

REGULATIONS FOR PUBLIC DEFENCE OF DOCTORAL DISSERTATIONS IN
THE FACULTY OF HUMANITIES
(adopted by the Faculty Board on November 11, 2003, revised on January 25, 2005, April
21, 2010 and March 15, 2011).

The Higher Education Ordinance of Sweden (Chapter 6, Sections 33-35) specifies the general rules governing the public defence of doctoral dissertations. In addition, the Vice-Chancellor's Office issued the *Regulations for Doctoral Level Education at Stockholm University* (as of December 16, 2010). The present document specifies the rules and regulations that apply to the Humanities Faculty of Stockholm University.

1. General Rules

The time and place for the Public Defence are to be determined by the Director of Student Services [*Studentavdelningen*]. An exemption is required for those cases where it is planned to hold the Public Defence outside of term time, outside the premises of Stockholm University, or with an abridged notification time for the dissertation.

After consultation with the Department in question, the Dean of the Faculty (on authority delegated from the Faculty Board) shall appoint the Faculty Examiner, the Examining Committee and the Chair of the examination proceedings.

The Department application for the Public Defence of a dissertation is to be signed by the Department Chair and addressed to the Faculty of Humanities. The application is to be submitted to the Office of the Faculty no later than six weeks before the suggested date of the Public Defence. An electronic copy is to be sent to the Faculty dissertations officer at the same time as the original copy is submitted. (The graduate student should inform Student Services [*Studentavdelningen*] of the upcoming public defence well in advance.)

2. The application for the Public Defence of a dissertation

The Application

The Department application is to be submitted on the appropriate form (available electronically at www.hum.su.se » Regelverk » Regler för utbildning » Regler kring disputation) and is to include the following information:

- the student's name (name and e-mail address)
- the subject in which the degree will be conferred (third-cycle subject area)
- the title of the dissertation
- information regarding time and place for the Public Defence

- the name of the primary Supervisor
- a nomination for the Chair for the proceedings (name, title, academic affiliation and e-mail address)
- a nomination for the Faculty Examiner (name, title, academic affiliation and e-mail address)
- nominations for the Members of the Examining Committee (names, titles, academic affiliations and email addresses)
- the signature of the Department Chair

The Chair

The Chair of the Public Defence will normally be a Full Professor at the department the student is affiliated with. The primary supervisor may chair the Defence.

The Faculty Examiner

The Faculty Examiner should hold an academic position no lower than Associate Professor or Reader [*docent*] or the equivalent. The Faculty Examiner may not be from the same Department as the Candidate.

The Examining Committee

The Higher Education Ordinance of Sweden (Chapter 6, section 34) specifies that when grading the dissertation, one person shall participate who is not currently working at the University/College where the doctoral student is being examined. The *Regulations for Doctoral Level Education at Stockholm University* specify that the Examining Committee at the defence shall consist of three to five members.

The *Regulations for Doctoral Level Education at Stockholm University* also specify that one of the members of the Examining Committee must hold a position in the Faculty, at least one must hold a position at another University (or College), and at most one may be a co-worker at the doctoral student's Department. Moreover, the supervisor may not be a member of the Examining Committee. At the Faculty of Humanities at SU, it is customary for the Examining Committee to consist of three Members.

For a Public Defence in which the Candidate has not received permission from the Department Chair to present the dissertation, the Examining Committee is to consist of five Members, no more than one of whom may be affiliated with the same research subject in the Faculty.

Both genders are to be represented on the Examining Committee, unless exceptional circumstances dictate otherwise.

Substitute Members may be nominated to the Examining Committee. Substitute Members are to be from the jurisdiction of a different Faculty Board or a different university or college.

Members of the Examining Committee are to hold an academic position no lower than Associate Professor or Reader [*docent*] or the equivalent. Under exceptional circumstances, one Member may be exempted from this requirement; in such cases, the nomination must specify the reasons for the suggested exemption.

Disqualification

The Faculty Examiner and Members of the Examining Committee must not stand in any potentially prejudicial relation to the Candidate or the primary Supervisor. (Cf. Swedish Administrative Law, Section 11, for the regulations concerning disqualification, as well as the guidelines published by the Association of Swedish Higher Education: *Jävsregler i högskolan*).

Decision

When the Dean has decided to concur with the nominations, he/she will countersign it. The countersigned decision is then sent electronically to the parties concerned. A copy of the decision will be entered as an enclosure to the Minutes of Delegation.

3. Preparations for the Public Defence

The Department of the Doctoral Student shall provide the Faculty Examiner and the Members of the Examining Committee with a copy of the dissertation no later than three weeks before the Public Defence. The Doctoral Student is responsible for submitting the dissertation to his/her Supervisors.

The Chair should contact the Faculty Examiner and the Members of the Examining Committee a week in advance, in order to ascertain that all preparations have been made for the dissertation.

The dissertation grade is either Pass or Fail. If the Faculty Examiner or a Member of the Examining Committee is of the opinion that the dissertation is in danger of not receiving a passing grade, the Chair is to be informed immediately, but no later than one week before the Public Defence. The Doctoral Student must then make a decision, together with the Chair and primary Supervisor, as to whether the dissertation should be withdrawn or not.

All members of the Examining Committee are to examine and judge the dissertation in its entirety, not merely the sections that may happen to lie within their special field of expertise.

4. The Public Defence

The Chair is to function as coordinator, ensuring that the Candidate, primary Supervisor, Faculty Examiner and Examining Committee are present during the actual Defence, and that proper records are kept of both the Defence and the decision of the

Examining Committee. (Student Services [*Studentavdelningen*] will provide the Chair with the forms for such records.)

Absence

Should the Faculty Examiner fail to be present at the time appointed for the Public Defence, the Chair shall order a temporary recess and immediately attempt to reach the Faculty Examiner.

Should one of the Members of the Examining Committee fail to be present at the time appointed for the Public Defence, the Substitute Member shall serve as Member instead. If no Substitute Member has been appointed, the Chair shall order a temporary recess and immediately attempt to reach the Member in question.

Should it not be possible to reach the missing Committee Member, the Chair shall immediately contact the Dean of the Faculty, in order to appoint a new Member. If neither the Dean nor the Assistant Dean can be reached, the Department Chair may appoint a new Member (following the guidelines in section 2 above).

If it is not possible to reach the Faculty Examiner, or appoint a new Committee Member, the Chair shall rule that the Public Defence is to be postponed to a later date.

Language

The languages in which the Defence may be conducted are those permitted as languages for the dissertation, as specified in the General Syllabus of the various doctoral degree subjects (third-cycle subject area).

The Public Defence

The Chair shall open the public proceedings of the Defence, which are open to the public, by a presentation (name, title and academic affiliation) of the Candidate, Faculty Examiner, Members of the Examining Committee and the Chair, after which the Candidate is given the opportunity to provide a short presentation of the dissertation and list of errors and corrections, if any. The Faculty Examiner then provides a brief (15-minute) summary of the dissertation, without evaluative judgements. The Candidate is then given the opportunity to comment on this summary.

The Public Defence may normally be expected to last approximately two hours, and primarily consist of the Faculty Examiner's critical consideration of the dissertation. At this point, the Faculty Examiner asks questions of the Candidate, who shall then defend the work. The Examiner and Candidate should limit their discussion to the dissertation, its references and its subject area. This section of the Defence should be in the nature of a dialogue between the Examiner and the Candidate. The Examiner should conclude the consideration with a summarizing judgement of the quality of the dissertation.

Following the Examiner's critical consideration, the Chair opens the floor to the Examining Committee, for any questions they may wish to pose to the Candidate, or their

comments on the dissertation. Should any Member have serious objections to the dissertation, they are to be raised at this point. The Chair subsequently opens the floor to the public, for any questions they may wish to pose to the Candidate, or any comments they may wish to make on the dissertation.

The Chair shall thereafter declare this section of the Public Defence closed.

The meeting of the Examining Committee

The *Regulations for Doctoral Level Education at Stockholm University* state that during the deliberations of the Examining Committee, only the Committee, one of the Supervisors and the Faculty Examiner may be present. At the Faculty of Humanities at Stockholm University, it is customary for only the Primary Supervisor to have the right to participate in the deliberations.

The Examining Committee shall appoint one of their members Chair of their proceedings.

When the decision is taken, only Members of the Examining Committee have the right to speak. Committee Members may request deliberations *in camera*. If such a request is made, only the Members of the Committee may be present when the decision is taken.

When making their decision, the Committee are to take the defence of the dissertation into account. If the dissertation is approved, the Records may only contain that information. Committee Members have the right to register in the Records their objection to such approval, but not their reasons. If the dissertation is failed, the Records are to indicate the reason(s).

The Examining Committee presents its decision by presenting the Chair of the Public Defence with their signed copy of the Records of the decision. (The Chair shall without delay submit the Records to the University Registrar.) This concludes the Public Defence of the dissertation.

5. Remuneration for expenses related to the Public Defence

The Department of the doctoral student is responsible for remunerating the Faculty Examiner and Members of the Examining Committee.

The Faculty Examiner receives a fee (currently 7,000 SEK) as well as remuneration for accommodation and travelling costs. Members of the Examining Committee do not receive any fee, but do receive remuneration for accommodation and travel.

The Faculty of Humanities pays a grant (currently 40,000 SEK) to the student's department after the Record of the decision has been submitted to the Office of the Faculty of Humanities. A prerequisite for receiving this grant is that the dissertation has obtained the grade Pass.

