
IE-JTH-20 -003F replaces IE-JTH-20-003C

This instruction is a translated version of I-JTH-20-003F. The instruction is based on *Regulations and guidelines for first, second and third cycle education at Jönköping University* (from here on called JU's general regulations).

REGULATIONS AND GUIDELINES FOR THIRD-CYCLE PROGRAMMES AT SCHOOL OF ENGINEERING

This document regulates the third-cycle programmes at School of Engineering implemented under the University's own auspices in the area of *Industrial product realization*. The area of degree-awarding powers was formally granted to Jönköping University (JU) through a government decision dated 02/09/2010. The document is, in parts, also applicable to third-cycle programmes beyond this area which are run in cooperation with other higher education institutions with degree-awarding powers. This document is based on JU's *Regulations and guidelines for first, second and third cycle education at Jönköping University* (updated on 01/07/2014, Swedish version). At Jönköping University, the Board of Education and Research Education (NUF) is responsible for general quality assurance of degrees at all levels (in accordance with an instruction for NUF, decided upon by the foundation board on 20/10/2008). School of Engineering has an equivalent body for quality assurance of degrees in its *Quality Council for Education and Research Education at School of Engineering (RUF)*. Third-cycle programmes in cooperation with other higher education institutions are regulated by means of cooperation agreements between the affected parties. According to the organisation plan of the School of Engineering, the *head of doctoral programmes* at School of Engineering holds overall responsibility for third-cycle programmes at School of Engineering.

Third-cycle programmes

According to JU's general regulations, section 4

- a doctoral student is a student who has been accepted for and pursues a third-cycle study programme. A doctoral student may have a doctoral student appointment or finance the studies in some other way.
- JU documents details on persons who apply for, are accepted for and pursue third-cycle studies at the university. Reporting of study results to the study documentation system LADOK must take place at the latest seven working days after the decision has been made.

1. General syllabus

According to JU's general regulations, section 4.1

- there must be a general syllabus for each third-cycle subject area which is established by the Board of Education and Research Education (NUF) according to suggestions from the school.
- the general syllabus must be compliant with the special requirement specified in the statutes which are applicable, according to legislative regulations, for this degree at the universities and colleges covered by the Swedish Higher Education Act. The national targets and degree requirements can be found in accordance Appendix 2, System of Qualifications, in Higher Education Ordinance (1993:100). The degree descriptions for third-cycle programmes, together with possible local specifications, are communicated via the website of the university, hj.se, under the Board of Education and Research Education.

At School of Engineering, the *relevant third-cycle subject area responsible* compiles proposals for a general syllabus for the third-cycle subject area in question in consultation with *the head of doctoral programmes*. *The head of doctoral programmes* requests a statement from the Quality Council for Education and Research Education at School of Engineering (RUF) and submits the proposal to the Board of Education and Research Education (NUF) for ratification.

2. Responsibilities and authorities of the schools

According to JU's general regulations, section 4.2

- the schools must decide, within the scope of the university's general regulations, on admissions and selections for third-cycle programmes, establishment of individual study plans and credit transfers, and must stand responsible for implementation, follow-up and examination of the programmes followed by individual doctoral students.
- the school must organise and communicate the distribution of responsibilities and decision-making authorisations for third-cycle programmes at the school.
- The decisions of the school concerning supplementary regulations for admission, selection, credit transfer, implementation, procedures for switching subject area or supervisor and organisation of third-cycle programmes must be reported to the Board of Education and Research Education (NUF).

At School of Engineering, the *dean* is responsible for organising and communicating responsibilities and decision-making authorisations for third-cycle programmes.

3. Entry requirements

According to JU's general regulations, section 4.3

- to be admitted to third-cycle programmes, applicants have to meet basic entry requirements, as well as the special entry requirements which may have been prescribed for certain subject areas. The school may permit an exemption from the general entry requirements for an individual applicant, if there are special grounds.
- anyone who has been awarded a second-cycle qualification or have satisfied the requirements for courses comprising at least 240 credits, of which at least 60 credits were awarded in the second cycle, or who has otherwise acquired, either in Sweden or abroad, knowledge essentially equivalent to the basic entry requirements for third-cycle programmes.
- the requirements specified for special entry requirements as provided in the study plan must be necessary for doctoral students to be able to benefit successfully from the programme.

At School of Engineering, *the head of doctoral programmes* makes decisions on any such exceptions based on suggestions from the *third-cycle subject area responsible*.

4. Admission and selection

According to JU's general regulations, section 4.4

- a person who wishes to be admitted to a third-cycle programme must apply within the time prescribed and in compliance with the procedures laid down by the school in question. Queries on admission will be decided by the relevant school. However, only the number of doctoral students who can be offered acceptable conditions in terms of supervision and general conditions for study may be accepted for third-cycle programmes. A main supervisor is appointed at the time of admission.

- when selecting between applicants who meet the entry requirements, their ability to benefit from the study programmes must be taken into account.

At School of Engineering, the *research leader* deals with admission and selection of doctoral students and proposes applicants to the *head of doctoral programmes*, who decides on admission once the *dean* has approved the funding. The form *Application for admission for third-cycle programmes* are used for the admission procedure.

5. Credit transfer

According to JU's general regulations, section 4.5

- doctoral students who have successfully completed part of their third-cycle programmes at a higher education institution in Sweden or abroad will, after assessment, be entitled to transfer credits for this work within the scope of applicable targets and degree requirements. If, within the scope of their third-cycle programmes, the applicant is to transfer credits from courses passed prior to admission as a doctoral student, this must be specified in the admission decision.
- credit transfers for first-cycle courses or equivalent education will not be admissible for third-cycle programmes.
- credit transfers for second-cycle courses or equivalent will be permitted, within the scope of applicable targets and degree requirements for third-cycle programmes, for the elements beyond the entry requirements for third-cycle programmes.

At School of Engineering, the *head of doctoral programmes* makes decisions on credit transfers on the basis of proposals from the *third-cycle subject area responsible*, after preparation of the main supervisor together with the examiner. For further details see instruction IE-JTH-20-011 *Courses in third-cycle programmes* and the form BE-JTH-20-010 *Application for credit transfer in third-cycle education*.

Implementation of third-cycle programmes

6. Supervision

According to JU's general regulations, section 4.6

- the school must appoint, for every doctoral student, at least two supervisors; and at least one of these supervisors must have completed supervisor training or have equivalent expertise. One of the supervisors will be appointed main supervisor, and this person must be qualified as a docent or professor. The assistant supervisor must hold a Doctor of Philosophy. The appointment of supervisor should consider all areas/subjects/methods that the thesis is planned to include.
- Doctoral students are entitled to supervision for the total time which may be regarded as being necessary for the prescribed study programme of 120 credits or 240 credits respectively.
- a decision on an allocated supervisor can be altered on application by a doctoral student or supervisor, or for other reasons.
- the main supervisor should together with the doctoral student compile a proposal of an individual study plan. The supervisor must also provide the doctoral student with advice and instructions on their choice of courses and specialisation, planning and implementation of thesis work.
- the doctoral student must keep his or her supervisors informed on the progress of thesis work and other studies in relation to the individual study plan and in accordance with the instructions of the supervisors.

At School of Engineering, the *head of doctoral programmes* appoint supervisors according to suggestions from the *research leader*. Change of supervisor is decided by made by the *head of doctoral programmes*.

7. Individual study plan

According to JU's general regulations, section 4.7

- an individual study plan must be compiled for every doctoral student. This must be established by the body within the school which is authorised to make a decision on the matter, but not by the doctoral student's supervisor, according to suggestions from the main supervisor in consultation with the doctoral student. The doctoral student and main supervisor must sign the proposal and be notified of the decision.
- the individual study plan must include a schedule for the doctoral student's programme, details on how the supervision of the doctoral student is organised, a description of the general undertakings of the doctoral student and the school during the programme period, and what is otherwise required for the programme to be run efficiently.
- the progress of studies in relation to the individual study plan must be followed up at least once a year by the main supervisor. At the follow-up, the doctoral student and the main supervisor must notify the person responsible at the school of how the education is progressing. The person responsible at the school has to document the results of the follow-up so that these can be monitored while the doctoral student is studying. See also the section entitled Withdrawal of entitlement to supervision and other resources.

At School of Engineering

- the form *Individual study plan for third-cycle programmes* (form BE-JTH-20-002) is available for compilation of individual study plans,
- the individual study plan is established by the *research study advisor* together with the *main supervisor*, who compiles the study plan in consultation with the student,
- the *main supervisor* must ensure that the individual study plans for doctoral students are updated at least once a year, see also instruction *Uppföljning av utbildning på forskarnivå vid JTH* (I-JTH-20-013).
- updated individual study plans must be submitted to the *research study advisor* via the main supervisor,
- the *research study advisor* must carry out an annual follow-up on the progress of the studies of doctoral students.

8. Withdrawal of entitlement to supervision and other resources

According to JU's general regulations, section 4.8

- if a doctoral student significantly neglects the undertakings in accordance with the individual study plan, the school must make a decision to withdraw the student's entitlement to supervision and other resources for the programme.
- before any such decision is made, the doctoral student and the main supervisor must be given the opportunity to make statements. Assessment must take place on the basis of their findings and any other investigation available. During this assessment, it is necessary to consider whether the school has complied with its undertakings in accordance with the individual study plan. This decision must be put into writing and justified.

- the resources must not be withdrawn for the time when the doctoral student is employed as a doctoral student or is receiving a doctoral grant. For doctoral students with doctoral student appointments, any decision to withdraw entitlement to supervision and other resources, may result in the doctoral student not being offered extended employment as a doctoral student. A corresponding rule is applicable to doctoral students with doctoral grants. This decision will come into force when the ongoing employment period or grant period comes to an end. The time must be specified in the decision.
- will mean, for doctoral students with other employment within the higher education institution, a decision on withdrawal of entitlement to supervision and other resources, the employee no longer being assigned working hours to continue their third-cycle programmes within the scope of the tasks involved in the employment. This decision will come into force from the time specified in the decision.
- for doctoral students with other finance, the decision will come into force from the time specified in the decision. In the cases of external finance, e.g. industrial doctoral students, clinical doctoral students or students with scholarship finance, this time should be determined following consultation with the financier.
- decisions on withdrawal of entitlement to supervision and other resources may be appealed to the higher education institution's appeals board.

At School of Engineering, the *dean* makes decisions on cases involving withdrawal of entitlement to supervision and other resources for the programme following preparation by and proposals from the *head of doctoral programmes*. In the preparation, an investigation of the relevant case must take place under the management of the *research study advisor*.

Examination of third-cycle courses and study programmes

9. Examination of third-cycle courses

According to JU's general regulations, section 4.9

- an examiner for courses included in the programme must be appointed by the school. An examiner for third-cycle courses shall have the competence of at least docent according to Table 1 in chapter 6.2 of JU's general regulations.

At School of Engineering, the *main supervisor* is the examiner for courses that form part of the programme.

10. Guidelines and instructions for scholarly theses (doctoral theses)

According to JU's general regulations, section 4.10, the following are applicable:

- ***Format of the doctoral thesis***

The format of the doctoral thesis is either as a monograph thesis or as a compilation thesis. The doctoral thesis must be written in Swedish, English or another language in accordance with what is prescribed in the general syllabus valid for the subject area in question. A brief abstract in English must be included with the doctoral thesis. If the thesis is not written in Sweden, the abstract must be translated into Swedish and enclosed with the thesis.

- ***Publication***

Doctoral theses must be published in a series with an ISSN or ISBN number issued by Jönköping University or the school in question, and be published unabridged in the electronic publication tool DiVA unless there is an agreement with external publisher. It is possible to publish the thesis via a

publishing company. Quotation requests and printing are handled by the person responsible for publishing the series in question.

- ***Printing costs and distribution***

The school will stand responsible for reasonable costs for the production of doctoral theses as required for qualification as a Doctor of Philosophy. This includes duplication of the copies required for distribution as specified below, along with 20 copies for the personal use of the doctoral student.

The doctoral thesis, together with the notification of submission of the doctoral thesis, must be provided at the latest 3 weeks and 3 working days prior to public defence of the thesis: at least 20 copies to the higher education institution's library, or 5 copies to the library and full-text publication in the electronic publication tool DiVA. Full-text here refers to the cover section.

The school in question distributes the thesis to the opponent and examining committee, as well as to the relevant bodies within the institution.

At School of Engineering, the thesis format is regulated the instruction *Third-cycle programmes at School of Engineering (JTH) – process, reconciliation points, and thesis requirements* (instruction IE-JTH-20-009), and the *main supervisor* is responsible for production and distribution of the doctoral thesis.

11. Rules for public defence of a doctoral theses

According to JU's general regulations, section 4.11, the following are applicable:

- ***Application of public defence of a doctoral thesis***

Before a thesis is published, it shall be the subject of at least one seminar at the school.

The school in question shall submit a written application of the public defence of the doctoral thesis to the Board of Education and Research Education (NUF). In the application it shall be confirmed in writing that a final seminar has been held and that publication of the thesis is approved by at least two persons holding main supervisor authorisation, of which one must be affiliated to a faculty at another higher education institution. The application shall also include suggestions for a faculty examiner (opponent), a chairman of the public defence of the thesis, members of the examining committee and the time and place for defence of the thesis. The application is sent via the University Registrar and should be available for the Board of Education and Research Education (NUF) at the latest two weeks before the next meeting of the committee. There must be at least two months between notification and defence of the thesis. The school in question is responsible for booking premises in good time before the public defence.

Decision is made by the Board's presidium (Chairman and vice Chairman of the Board) and is announced at the coming meeting of the Board. A copy of the protocol from the Board of Education and Research Education (NUF) will be enclosed to the application in the registrar.

For calendar planning of public defences, with respect to terms at the school in question and to avoided clashes with other public defences, the one responsible for graduate programmes or equivalent is in charge.

If changes in an approved application, the school in question shall apply for this in written request to the Board of Education and Research Education (NUF). A list of the change (s) shall be attached to the request. The request must be signed by the same people who signed the earlier approved application.

At School of Engineering, the *head of doctoral programmes* reports the defence of the thesis in question to the Board of Education and Research Education (NUF) according to suggestions from the *main supervisor*, furthermore is the *research coordinator* responsible for calendar planning.

- ***Notification of public defence of a doctoral thesis***

The school is responsible for arranging a notification ceremony (spikning) and inviting delegates to this, and determines who is to lead this. The school determines whether the notice shall be published in a noticeboard. In addition, the school is responsible for ensuring that electronic notification of the date of the defence ceremony takes place in accordance with the higher education institution's administrative procedures for publication in DiVA.

The dean at the school, or the person appointed by the dean, signs two copies of the thesis in good time prior to notification.

According to the president's decision 2012-12-21, §539, doctoral theses and licentiate theses should be preserved. The school assigns someone to receive copies for archiving, this person puts one signed copy for archiving, and the second copy is made available for notification on a notice board. Unless special reasons exist, notification must take place at the latest three weeks before the public defence of the thesis.

As a basis for press information, the doctoral student submits a brief description of the content of the thesis which is readily accessible to the general public, along with a photo of the doctoral student, to the relevant marketing department/information unit of the school when announcing the date of the defence ceremony.

At School of Engineering, the *head of doctoral programmes*, in consultation with the *main supervisor* determines who is to manage the notification ceremony (normally the chairman of the faculty board). The *main supervisor* arranges the notification ceremony and invites attendees. Press information is handled by the *information manager* assigned for School of Engineering at University Services.

The dean at School of Engineering has appointed the Chairman or the vice Chairman of the Board to sign the thesis prior to notification.

At School of Engineering, the JU's Registrar is responsible for achieving the thesis.

- ***Chairman at defence of the thesis and faculty examiner (opponent)***

The public defence of the thesis must be led by a chairman, for example the main supervisor, subject area responsible or the academic leader of the school. There must be a faculty examiner (opponent). The faculty examiner (opponent) must be a docent or professor or have equivalent scientific expertise, within the relevant subject area. The chairman and faculty examiner (opponent) will be appointed by the Board of Education and Research Education (NUF) subject to suggestions from the school. The school is responsible to secure that the opponent is selected to avoid bias.

At School of Engineering, the *head of doctoral programmes*, in consultation with the *main supervisor*, proposes a chairman and faculty examiner (opponent) for the public defence of the thesis to the Board of Education and Research Education (NUF).

- ***Grades and the examining committee***

A doctoral thesis must be assessed as either a pass or a fail. This assessment must take place on the basis of the degree requirements for a Doctor of Philosophy. Attention must be paid to the contents of the thesis and defence of the same.

The grade for a doctoral thesis must be determined by an examining committee, which must consist of three or five members appointed by the Board of Education and Research Education (NUF) according to suggestions from the school. Members must be docents or professors or have equivalent scientific expertise. The majority of members on the examining committee must be affiliated to faculties at other higher education institutions. Members of both sexes must be appointed, unless there are specific reasons for doing otherwise. The person who has acted as the supervisor for the doctoral student must not form part of the examining committee.

The examining committee, which normally meets immediately after defence of the thesis, is ready to make its decision when all members are present and appoint a chairman from their ranks. Its decisions shall be recorded in the form of a decision-making protocol for which the supervisor is responsible. The decision of the examining committee is the opinion agreed upon by the majority. The chairman of the examining committee decides who can be present at the meeting with the examining committee and will be entitled to take part in the discussions. Only the examining committee make the decision. The examining committee must give the reasons for its decisions, and may present a more detailed statement on the thesis in addition to the decision record.

At School of Engineering, the *head of doctoral programmes*, in consultation with the *main supervisor*, proposes members for the examining committee to the Board of Education and Research Education (NUF).

12. Guidelines and instructions for licentiate theses

According to JU's general regulations, section 4.12, the following are applicable:

- ***Format of the licentiate thesis***

The format of the licentiate thesis is either as a monograph thesis or as a compilation thesis. The licentiate thesis must be written in the language specified in the general syllabus. A brief abstract in English must be included with the licentiate thesis. If the thesis is not written in Sweden, the abstract must be translated into Swedish and enclosed with the thesis.

- ***Publication***

Licentiate theses must be published in a series published by Jönköping University or the relevant school, and be published in full text versions in the electronic publication tool DiVA. Offer requests and printing are handled by the person responsible for publication of the series in question.

- ***Printing costs and distribution***

The relevant school will stand responsible for reasonable costs for the production and duplication of licentiate theses as required for qualification as a licentiate. This includes duplication of the copies required for distribution as specified below, along with 20 copies for the personal use of the doctoral student. At least five copies of the licentiate thesis must be provided to the library of the higher education institution at the latest three weeks before the licentiate seminar.

At School of Engineering, the *main supervisor* is responsible for production and distribution of the licentiate thesis.

13. Rules for examination of licentiate theses

According to JU's general regulations, section 4.13, the following are applicable:

- ***Grade***

A grade for the licentiate thesis must be determined by an examiner appointed by the school. If the tradition in the field includes examination with an examining committee, the school has to make the decisions needed.

At School of Engineering, the *main supervisor* is examiner for the licentiate thesis, if not a specific examiner is appointed.

- ***Licentiate thesis submission***

Before a thesis can be presented publicly, submission must be confirmed by the examiner.

- ***Notification of licentiate seminar***

The school in question must send the notice of the licentiate seminar to the JU's Registrar for registration and must be available for the Board of Education and Research Education at the latest four weeks before the seminar is held. The notification must include information on the opponent, the title of the thesis, and the time and location of the licentiate seminar. The seminar is announced in the protocol for the Board of Education and Research Education. An archive copy of the thesis signed by the examiner must be registered and filed at the relevant school.

The thesis is published immediately after this by the school, together with details on the time and location of the licentiate seminar, on the website of school. The relevant school is responsible, with support from the information department at JU, for both external and internal information about the thesis and its production.

At School of Engineering, the *main supervisor* in consultation with the *head of doctoral programmes* reports on details for the licentiate seminar to the Board of Education and Research Education. In addition, the *main supervisor* ensures that a signed achieve copy of the thesis is submitted to the *JU Registrar*. for registration and filing. Information is handled by the *information manager* assigned for School of Engineering at University Services.

- ***Faculty examiner (opponent) and chairman at licentiate seminars***

The licentiate seminar must be led by a chairman, normally the examiner. The licentiate seminar must be attended by a faculty examiner (opponent) appointed by the school. This faculty examiner (opponent) must have a doctoral degree and be employed at a higher education institution other than Jönköping University, private industry or other non-academic organisation. The school is responsible to secure that the opponent is selected to avoid bias.

At School of Engineering, the *head of doctoral programmes*, in consultation with the *main supervisor*, appoints a chairman and opponent for the licentiate seminar.

Third-cycle degrees

1. Degree requirements

According to JU's general regulations, section 5.1

- According to the Government decision (Dnr HJ: 06/261-1.2.1.; 08/129-121; 09/302-221; 10/49-121), Jönköping University is authorized to grant doctoral degrees, in the humanities and social science field of study (except in political science) and the field of industrial product realisation, as well as a Licentiate degree in Humanities and social science field of study (except in political science), as well as the field of industrial product realisation.

2. Subject areas for third-cycle degrees at JU

According to JU's general regulations, section 5.2, JU arranges education and issues third-cycle degrees

- in humanities and social sciences field within third-cycle subject areas as specified in JU's general regulations, chapter 5.2,
- in the field of Industrial product realisation, with the specifications Engineering (Licentiate degree) and Philosophy (Doctoral degree), within the third-cycle subject areas of machine design, materials and manufacturing, and production systems. Third-cycle education is also carried out in collaboration with higher education institutions with degree-awarding powers in the field of technical sciences, in addition to Industrial product realisation.

At School of Engineering

- third-cycle programmes are run in the area of Industrial product realisation, with the third-cycle subject areas of machine design, materials and manufacturing, and production systems.
- third-cycle programmes is also carried out in collaboration with higher education institutions with degree-awarding powers in the field of technical sciences, in addition to Industrial product realisation.

3. Award degree

According to JU's general regulations, section 5.3

- ***Degree requirements***

In accordance with the Act of Certain Degrees Licensing Act (1993:792), each degree at Jönköping University, must cover the requirements laid down for the degree in question at the universities and colleges covered by the Swedish Higher Education Act. These requirements are ratified by the government and can be found in Higher Education Ordinance (1993:100), Appendix 2, System of Qualifications. In addition, the specific goals and degree requirements laid down in the general syllabus for third-cycle programmes within a subject area are applicable.

- ***Degree certificate***

The Chairperson of the Board of Education and Research Education (NUF) and the dean of the relevant school will issue degree certificates to doctoral students who meet the requirements for a Licentiate or Doctor of Philosophy. Degree certificates are issued by administrators at University Services on behalf of the schools.

At School of Engineering, the *research coordinator* commission administrators at University Services to administrate degree certificates for both Licentiate and Doctor of Philosophy.

4. Third-cycle qualifications

According to JU's general regulations, section 5.4

- Degree descriptions are regulated by the Higher Education Ordinance (1993:100), Appendix 2, System of Qualifications, and is described based on the level and scope, objective, scientific thesis requirements as well as any specific degree requirements. The degree descriptions for doctoral level are available via the website of the university, hj.se under the Board of Education and Research Education (NUF).

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- For Licentiate and Doctoral degreeer with a certain specification should, in the context of the requirements of this degree description, also specific requirements laid down in the general study plan should be fulfilled.