conjunction with admission, a doctoral student shall show a valid identification document.

2.10.1 Guidelines for assessment of the study and work environment

- Are there opportunities for contacts with other doctoral students and researchers, e.g. through networking activities, seminars etc.?
- Is there support available for the doctoral student's studies, e.g. in the form of postdocs, statisticians, biomedical analysts and other researchers?
- Are there opportunities for international exchange/contacts?
- Have alternative ways to achieve the objectives, should those outlined not lead to success?
- What previous experience of supervision does the supervisory group have, i.e. the principal and co-supervisors?
- Presence of the supervisors in the group - full or part-time, the same physical workplace, etc.? How many doctoral students are currently being supervised?
- How well described is the supervisory approach?
- How will the supervision of the proposed doctoral project be organised (in which way will the various competencies of the supervisors be utilised in the project)?

⁴ See *Arbets- och delegationsordning för Styrelsen för forskarutbildning* (Work and Delegation Ordinance for the Board of Doctoral Education).

2.11 Study documentation

2.11.1 Ladok

KI uses a computerised system for documenting studies, called Ladok. The register is local and contains details of all of KI's bachelor's, master's and doctoral students, as well as their activities and results. For further information see *Studieadministrativa regler med Ladok som systemstöd vid Karolinska Institutet* (regulations governing administration of studies with Ladok, only in Swedish). Certain details are submitted onwards to Statistics Sweden, the Swedish Higher Education Authority, the Swedish Council for Higher Education, and the Ministry of Education and Research.

Regulations governing how the register shall be used can be found in "Ordinance on reporting of studies etc. at universities and higher educational establishments" (SFS 1993:1153). The right to obtain excerpts from the register is regulated by the Personal Data Act (SFS 1998:204). The information in Ladok is public, in accordance with the same regulations that apply to public documents held by governmental agencies.

If a doctoral student has a protected address, they must contact the administrator responsible for Ladok at KI to come to an agreement about how mail should be managed while they are studying.

2.11.2 Ladok online

At KI, all doctoral students can, themselves, view their own registrations and results, take out certificates of their registrations and results, change their telephone number and update their address.

2.11.3 Reporting of activities and financial support

Each term, doctoral students must report their activities and financial support to their department, and this information will be registered in Ladok. Activities refer, here, to the proportion of equivalent full-time involvement that a doctoral student has devoted to their doctoral education. The activities are reported in per cent (proportion of equivalent full-time commitment).

2.11.4 One file for each doctoral student

For each doctoral student, all relevant documents concerning their doctoral education shall be collected in a file and kept at the department.

3 Courses

3.1 Syllabus

All doctoral courses at KI must have an established syllabus. The establishment of a syllabus (and course credits) is carried out by the Board of Doctoral Education.

3.2 Entry requirements

Doctoral courses at KI are primarily intended for doctoral students. Other applicants may be accepted if there are sufficient places.

3.3 Admission to doctoral courses

Course organisers are responsible for the selection and admission of applicants. For admission to doctoral courses, the following general selection criteria must be followed:

1. doctoral students at KI (doctoral students in collaborative programmes are considered KI doctoral students)
2. post docs at KI
3. doctoral students at other universities (in Sweden or abroad)
4. other applicants.

3.4 Examination and registration of credits

Examination of doctoral courses is performed at an individual level. The person responsible for the course is also the examiner, or another impartial examiner appointed by the course responsible. An examiner should have defended his/her thesis.

The course organiser and the department's study administrator are responsible for reporting and registration of approved course credits in Ladok. For course participants not admitted to doctoral education at KI a specific permission to take doctoral courses should be documented in Ladok. After passing the examination a course certificate can be issued from Ladok.⁵

3.5 Evaluation of doctoral courses

Higher Education Ordinance, Chapter 1 – course evaluations

Section 14. Higher education institutions shall enable students who are participating in or have completed a course to express their experiences of and views about the course through a course evaluation to be organised

⁵ Please see *Studieadministrativa regler med Ladok som systemstöd* (ref no 1-187/2014)

by the higher education institution. The higher education institution shall collate the course evaluations and provide information about their results and any actions prompted by the course evaluations. The results shall be made available to the students.

KI's template for doctoral course evaluation must be used for the evaluation of doctoral courses at KI.

Course evaluations shall be used for the continuous development of the courses. Course evaluations are followed-up and feedback is provided to the Board of Doctoral Education.

Course evaluations must be made available for past and future participants.

4 General syllabus

Higher Education Ordinance, Chapter 6

Section 2. The extent of a course or study programme shall be denoted by credits, with full-time study during a normal academic year of 40 weeks corresponding to 60 credits.

Section 25. A university or higher education institution entitled to award doctoral qualifications shall determine the subjects in which doctoral courses and programmes may be offered.

Section 26. For each subject in which doctoral courses or study programmes are offered, a general syllabus is required.

Section 27. A general syllabus shall indicate the following: the main content of the study programme, specific entry requirements and any other regulations required.

The doctoral students shall complete their doctoral education following the course requirements specified in the general syllabus for which they have been admitted.

4.1 Medical science

There are four different general syllabi in the subject of medical science:

General syllabus for doctoral students admitted from 1 July 2013, ref. no. 3-749/2013

General syllabus for doctoral students admitted from 01/07/2009 to 30/06/2013, ref. no. 1993/09-506

General syllabus for doctoral students admitted from 01/07/2007 to 30/06/2009, ref. no. 197/06-506

General syllabus for doctoral students admitted from 01/07/2006 to 30/06/2007, ref. no. 197/06-506

4.2 Other doctoral education subjects

Earlier, KI had a large number of different doctoral education subjects, but since 01/03/2006, there is only one subject for doctoral students at KI; *Medical science*.

For doctoral students admitted to another doctoral education subject (admission before 01/03/2006), it is possible to change to medical science. In such a case, there should also be a revision of the individual study plan so that a complete doctoral education can be

fulfilled in accordance with the "General Syllabus for Medical Science". The change of subject shall be administrated and documented by the Admissions Board at the doctoral student's department and must be approved by the Head of Department.

⇒ Form 14: Application to change subject/department

4.3 Credit transfer

Higher Education Ordinance, Chapter 6

Section 6. If a student at a higher education institution in Sweden has successfully completed a higher education course or study programme, they are entitled to transfer the credits awarded for a course or study programme at another higher education institution. This does not apply, however, if there is a substantial difference between these courses or study programmes.

The same applies to students who have successfully completed a course or study programme

1. at a university or other higher education institution in Denmark, Finland, Iceland or Norway or a signatory to the Council of Europe's Convention of 11 April 1997 on the Recognition of Qualifications concerning Higher Education in the European Region, or
2. at the Nordic School of Public Health.

Section 7. A student is entitled to transfer credits from a course or study programme other than that laid down in Section 6 if the nature and extent of the knowledge and skills cited by the student are such that they correspond, on the whole, to the course or study programme for which the credits are to be recognised. A student may also be given credit for equivalent knowledge and skills acquired in a vocational or professional capacity.

A student admitted to doctoral education at KI may transfer credits from an approved doctoral course at another university or higher education institution. Knowledge and skills acquired through professional activities may also be considered for credit transfer.

The credits from courses taken within the framework of a licentiate degree may be transferred to a subsequent doctoral degree, which has the same specialisation.

The Head of Department may delegate decisions about credit transferral to the Director of doctoral education⁶. Decisions about the transfer of credits may be appealed via the Higher Education Appeals Board⁷.

⇒ Form 13: Application for credit transfer

⁶ See *Arbets- och delegationsordning för Styrelsen för forskarutbildning* (Work and Delegation Ordinance for the Board of Doctoral Education).

⁷ See Higher Education Ordinance, Chapter 12, Section 2, Paragraph 3, as well as the website of the Higher Education Appeals Board: www.onh.se

5 Individual study plan

Higher education ordinance Chapter 6 – Individual study plan

Section 29. An individual study plan shall be drawn up for each doctoral student. This study plan shall contain the undertakings made by the doctoral student and the higher education institution and a timetable for the doctoral student's study programme. The study plan shall be adopted after consultation with the doctoral student and their supervisors. The individual study plan shall be reviewed regularly and amended by the higher education institution, to the extent required after consultation with the doctoral student and their supervisors. The period of study may only be extended if there are special grounds for doing so. Such grounds may comprise leave of absence because of illness, leave of absence for service in the defence forces or an elected position in a trade union or student organisation, or parental leave.

The content of the individual study plan governs the specialisation which applies to each doctoral student in their doctoral education.

The individual study plan shall be approved by the Head of Department following a recommendation by the Admissions Board as described above (see Chapter 2).

The individual study plan shall include the following information:

- the doctoral student's CV (as an appendix)
- the intended degree (doctoral or licentiate degree)
- title of the individual study plan
- research plan
- learning objectives for doctoral education
- description of studies that require ethical approval, as well as information on existing ethical approval and those that need to be applied for according to the planned research project
- description of the supervision
- timetable
- potential mentor
- if the doctoral student plans to teach, this must be stipulated
- funding plan for the entire period, including a plan for the student's financial support and an indication of the sources of funding to be used (as an appendix).

The individual study plan shall be approved in its entirety by the applicant as well as all potential supervisors before submission of the application for admission to doctoral education.

If another party is planned to be responsible for part of the financing, this party must also approve the study plan. If the doctoral student plans to conduct other activities in parallel with their doctoral education, e.g., working for Stockholm County Council, the head of this organisation or equivalent must sign the individual study plan.

⇒ Form 3.1: Individual study plan, degree of doctor.

⇒ Form 3.2: Individual study plan, degree of licentiate

5.1 External mentor

As a complement to the supervisor, an independent person shall be appointed to act as mentor to the doctoral student during the doctoral education. The external mentor may be from the university, county council, industry or another sector of society. The external mentor should provide support to the doctoral student with regard to advice from an independent person concerning issues such as career planning, contacts outside KI, or other types of advice.

The mentor will be appointed following a proposal by the doctoral student, within a year of their admission, and shall be stated in the individual study plan.

5.2 Annual follow-up

The individual study plan and the student's progress in the doctoral education must be followed-up in writing once a year at the request of the department's Director of doctoral education.

The report shall be signed by the doctoral student and supervisor, and shall contain the following information:

- completed elements in accordance with the plan
- an update on the research project or credit-generating elements that are planned
- an update of the planned timetable or funding plan
- other parts of the current individual study plan that are to be revised.

The department's Director of doctoral education will review the report and (upon instructions of the Head of Department⁸) decide on the potential minor changes to the individual study plan. Minor changes may reflect, for example, changes concerning courses. Examples of more substantial changes which require decision by the Head of Department include changes of the supervisory group.

The first annual follow-up shall, aside from the written report, also be offered as a meeting with the department's Director of doctoral education. This can take place individually or in a group containing all of those recently admitted to the department. The aim is to identify any possible uncertainty, to ensure that the doctoral education is proceeding according to plan, and to establish contact between the Director of doctoral education and the doctoral student.

For doctoral education leading to a doctoral degree, an extended annual follow-up shall take place half-way through the studies, a so-called half-time review (see below).

A completed annual follow-up shall be registered in Ladok.

⁸ See *Arbets- och delegationsordning för Styrelsen för forskarutbildning* (Work and Delegation Ordinance for the Board of Doctoral Education).

⇒ Form 4: Annual follow-up

5.3 Half-time review

The half-time review shall be carried out for each doctoral student planning to take a doctoral degree. The principal supervisor and the doctoral student are responsible for, and will take the initiative in, conducting the half-time review.

5.3.1 When?

The review shall, if there are no special circumstances, take place following the equivalent of two years of full-time doctoral education. Furthermore, the student must have completed at least 7.5 higher education credits of general scientific courses, including 1.5 higher education credits in statistics and 1.5 higher education credits in research ethics⁹. The time for the half-time review is not dependent on the number of manuscripts or published articles.

5.3.2 Board

After proposal by the supervisor, the Head of Department will appoint a board consisting of three researchers with adequate knowledge of the subject, and who are independent from the project and have obtained a doctoral degree. The board, together with the supervisors and the doctoral student, shall assess the prospects of the project leading to a doctoral degree, and propose any necessary changes to the individual study plan.

5.3.3 Half-time summary

Ahead of the half-time review, the doctoral student shall write a half-time summary comprising:

- a literature review of the research field
- a status report of the research project
- a status report on the progress the student is making towards the outcomes for the degree of doctor (see 1.2.1)
- a plan for the remaining of his/her doctoral studies
- his/her reflection on ethical considerations.

5.3.4 Documents

The supervisors and the doctoral student ensure that the board receives the documents in time, well in advance of the half-time seminar. These documents are:

⁹ This applies to doctoral students admitted to "Medical Science".

- half-time summary (see 5.3.3)
- the doctoral student's individual study plan
- ethical approval(s)
- excerpt from Ladok
- publications and manuscripts, if any.

5.3.5 Seminar

The half-time review consists of a seminar, and a follow-up meeting. The seminar consists of a presentation held by the doctoral student in English. The presentation shall summarise results and further planning of the doctoral education in relation to the doctoral student's individual study plan.

The half-time seminar shall be public and advertised internally at KI.

5.3.6 Follow-up meeting

After the half-time seminar, the board meets with the supervisors and the doctoral student and, if possible, the mentor, to review the progress. Together with the doctoral student, the supervisors and the mentor the following shall be discussed:

- plans for the remaining educational activities
- the structure of the supervision
- ethical matters.

5.3.7 The assessment by the board

The following factors will be assessed, based on the individual study plan:

- courses and other elements for which credits are awarded
- the level of activity
- the quality of the research project
- progress towards the outcomes for the degree of doctor (see 1.2.1)
- the doctoral student's development towards independence
- ethical approval(s)

When the half-time review is completed, the protocol will be written up, and signed by all board members. The protocol is submitted to the Head of Department/Director of doctoral education.

⇒ Form 5: Protocol at the half-time review

5.3.8 Following the half-time review

A completed half-time review shall be registered in Ladok and the protocol kept in the doctoral student's file.

Should there be remarks or proposals for changes to the current plan, the written synthesis from the half-time review shall apply as a revision of the individual study plan. Revisions to the individual study plan are approved by the department's Director of doctoral education (on the instructions of the Head of Department¹⁰).

5.3.9 Exceptions

Half-time reviews, completed at KI, are mandatory for those who wish to conduct a doctoral dissertation. However, exceptions are made for those doctoral students who hold a previous licentiate degree within the same subject area.

6 Supervision

Higher Education Ordinance, Chapter 6 – Supervision

Section 28. At least two supervisors shall be appointed for each doctoral student. One of them shall be nominated as the principal supervisor. Doctoral students are entitled to supervision during their studies, unless the President has decided otherwise by virtue of Section 30.

A doctoral student who so requests shall be allowed to change supervisor.

In each individual case prior to deciding on the supervisors, the Head of Department must make a collected assessment of the proposed supervisory group.

For each doctoral student,

- at least one of the supervisors must be an associate professor (*docent*) or a professor
- the principal supervisor (under normal circumstances) must be active at KI
- at least one of the supervisors, preferably the principal supervisor, must be active in the department to which the doctoral student is admitted.

A doctoral degree is required for a person to be appointed as supervisor.

All supervisors shall be thoroughly familiar with KI's regulations governing doctoral education.

Even though a doctoral student may only be registered at one department, the student may benefit from taking place in more than one department and with supervisors from more than one department. An agreement shall be made, in conjunction with admission, concerning how supervision and activities will be organised and divided between the supervisors. This shall also be specified in the individual study plan.

¹⁰ See *Arbets- och delegationsordning för Styrelsen för forskarutbildning* (Work and Delegation Ordinance for the Board of Doctoral Education).

6.1 Supervisor training

A principal supervisor must have completed doctoral supervisor training arranged according to the instructions of the Board of Doctoral Education.

It is mandatory for all principal supervisors, including those with equivalent expertise, to complete the web course for supervisors for doctoral students. A passing score on the web course cannot be older than 5 years prior to accepting a new doctoral student. The purpose is to ensure that all supervisors are familiar with the prevailing rules for doctoral education.

In addition, a principal supervisor, unless having equivalent expertise, must complete the introductory course in doctoral supervision. The aim of the course is to prepare participants for the role of supervisor and to provide insight into the responsibilities that it entails.

6.1.1 Equivalent expertise

Those who have equivalent expertise

- have been principal supervisors for doctoral students who have graduated with doctoral degrees from, for example, a university in one of the Nordic countries or another country which has comparable doctoral education
- have taken part of another research supervisor training which is approved by the Board of Doctoral Education.

6.2 Conflict of interest as a result of family ties

Doctoral students may not be related to their supervisors, and cases in which there is a relationship between supervisors who are part of the doctoral student's supervisory group, should be avoided. In cases where there is a relationship between supervisors, specific justification must be provided in the individual study plan.

6.3 Duties of the principal supervisor

The principal supervisor shall have the overall responsibility for supervision when it comes to the planning and execution of the research project. The principal supervisor also has, together with the doctoral student, a responsibility to ensure that the doctoral courses and other elements that are specified in the general syllabus and individual study plan, are completed.

The principal supervisor shall work to ensure that the annual follow-up, as well as the half-time review and defence of thesis, or licentiate seminar, are planned and implemented.

The principal supervisor is responsible for ensuring that the funding plan in the individual study plan is drawn up and revised.

6.4 Duties of the co-supervisor

A co-supervisor is primarily responsible for providing complementary scientific expertise to the project. The role of the co-supervisor shall be clearly stated in the individual study plan.

6.5 Supervisors' obligations

Supervisors at KI shall have a professional approach to doctoral education. This means that a supervisor shall take responsibility for ensuring that planned and implemented doctoral education is of good quality and has a realistic scope in relation to the doctoral student's individual study plan.

The supervisor shall be thoroughly familiar with the regulations and conditions of doctoral education.

The supervisor shall be available for the doctoral student, be clear and consistent in their supervision, and critically review the results achieved. Supervisors shall always work to ensure equality of treatment, by clearly working against all forms of discrimination and harassment.

6.6 Changing supervisors

A doctoral student has, according to the Higher Education Ordinance, the right to change supervisors. An application to change supervisors will necessitate the revision of the individual study plan, and must be requested using the specific form provided by the department's Director of doctoral education. A change of supervisor must be approved by the Head of Department, after which the change shall be registered in Ladok.

⇒ Form 15: Changing supervisors

7 Examination

Higher Education Ordinance, Chapter 6 – Examination

Section 32. Examinations that form part of doctoral courses and study programmes shall be assessed in accordance with the grading system prescribed by the higher education institution.

The grade shall be determined by a teacher specifically nominated by the higher education institution (the examiner).

Section 33. The qualification descriptions of doctoral degrees indicate that an approved doctoral thesis, amongst other things, 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.

Section 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.

Section 35. A higher education institution may issue regulations on the grading system to be used and on public defences and grading in other respects.

7.1 Public defence application

To ensure the highest possible quality of theses from KI, and to verify that all elements of the doctoral education have been completed prior to the examination, an application for examination shall be submitted to the Dissertation Committee in accordance with the instructions on the website: <http://internwebben.ki.se/en/defend-your-thesis>.

The Dissertation Committee shall ensure that the examination regulations are adhered to¹¹.

The Dissertation Committee checks:

- that the thesis fulfils the formal requirements of the Higher Education Ordinance and KI
- that the study plan has been adhered to
- that the ethical guidelines have been adhered to.

The Dissertation Committee

- appoints the Examination Board, and also the opponent in the case of a doctoral thesis defence
- decides the date and place for the licentiate seminar or thesis defence.

Incomplete information regarding ethical approval may result in further investigation concerning suspicion of irregularities.

Further practical information about the application may be found on KI's internal website.

⇒ Form 6: Licentiate seminar application

⇒ Form 9: Public defence application

7.2 Doctoral degree

The examination for a doctoral degree may be carried out following the equivalent of four years' full-time doctoral education (240 higher education credits). For a doctoral student to receive a doctoral degree from KI, they are required to have:

- been admitted to doctoral education at KI
- completed at least half of their doctoral education at KI (as evidenced by their KI departmental affiliation in the articles included in the thesis)

¹¹ See *Arbets- och delegationsordning för Styrelsen för forskarutbildning* (Work and Delegation Ordinance for the Board of Doctoral Education).

- conducted their half-time review at KI, or have a licentiate degree within the same subject area
- fulfilled the knowledge requirements for a doctoral degree in accordance with the general syllabus to which the doctoral student was admitted
- written a doctoral thesis that has been awarded a pass
- conducted a public defence of their doctoral thesis that has been awarded a pass.

At KI, the following doctoral degrees are awarded: “Medicine doktorsexamen”, “Filosofie doktorsexamen”, “Teknologie doktorsexamen”, and “Odontologie doktorsexamen”. In English all doctoral degrees have the title "Doctor of Philosophy", which is abbreviated to "Ph.D."

7.2.1 Time and place of the examination

The examination shall take place during the established public defence term. The examination shall be held at a venue and in such a way that students and employees of KI are easily able to participate.

7.2.2 Compilation thesis

Most theses from KI are compilation theses, based on a number of separate original papers combined with a comprehensive summary.

Constituent papers

The constituent papers should be original papers (not reviews). One of the constituent papers can be a systematic survey article, for example a meta-analysis. The requirement for such an article is that it creates new knowledge.

The number of constituent papers in a compilation thesis varies, but they must have a scope that in total is equivalent to four years of full-time doctoral education and a scientific quality expected at an international renowned university. The doctoral student's contribution to the constituent papers must be clearly identified.

At least two of the constituent papers included in the thesis must have been accepted for publication in peer-reviewed journals, the remainder may be in manuscript form. Doctoral education includes taking active part in the publication of scholarly articles. Should there be exceptional reason to do so, the Dissertation Committee may approve a defence application with only a single published (or accepted) paper.

A doctoral student admitted to KI must indicate the department at KI as their address on each scientific article they publish.

Comprehensive summary

The constituent papers that are included in a compilation thesis shall be introduced and discussed in the thesis in the form of a comprehensive summary. Preliminary results that are not part of any paper, but which the doctoral student wishes to include in the thesis, may be presented in the summary.

The part of the summary that relates to the thesis' research field from an international perspective may, if the doctoral student so wishes, be written in the form of a review, in which case it may be written with the intent to publish and may then be included in the thesis as a separate part. If this solution is chosen, which may be a method of confirming the doctoral student's contribution in a thesis based on a larger collaborative project, or when there are only a few papers, the doctoral student shall either be the first author, or the only author of the review.

7.2.3 Monograph thesis

A doctoral thesis may also be presented in the form of a monograph thesis. Special rules of review then apply:

1. A draft of the monograph is submitted together with the application for public defence of the thesis, along with suggestions for two expert reviewers, one active at KI and one external.
2. The reviewers read through the work and write a report similar to the referee reports of scientific journals. The report will result in a statement on the quality and scope of the thesis. The report is administered by the Dissertation Committee.
3. The doctoral student is invited to submit a response to the report and, if necessary, a revised version of the monograph, in which the changes are clearly marked.
4. The thesis is then submitted in the regular way to the members of the Examination Board, together with the reviewers' detailed written reports. Following the recommendation by the board members that the thesis shall be defended in a public defence, the work is submitted for printing.

7.2.4 Opponent

The opponent shall be a researcher who must hold a doctoral degree (exceptions may be made for very well qualified professors), who is an expert in the field of the project, and who is unbiased with respect to the doctoral student, the supervisors and the project.

The role of the opponent is to critically review all parts of the thesis, both the comprehensive summary and the constituent papers, and to discuss these in detail with the respondent¹² during the thesis defence. The opponent is to highlight the strengths and weaknesses in the thesis in a discussion with the respondent, in which the respondent shall also have the opportunity to demonstrate knowledge obtained. This discussion shall cover both technical and practical details, and how the results of the thesis may be viewed in a broader context.

¹² The "respondent" refers to the doctoral student who is defending the thesis to gain a degree.

7.2.5 Examination Board for doctoral degrees

The following apply to Examination Boards for doctoral degree:

- The Examination Board shall comprise three members (if there are special reasons, such as a doctoral thesis being of a pronounced interdisciplinary character, the number of members on the Examination Board may be increased to five).
- One of the members shall be designated as the coordinator. The coordinator shall not belong to the same department as the doctoral student, the principal supervisor or any of the co-supervisors.
- All of the members of the Examination Board must be associate professors (*docent*) or professors.
- All of the members must be experts in the field of the project. The combined expertise of the Examination Board shall cover the entire content of the thesis.
- The members of the Examination Board must be independent of and unbiased in relation to the doctoral student, the supervisors and the project.
- If possible, at least one member of the Examination Board shall have been a member of the board at the doctoral student's half-time review.
- Only one of the members may belong to the same department as the doctoral student (or the principal supervisor, in cases when the principal supervisor is in a different department as the doctoral student).
- At least one member shall come from another university than the doctoral student, principal supervisor and co-supervisors.

7.2.6 Preliminary review

Before the thesis is submitted for printing, the Examination Board shall conduct a preliminary review of the thesis in order to assess if the quality of its constituent papers is of a sufficiently high standard for a PhD. In the event of disagreement, the matter is decided by the majority opinion, even if all members of the board are expected to comment in its pronouncement.

If the Examination Board deems the quality of a thesis to be insufficient, the student is recommended to postpone the defence of his/her thesis. On the first such occasion, the student is entitled to further supervision and educational resources for an additional six months over and above the original study schedule in order that the he/she may have the opportunity to improve the quality of his/her work.

7.2.7 Graphic rules

A thesis from KI must follow KI's regulation regarding visual identity (graphic style) Information and templates regarding thesis design and structure can be found on the website: internwebben.ki.se/en/defend-your-thesis.

7.2.8 Public notification – "nailing"

A doctoral student shall publish the thesis by a notification process known as "nailing". Before nailing, a faculty representative, appointed by the Board of Doctoral Education, shall approve the thesis for distribution. The nailing process consists of the following elements:

- The faculty representative checks that the thesis complies with the content of the public defence application, in which case they endorse it with the words "må spikas" ("May be nailed"). The thesis is thus approved as the basis for a public defence/licentiate seminar.
- The thesis is also to be digitally "nailed" in the KI thesis database, no later than three weeks prior to its public defence.
- There is an obligation to provide a set number of copies to KI's library in either Solna or Huddinge.
- When the above tasks have been completed, the doctoral student receives a nail and piece of string, which they are to use to nail the signed thesis to the designated place in KI's library in either Solna or Huddinge.

On the same day as the thesis is nailed, a copy of the thesis shall be sent to the opponent, the Examination Board, and the chairperson for the public defence (*disputationsordförande*).

Publication of the thesis also takes place through distribution by the doctoral student, the department, and by the Communications and Public Relations Office at KI notifying the media of new research from KI via press releases.

7.2.9 Public defence

The doctoral thesis shall be presented and defended orally in public.

The public defence is led by a public defence chairperson. A member of KI faculty who has a doctoral degree is appointed chairperson. It is not recommended that the chairperson be one of the supervisors

The public defence shall be public and preferably held in English, but Swedish is also acceptable. If the proceedings are very long, the chairperson may suspend them for a break. Under no circumstances may the defence proceedings be concluded until all opposition and discussions from the opponent, the Examination Board members and the auditorium have been dealt with.

Public defence proceedings:

1. The chairperson will open proceedings and present the respondent, the title of the thesis to be defended, the opponent and the Examination Board
2. The respondent gives notice of any corrections to the thesis and may, if necessary, distribute a list of errata

3. The opponent or the respondent is invited to present a brief popular scientific introduction to the thesis and the field dealt with by the research.
4. The respondent or the opponent presents the main results and conclusions of the thesis.
5. The opponent discusses the thesis with the respondent, comments on its strengths and weaknesses, and poses questions which the respondent must answer to the best of their ability
6. The chairperson invites the Examination Board to pose questions
7. The chairperson invites the audience to pose questions
8. The chairperson concludes proceedings

If the opponent is unable to attend, the public defence may proceed with the Examination Board taking on the role of the opponent.

If one of the Examination Board's members is not present at the public defence, the chairperson must contact the Dissertation Committee administrator at the university administration so that a new member can be appointed. There must be three Examination Board members present for the public defence to proceed.

7.2.10 Examination Board meeting following the public defence

Following the public defence, the Examination Board is called to an immediate meeting to decide on the grade. The Examination Board appoints a chairperson from amongst themselves.

The Examination Board meeting is comprised of two parts:

1. In the first part, the public defence chairperson, supervisors and the opponent may be present for discussing the respondent's performance with the Examination Board.
2. In the second part of the meeting, only members of the Examination Board are present. The grade and the written justification for this are confirmed, after which the minutes are written up and signed.

If there are any remarks made during the public defence which were so extraordinary that the Examination Board considers it necessary to undertake specific investigations or consultations before a decision can be made, the Examination Board should adjourn the meeting. The adjournment must be short, two weeks at most.

7.2.11 Grade

The Examination Board shall assess the thesis and its public defence with regard to:

- the respondent's presentation of the thesis at the public defence, including the discussion with the opponent, and the ability to answer questions and discuss the significance of the results within the field of research
- the quality of the comprehensive summary

- the scientific content of the constituent papers
- the fulfilment of the objectives of the doctoral degree.

Against the background of this assessment, the Examination Board comes to a decision to award a grade of either pass or fail.

The decision of the majority applies. A single member may dissent from the Examination Board's decision on the grade, in which case specific justification must be given.

The Examination Board must provide a written justification when awarding a fail. The doctoral student will then have the opportunity to, at a later date, re-apply for a public defence of their thesis. However, there is no obligation on the part of supervisors, the department or KI, to cover the additional costs that result from a renewed defence of thesis, or to support the doctoral student after a failed doctoral examination beyond the expiry of the existing appointment.

An Examination Board that so wishes may justify or comment on a grade of pass in writing, e.g., if the board agrees that the defence and content of the doctoral thesis were of an exceptionally high quality.

⇒ Form 11: Transcript of public defence

7.3 Licentiate degree

The examination for a licentiate degree may be carried out following the equivalent of two years' full-time doctoral studies (120 higher education credits). For a doctoral student to receive a licentiate degree from KI, they are required to have:

- been admitted to doctoral education at KI
- completed at least half of their doctoral education at KI (as evidenced by their KI departmental affiliation in the articles which in the thesis)
- fulfilled the knowledge requirements for a licentiate degree in accordance with the general syllabus to which the doctoral student was admitted
- written a licentiate thesis that has been awarded a pass
- defended the licentiate thesis at a licentiate seminar which has been awarded a pass.

After the award of a licentiate degree, the doctoral student will have completed their doctoral education at KI. It is possible, however, to subsequently apply for admission to further doctoral studies with the aim of obtaining a doctoral degree.

7.3.1 Time and place of the examination

Same rules apply as for doctoral degree, see 7.2.1.

7.3.2 Licentiate thesis

A licentiate thesis is normally written in the form of a summary and discussion of separate constituent papers, a compilation thesis. A licentiate thesis may, alternatively, be presented in the form of a monograph. For a licentiate thesis to be considered a compilation thesis, at least one of the constituent papers must have been accepted for publication in a peer-reviewed journal.

A licentiate thesis that is based on constituent papers in the form of a manuscripts, where none of the constituent papers have been accepted for publishing, will be treated as a monograph thesis. In which case, special review regulations apply, see 7.2.3.

7.3.3 Examination Board for licentiate degrees

A special Examination Board, but no opponent, is appointed to assess a licentiate thesis and seminar. The same regulations apply to the Examination Board for licentiate degrees as apply to those for doctoral degrees, see 7.2.5.

7.3.4 Preliminary review

The regulations regarding preliminary review in the case of licentiate degrees are the same as apply in the case of doctoral degrees, see 7.2.6.

7.3.5 Graphic rules

The graphical rules for licentiate theses are the same as for doctoral theses, see 7.2.7.

7.3.6 Public notification – "nailing"

The regulations governing the nailing process for licentiate theses are the same as for doctoral theses, see 7.2.8.

7.3.7 Licentiate seminar

The respondent will, during the public licentiate seminar, describe the research project which constitutes the basis for the licentiate thesis, including its background, methods, results and conclusions. Following the seminar, the Examination Board will pose questions in order to assure themselves that the respondent has achieved the outcomes for licentiate degree. Others in the audience will also be given an opportunity to ask questions.

7.3.8 The Examination Board meeting

The regulations governing the Examination Board meeting for licentiate degrees are the same as for doctoral degrees, see 7.2.10.

7.3.9 Grade

The Examination Board will assess:

- the respondent's licentiate seminar and answers to questions
- the quality of the comprehensive summary in the licentiate thesis
- the scientific content
- the fulfilment of the objectives of the licentiate degree.

Against the background of this assessment, the Examination Board comes to a decision to award a grade of either pass or fail.

The decision of the majority applies. A single member may dissent from the Examination Board's decision on the grade, in which case, specific justification must be given.

The Examination Board must provide a written justification when awarding a fail, and the doctoral student will have the opportunity to, at a later date, re-apply to defend their licentiate thesis in order to achieve a licentiate degree. However, there is no obligation on the part of supervisors, the department or KI to support the doctoral student financially after a failed licentiate examination beyond the expiry of the existing appointment.

An Examination Board that so wishes may justify a grade of pass in writing, for example if the board agrees that the defence and contents of the licentiate thesis were of an exceptionally high quality.

⇒ Form 8: Transcript licentiate degree seminar

7.3.10 Differences between the licentiate examination and the half-time review

Differences between the licentiate examination and half-time review:

- the licentiate degree comes with an academic title "Degree of Licentiate of Medical Science"
- a preliminary review must take place in advance of a licentiate examination
- the licentiate examination is based on a licentiate thesis (for a half-time review, a short summary is sufficient)
- the licentiate thesis is "nailed"
- the licentiate degree means that the student has completed their doctoral education at KI. This is not the case for the half-time review.

7.4 Degree Certificate and Diploma Supplement

Higher Education Ordinance, Chapter 6 – Degree certificate

Section 9. A student who fulfils the requirements for the award of a qualification shall, upon request, be provided with a certificate.

Section 10. On the certificate, the university shall indicate

1. the title of the qualification,
2. the cycle (level) in which it was awarded,
3. whether the qualification forms part of a joint degree, as laid down in Chapter 1, Section 17 of the Higher Education Act,
4. the first (bachelor's) and second-cycle (master's) courses taken for award of the qualification, and
5. the higher education institution at which the courses set out in item 4, or corresponding third-cycle courses and programmes, have been completed.

A translation of the title of the qualification to one or several languages may be included on the certificate.

Section 10a. A certificate shall be accompanied by

1. a diploma supplement that describes the study programme and its place in the educational system.

The Swedish Council for Higher Education may give notification of further provisions about what the supplements listed in the first paragraph must contain.

Section 11. If a certificate is awarded for a study programme undertaken at more than one higher education institution, it shall be awarded by the institution at which the student completed the programme. This does not apply, however, if the higher education institutions involved have reached some other agreement or the higher education institutions shall jointly issue a joint degree pursuant to Chapter 1, Section 17 of the Higher Education Act.

Joint degrees are regulated in Chapter 6, Section 11a-f of the Higher Education Ordinance.

7.4.1 Degree certificate

Every student who is awarded a pass for a licentiate or doctoral degree at KI will upon request receive a degree certificate. This degree certificate is the official document that proves the degree has been obtained. The degree certificate can only be issued in one original. If the original is lost, the University Administration can only supply a copy.

For other regulations, please see "*Examensregler för utbildning på forskarnivå vid Karolinska Institutet*", ref. no. 2276/2012-500.

7.4.2 Diploma Supplement

A Diploma Supplement is attached to all degree certificates for doctoral and licentiate degrees provided by KI. This describes the education and its place in the educational system. The supplement is in English and is supplied free of charge to the student.

8 Financial support for the doctoral student

Higher Education Ordinance, Chapter 7 – Admission to doctoral education – General regulations

Section 34. The number of doctoral students admitted to doctoral courses and study programmes may not exceed the number that can be offered supervision and otherwise acceptable conditions for study and whose studies are funded pursuant to Section 36.

Section 36. A higher education institution may only admit applicants to doctoral courses and study programmes that are employed as doctoral students or awarded doctoral grants. The higher education institution may, however, admit applicants who have some other form of funding for their studies, if it considers that the funding can be guaranteed throughout the entire period of study and that the applicants can devote enough time to their studies to enable their completion, within four years in the case of a licentiate degree or eight years in the case of a doctoral degree.

It is the responsibility of the Head of Department to assess whether a doctoral student, upon admission, can be ensured financial support during the entire period of their doctoral education.

8.1 Employment of doctoral students

Employment as a doctoral student (i.e., “doctoral studentship”) is regulated in Chapter 5, Sections 1-7 of the Higher Education Ordinance.

Within the scope of a doctoral studentship, the student may participate in teaching and other department duties up to 20 per cent.

Time spent on teaching and other department duties during the doctoral studentship must be compensated by an equivalent extension of the period of doctoral education, if this is necessary to obtain a degree.

8.2 Other types of appointment

Doctoral education may be combined with other types of employment or appointment at another employer, e.g. in healthcare or industry. This should be made clear in the individual study plan. In some cases, this can involve assistance in funding or even the provision of time for their doctoral education. This is permitted, provided that the rules and guidelines of KI are adhered to, and that the process of doctoral education, as specified in the general syllabus and the individual study plan, is not hindered as a result of restrictions that stem from requirements associated with the other form of funding.

After 1 July 2016 doctoral grants (Sw: *utbildningsbidrag*) are no longer an option at KI.

8.3 Scholarships / stipends

Doctoral students at KI can be funded through external scholarships/stipends on condition that the total income level is not lower than the minimum income levels after tax in the local collective bargaining agreements for doctoral students. In those cases where the

external scholarship/stipend is lower than these levels, additional funding shall be offered via a complementary doctoral scholarship (see 8.3.1) or employment.¹³

According to the Higher Education Ordinance (Chapter 1, section 11c), KI shall provide insurance cover at Kammarkollegiet for doctoral students whose studies are funded through a stipend. The insurance shall apply when the doctoral student's stipend is reduced due to absence from studies in the case of illness or parental leave.

8.3.1 Complementary doctoral scholarships

Complementary doctoral scholarships for external scholarships

- shall – together with the external scholarship – reach the current minimum income levels for doctoral students, of which the external scholarship must make up at least 50 percent of the total scholarship amount on admission,
- may be set up for individuals who have been admitted to third cycle education at KI and have been awarded an external scholarship,
- may – in exceptional cases – be set up on a full-time basis for a maximum of four months prior to admission for third cycle education at KI, provided that the individual has been awarded an external scholarship for education at third cycle level for which payment begins after admission,
- may be set up for short periods on a full-time basis, provided that that total sum of complementary scholarships during the entire period of doctoral studies (including any scholarship prior to admission) does not exceed the total sum for the external scholarship,
- must not run in parallel with any type of employment at KI (see also point 2.5 above).

Please note that scholarships cannot be financed via government grants and that scholarships shall not be awarded to those who have received a salary or fees from KI within a two year period prior to the first scholarship payment. Please see Scholarship regulations at Karolinska Institutet for more information.

No other scholarships than these complementary doctoral scholarships can be issued at KI for doctoral students.

¹³ Scholarships regulations at Karolinska Institutet (ref. no. 1-728/2015)

9 Dealing with problems, withdrawing resources and expulsion

9.1 The Doctoral Students' Ombudsperson

The Doctoral Students' Ombudsperson at KI is an independent expert, employed by the student union with the task of supporting doctoral students who need help during the time they are studying. The Doctoral Students' Ombudsperson also operates as a representative for doctoral students in conflicts with the department. Cases handled by the Doctoral Students' Ombudsperson are confidential.

9.2 Dealing with problems

Employer and educational responsibility for a doctoral student is delegated to the Head of Department/departmental level. Consequently, the Head of Department, the department's Director of doctoral education, and the Head of Administration or HR Manager, must always be contacted first and as early as possible.

The Doctoral Students' Ombudsperson, the Faculty Office or Human Resources Office can be contacted for advice, but the responsibility for dealing with issues, in most cases, rests with the department.

Some types of case are, however, dealt with in specific regulations:

- Reports of (suspected) discrimination or/and harassment (parts of the Discrimination Act).
- Reports of (suspected) cheating, plagiarism etc. (case sent to the Disciplinary Committee, Higher Education Ordinance, Chapter 10, and KI's guidelines for the management of cheating).
- Reports of (suspected) cheating/fraud in research.
- Withdrawal of resources from the doctoral student (Vice-chancellor's decision, Higher Education Ordinance, Chapter 6, Section 30).

If the department, supervisor(s) or student think that the matter needs to be discussed or reviewed by an expert outside of the department, either party may request the help of the Board of Doctoral Education, once the relevant people at the department have been informed. The case is then prepared by the Faculty Office and the decision is made by the Dean of doctoral education. The case may also be submitted to the Board of Doctoral Education and/or referred to the Vice-chancellor.

9.3 Withdrawing a doctoral student's resources

Higher Education Ordinance, Chapter 6 – Right to supervision and other resources

Section 30. If a doctoral student substantially neglects their undertakings as specified in the individual study plan, the President shall decide whether the doctoral student will no longer be entitled to supervision and other educational resources. Before such a decision is made, the doctoral student and the supervisors shall be given an opportunity to submit statements. The case shall be considered on the basis of their reports and any other records available. The assessment shall take into account whether the higher education institution has fulfilled its own undertakings in accordance with the individual study plan. The decision should be set out in writing and include justification.

Resources may not be withdrawn for any period during which the doctoral student has been employed as a doctoral student or is receiving a doctoral grant.

Section 31. If study resources have been withdrawn pursuant to Section 30, the doctoral student may, on application to the President, recover his or her entitlement to supervision and other resources. The doctoral student must then demonstrate convincingly, by presenting prospective study results of considerable quality and scope, or in some other way, that they can fulfil their remaining commitments as stipulated in the individual study plan.

Section 36. The President may not delegate decisions pursuant to Sections 30 & 31.

If a doctoral student seriously neglects their commitments, as described in the individual study plan, the Vice-chancellor is empowered by Chapter 6, Section 30 of the Higher Education Ordinance to decide whether or not they are entitled to further supervision and other resources necessary for doctoral education. The decision is taken upon receipt of a report from the relevant Head of Department. Before a decision to withdraw resources is taken, the student and their supervisors will be given an opportunity to submit statements. The student is entitled, according to the Higher Education Ordinance, to have their right to supervision and other resources restored if proof can be provided of good forthcoming study results. See Rules and instructions: withdrawal of resources for doctoral student at KI, ref.no 1-434/2014.

9.4 Expulsion

Higher Education Act, Chapter 4

Section 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 condition for expulsion is when a palpable risk is deemed to exist wherein, as a result of the circumstances set out in 1-3 above, the student may harm another person or damage valuable property during her or his studies.

Earlier revisions

Date, revision	Section	Update	Decision
2015-07-01	2.2	The section on provisional regulations for entry requirements is removed. The regulation is not applicable anymore.	Higher Education Ordinance
2015-04-01	5.3.3 5.3.4	Half-time summary.	FUS 2014-10-06, §9
	7.2.5	Minor revision in text regarding examination board (point 2 and 8).	FUS 2015-03-03, §9
	7.2.6	The examination board should not make any decisions at the pre-review, only assess if the thesis has enough quality.	FUS 2014-10-10, §10
	8.4	New scholarship regulations: complementary scholarships for doctoral students.	Vice-Chancellor decision, ref. no 1-125/2014
	9.3	Reference to new document regarding rules for withdrawing of resources for doctoral students.	Vice-Chancellor decision, ref. no 1-434/2014
2014-01-01	2	This whole chapter has been updated according to the new admissions regulation.	Established by the Board of Karolinska Institutet ref. 1-563/2013
	2.3	Specification of requirements for advertisement of doctoral positions.	FUS 06/11/2013, ref. no. 1-586/2013
	3.4	General selection criteria for courses have been changed.	FUS 06/05/2013 ref. no. 1-258/2013
	8.1	New regulations with regard to doctoral grants.	Vice-Chancellor's decision, ref. no. 1-501/2013
2013-07-01		The document "Rules of doctoral education" was approved in full. Replaces an earlier document, ref. no: 5431/10-500.	FUS 2013-03-07, Ref. no. 1-133/2013

FUS = Board of doctoral education