



UMEÅ UNIVERSITY

ADMINISTRATIVE PROCEDURE FOR UMEÅ UNIVERSITY'S PARTICIPATION IN EDUCATIONAL COLLABORATIONS WITH OTHER UNIVERSITIES RESULTING IN A JOINT DEGREE AT DOCTORAL LEVEL

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¹ This document has been translated from Swedish into English. If the English version differs from the original, the Swedish version takes precedence.



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1. Description

The aim of educational collaboration at doctoral level resulting in a joint degree is to create greater opportunities for further international collaborations which are also broader in scope. Educational collaboration shall benefit the work of the relevant higher education institutions and add value which could not be achieved without such collaboration. The aim is to bring about long-term educational collaboration with strategically important partner universities.

The aim of the Administrative Procedure is to facilitate the preparatory work and to create the conditions for the participation of the University and the doctoral students to be in accordance with the rule of law.

2. Background

Educational collaboration resulting in a joint degree at doctoral level shall be based on a written agreement between Umeå University and one or more other national or international universities. The conditions for such collaboration are governed by the Higher Education Act, the Higher Education Ordinance, Umeå University's local regulations and this Administrative Procedure. A Joint Degree Certificate is awarded to each doctoral student. Templates are available for the documents needed for educational collaboration.

According to the Higher Education Ordinance, a higher education institution may participate in an educational collaboration resulting in a joint degree only if the collaboration is based on a written agreement. This agreement may be entered into only with an individual education provider which has degree-awarding powers or a foreign higher education institution which is not a physical person. The higher education institution shall have ensured that each component of the doctoral education has been provided by one of the higher education institutions involved in the collaboration, and that the components of the doctoral education which have been provided by another higher education institution shall have a disciplinary or artistic foundation and shall be based on proven experience. This shall, moreover, be conducted so as to ensure that the doctoral education is of high quality (Higher Education Ordinance Chapter 6, Sections 11a, 11b, 11c, 11d, 11e and 11f).

Umeå University may under certain conditions enter into an educational collaboration resulting in a joint degree at doctoral level between Swedish or international universities. The conditions for educational collaborations are governed by the Higher Education Act, the Higher Education Ordinance 1993:100 (primarily Chapters 5, 6 and 7, and Appendix 2: Qualifications Ordinance), Umeå University's local regulations and this Administrative Procedure which is internal to Umeå University.

After the examination, a Joint Degree Certificate is awarded by the collaborating universities. A Diploma Supplement shall be attached to the Degree Certificate.

Furthermore, this Administrative Procedure for participation in an educational collaboration resulting in a joint degree at doctoral level is based to large extent on the recommendations introduced by the Association of Swedish Higher Education (SUHF) in 2013



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(Recommendations for a joint degree at doctoral level, adopted by the SUHF Board on 22 February 2013, REK 2013:1).

Further documents of importance to the planned educational collaboration are attached to the Administrative Procedure. All documents included in the preparation and implementation of the educational collaboration are in the intended chronological order of procedure:

1. Guidance - the choice of a double or joint degree at doctoral level
2. Administrative Procedure for Umeå University's participation in educational collaborations with other universities resulting in a joint degree at doctoral level
3. Template for written agreement involving both academic and administrative questions, organisation and structure
4. Template for the individual study plan for studies resulting in a joint degree
5. Template for the Degree Certificate for a joint degree at doctoral level

3. Starting points

The collaboration is based on an interest in a long-term educational collaboration and not, most importantly, a research collaboration. The collaborating universities shall have the right to award the degree of Doctor. Documentation and communication shall use Swedish and European terminology. The educational collaboration shall be planned in good time, whereby both administrative and legal resources must be included.

A joint degree means a joint educational collaboration. The doctoral students who have completed their studies are awarded joint Degree Certificates from two or more universities. The collaboration is focused rather on the educational collaboration and not, most importantly, on a research collaboration.

The reason for this is that there should be an interest in creating a long-term educational structure which involves several doctoral students over a long period of time. The higher education qualification shall be of the same type and at the same level for all incoming universities in the educational collaboration.

The universities with whom Umeå University has an educational collaboration shall be those which are governed by the Higher Education Act Sections 17 and 18 and which have the right to award the degree of Doctor. These may be either national or international universities; they may not be a physical person.

A most important starting point is that the administrative and legal processing of an educational collaboration is planned in good time. There shall be an administrative resource at the Department throughout the period of the collaboration. This, together with legal skills, should be included in the planning. Resources and skills shall be of a sufficiently high standard to apply Swedish legislation and the university-wide regulations at Umeå



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University, and to manage the process from admission to the public defence of a doctoral thesis and the awarding of a Degree Certificate, financial affairs and other matters of importance to the implementation of the educational collaboration.

A doctoral student who has been admitted at a university which is involved in a collaboration, and who has been admitted to that part of the programme covered by the agreement, shall also be admitted to the doctoral education at Umeå University. The written agreement shall state which components are provided by which university.

One starting point is that all documentation and communication use Swedish and European terminology. The Swedish Language Act governs the processing of documents in Sweden, and, since some of the educational collaborations being set up will probably be based on EU funding, the language must be one used in the different countries. This means, for instance, that a doctoral education is called a 'doctoral education' or 'third cycle studies' and that a doctoral student is called a 'doctoral student' or 'doctoral candidate'.

4. The work process

Before an educational collaboration is begun, a view shall be taken on the guiding questions in *Guidance – the choice of a double or joint degree at doctoral level*. The educational collaboration shall be long-term and involve a number of doctoral students. The initiative for the educational collaboration shall be approved by the Dean and further prepared by the university lawyer before the Vice-Chancellor adopts and signs the written agreement. Admission, the implementation of the doctoral education, the research of the doctoral students and the examination of courses and components are coordinated by the collaborating universities.

Before an educational collaboration is begun, a view shall be taken on whether the collaboration shall result in a double or joint degree in accordance with *Guidance – the choice of a double or joint degree at doctoral level*.

If the educational collaboration is to involve a number of doctoral students and is planned to be long term and involving several admissions rounds, an educational collaboration resulting in a joint degree is the preferred option.

A written agreement governing the collaboration shall be drawn up. Each doctoral student shall have an individual study plan. The Administrative Procedure applies in the planning of the educational collaboration and in the producing of the written agreement for this. The Administrative Procedure applies together with the Higher Education Act, the Higher Education Ordinance, Umeå University's local regulations and SUHF recommendations.

The written agreement constitutes the basis of initial negotiations within Umeå University and thereafter with the intended collaborating universities.

The initiative for an educational collaboration shall be approved by the Dean for further preparation by the university lawyer at Umeå University. When the preparatory work has been completed and the supporting documents fully assembled together with a proposal for a joint degree programme syllabus and a written agreement with other requisite documents,



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the decision will be made by the Vice-Chancellor on the educational collaboration resulting in a joint degree at doctoral level.

5. Conditions for educational collaboration at doctoral level where Umeå University is a party

The draft for the written agreement is prepared in parallel with the planning of the educational collaboration. A doctoral student shall carry out parts of his or her research at Umeå University, which shall be stated in the individual study plan. The collaborating universities are responsible for different parts of the doctoral education, and this shall be stated in the written agreement. The Degree Certificate is awarded only when the qualification requirements have been met by all the universities. The collaborating universities shall state clearly the procedure for organising the educational collaboration. The Vice-Chancellor decides on these collaborations. The conditions for educational collaboration are set out in this Chapter.

Apart from the regulations set out in the Higher Education Act and the Higher Education Ordinance, the following conditions govern the general process of collaboration at doctoral level. The subheadings then govern each individual component of the doctoral education. The content is based on the Higher Education Act (1992: 1434), the Higher Education Ordinance (1993:100), Admission regulations for doctoral education at Umeå University and Regulations for doctoral education at Umeå University.

It is important that the draft of the written agreement is prepared in parallel with the planning of the doctoral education and the collaboration. Swedish legislation governs those principles and rights which are not negotiable and which cannot be omitted from the agreement.

In order to honour the written agreement, each doctoral student shall carry out parts of his or her research at Umeå University. The planning of this and the general conditions that apply shall be clearly stated in the individual study plan of each doctoral student.

The Joint Degree Certificate shall contain the logo of every university involved in the collaboration. The Degree Certificate is only awarded when the qualification requirements have been met at all the universities.

The collaborating universities, where Umeå University is a party, are responsible for the different parts of the doctoral education and the research included in the programme syllabus produced. The written agreement shall state clearly which roles and which responsibilities the different universities will have during their educational collaboration.



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5.1 General conditions

5.1.1 The educational collaboration requires a very high degree of agreement on regulations and educational targets. This requires preparatory work to be done on a thorough basis.

5.1.2 As part of the preparatory work, assurance is needed that the doctoral education will meet national and local requirements for studying at doctoral level and for taking the degree of Doctor at the premises of the collaborating universities.

5.1.3 In the case of international educational collaboration, assurance is needed that the degree can be awarded in a corresponding subject, and that it is accredited in each country.

5.1.4 Depending on the outcome of the preparatory work, only selected and prioritised collaborations with strategically important partner universities will be considered.

5.1.5 The written agreement shall have been approved by the Dean and the university lawyer at Umeå University. The Vice-Chancellor has the power of decision.

5.1.6 The written agreement is signed by the Vice-Chancellor at Umeå University and representatives of the collaborating universities involved in the educational collaboration.

5.1.7 The written agreement shall state clearly its period of validity.

5.1.8 The written agreement shall make clear the procedure for organising the educational collaboration, and which individuals are responsible for the collaboration and are the contacts for each university.

5.1.9 The written agreement shall make clear the roles of the incoming collaborating universities.

5.1.10 The written agreement shall state the procedure for its termination and which party is responsible for that.

5.1.11 The written agreement shall state the procedure for making amendments and adding supplements.

5.1.12 The written agreement shall state the procedure for addressing any conflicts that may arise.

5.1.13 The written agreement governs the conditions for the doctoral education and research whereby admission, implementation and examination are coordinated.

5.1.14 Within the framework of the educational collaboration, the collaborating universities may agree that the work be carried out by one or more parties with respect to applications, an assessment of entry requirements, selection and an assessment of qualifications. This shall be determined by the written agreement.

5.1.15 Umeå University's participation in the educational collaboration for a joint degree at doctoral level shall be of a long-term duration: perhaps a minimum of ten years.



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5.1.16 It is the responsibility of the incoming doctoral student to find out which conditions apply to incoming students and which visas apply to each country.

5.2 Entry requirements, selection and admission

5.2.1 A vacant place shall be advertised. Advertising and selection shall be carried out in accordance with the Admission regulations for doctoral education at Umeå University.

5.2.2 All students admitted to doctoral education as part of the educational collaboration at doctoral level shall be qualified to take the doctoral education in accordance with national regulations and Admission regulations for doctoral education at Umeå University.

5.2.3 Entry requirements and the procedure for the assessment of qualifications and suitability shall be governed by the written agreement regarding the educational collaboration. The requirements set by the Higher Education Ordinance and Umeå University regarding general and specific entry requirements for undertaking studies at doctoral level and any other requirements shall be stated in the written agreement.

5.2.4 Selection of the applicants is made from those who meet the requirements set at national level and by Umeå University regarding general and specific entry requirements and who are otherwise judged to be capable of benefiting from undertaking the doctoral education.

5.2.5 Admission shall take place at the collaborating universities.

5.2.6 All doctoral students to be examined at Umeå University shall be admitted in accordance with the Admission regulations for doctoral education at Umeå University. Doctoral students shall always be admitted at Umeå University at the start of their doctoral education regardless of the university at which the doctoral student was active initially.

5.2.7 Umeå University makes a formal decision on the admission of doctoral students who are to study at the University.

5.2.8 All doctoral students who are to be examined at Umeå University shall be assigned at least two supervisors, of whom at least one is to be the principal supervisor, at the time of admission. Supervisors at Umeå University shall meet the requirements set by Umeå University.

5.3 Registration and documentation in Ladok

5.3.1 All doctoral students shall be registered in Ladok twice a year in the subject for which they have been admitted at Umeå University, in accordance with the standards set by Statistics Sweden (sv. Statistiska Centralbyrån).

5.3.2 The educational collaboration is registered in Ladok and the doctoral students are identified as doctoral students taking a joint degree programme.



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5.3.3 The results of tests and examinations taken at Umeå University are documented in Ladok.

5.3.4 The results of tests and examinations taken at another collaborating university are credited at Umeå University without a special assessment, and are documented in Ladok.

5.4 Financing of the degree programme, student funding and insurance

5.4.1 Before admission to the doctoral education, the student funding for each doctoral student shall be guaranteed for the entire period of study. In Sweden, a doctoral education is the equivalent to four years of full-time study, in contrast to several countries where it is three years. The written agreement shall ensure that funding is available for the entire doctoral education.

5.4.2 The doctoral education is free of charge in Sweden, and Umeå University does not charge fees of the doctoral students. Other collaborating universities may, on the basis of their regulations, require the doctoral students to pay tuition fees or other fees as part of the educational collaboration. The written agreement shall state clearly that the collaborating universities cannot demand these fees of individual doctoral students. Tuition fees and other fees shall be governed by the universities jointly.

5.4.3 Student funding is governed by the written agreement between the universities and is stated in the individual study plan of each doctoral student.

5.4.4 The responsibility of another collaborating university for financing a doctoral student cannot be transferred to Umeå University if the financing on the part of that other higher education institution is changed or not provided at all. The procedure for addressing such a situation shall be governed by the written agreement between the collaborating universities.

5.4.5 The written agreement shall govern which party is responsible for the expenses arising as part of the educational collaboration, and for the allocation of these expenses.

5.4.6 All doctoral students involved in the educational collaboration shall have full insurance cover at the collaborating universities. These are responsible for such provision.

5.4.7 The collaborating universities must, on the basis of existing insurance at each university, take a view on whether the participating doctoral students will require further insurance cover.

5.4.8 The written agreement shall determine the content of each doctoral student's insurance cover, including the period of mobility and the period spent away from study, and shall state which university is responsible for taking out the insurance overall, when this is necessary.

5.4.9 Each doctoral student is responsible for contacting the Unemployment Insurance Fund (sv. Arbetslöshetskassa) and Social Insurance Agency (sv. Försäkringskassa) in good time before embarking on his or her part-time studies at a collaborating university, to obtain information on how the Swedish social security system might be affected and which further



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cover might be needed. The equivalent information shall be obtained from the countries where the collaborating universities are located.

5.5 Effectuation of the education and research

5.5.1 The linking of the doctoral education to a doctoral education subject shall make use in the first instance of the subjects already established at Umeå University.

5.5.2 Each subject shall have a general syllabus determined by the Faculty Board.

5.5.3 If a new subject needs to be established, the Vice-Chancellor decides on this in accordance with the Vice-Chancellor's delegation of authority at Umeå University. There shall be well-founded reasons for the establishment of a new subject. The decision shall be made in good time before the signing of the written agreement.

5.5.4 The doctoral students carry out their education and research within the framework of a subject at doctoral level and as part of the educational collaboration.

5.5.5 Each doctoral student shall be assigned at least one supervisor per collaborating university. Otherwise supervision shall take place in accordance with Swedish legislation and Umeå University's regulations.

5.5.6 The division of responsibility between the supervisors at the examining universities shall be stated clearly and governed by the written agreement.

5.5.7 The written agreement shall state the procedure for addressing a doctoral student's request to change supervisor.

5.5.8 Every doctoral student at a Swedish university shall have an individual study plan, which also includes a time and funding plan in accordance with the Regulations for doctoral education at Umeå University. This content cannot be left out in the case of educational collaboration. A template for an individual study plan is attached to the Administrative Procedure.

5.5.9 The individual study plan shall normally be the same for all the collaborating universities. It shall summarise the same requirements made of all the collaborating universities' and each doctoral students'.

5.5.10 Each individual study plan shall state clearly the procedure for planning the doctoral education and research, the responsibilities of each university, and the fact that each university determines and is responsible for only those components of the individual study plan for which it intends to take responsibility.

5.5.11 The written agreement shall state that the components of the individual study plan for which another university is responsible shall not be made the responsibility of Umeå University.

5.5.12 The individual study plan shall be followed up and reviewed at least once a year. The written agreement shall state clearly the procedure for carrying out follow-up, evaluation and



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review during the course of the collaboration. It shall also state which party takes the initiative for these measures.

5.6 Courses, thesis and public defence of the doctoral thesis

5.6.1 All courses included in the doctoral education must be awarded a Pass grade on completion.

5.6.2 Every course included in the doctoral education requires examination in that course to be the responsibility of a collaborating university. This shall be stated clearly in the written agreement.

5.6.3 The main rule is that the collaborating universities share responsibility for each doctoral thesis.

5.6.4 Umeå University recommends the doctoral theses to be written in English and published in a common publication.

5.6.5 The design and content of the doctoral theses are governed by the written agreement.

5.6.6 Umeå University recommends that the logo of each collaborating university is presented on the thesis cover and that the text states that the thesis has been produced as part of an educational collaboration.

5.6.7 The design must as far as possible be in accordance with the templates for theses provided by Umeå University.

5.6.8 Those cases which deviate from Umeå University's thesis templates shall be approved by the Vice-Chancellor.

5.6.9 A doctoral thesis shall be announced by way of a so-called notification at Umeå University at least three weeks in advance of the public defence.

5.6.10 The written agreement shall determine the procedure for the defence of the doctoral thesis.

5.6.11 The written agreement shall state the composition of the examining committee.

5.6.12 The defence of the doctoral thesis shall be public and a faculty opponent shall take part, apart from which the requirements of Swedish legislation and the Regulations for doctoral education at Umeå University must be met.

5.6.13 Umeå University uses its own grading system for educational collaborations. Translations shall be avoided; instead, reference shall be made to a description in the original language of the grading system used by the university, a description which has then been translated into English.

5.6.14 Pass or Fail grades are used at Umeå University for the degree of Doctor as a whole. Pass or Fail grades are awarded to components earned, such as courses and the thesis and the defence of the thesis.



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5.6.15 The written agreement shall govern the conditions for the results and other intellectual property rights.

5.7 Degree Certificate and Diploma Supplement

5.7.1 The written agreement relating to the educational collaboration shall state the procedure for awarding and processing the Joint Degree Certificate. It shall state which university is responsible for awarding the degrees.

5.7.2 A template is available for awarding Umeå University's part of the Joint Degree Certificate.

5.7.3 The Degree Certificate shall provide an English translation of the title of qualification as well as the Swedish title.

5.7.4 The description of the collaboration in the text of the written agreement shall be the same as that stated in the Degree Certificate.

5.7.5 The written agreement shall state that the degree has been awarded as part of an educational collaboration.

5.7.6 The Diploma Supplement provides a description of the doctoral education and its place in the education system. It shall be free of charge and in English.

5.7.7 Umeå University recommends that there be a common Diploma Supplement for national educational collaborations but a separate one for international educational collaborations. When awarding a joint Diploma Supplement, the form it takes shall have been determined by the written agreement.

5.7.8 The Diploma Supplement shall state that the higher education qualification has been awarded as part of an educational collaboration.

5.8 Disciplinary measures, withdrawal of supervision and other resources and expulsion

5.8.1 Matters relating to disciplinary measures, the withdrawal of the right to supervision and other resources and expulsion from the programme is processed and determined in accordance with national and local regulations which apply at the collaborating university responsible for that part of the doctoral education where the incident has taken place or where the measures shall be taken.

5.8.2 The written agreement shall state that in the event of disciplinary measures, withdrawal of supervision and expulsion, the university in question shall inform without delay the doctoral student and the other universities of the notification, the handling of the case and the decision, and the consequences of the decision.



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6. Template for written agreement

The template for the written agreement is based on a general collaboration agreement between the parties. Further points may be needed in specific cases. Attached to the template for the written agreement are the following supplements:

Template for the individual study plan, time and funding plan
Template for Degree Certificate
Template for Diploma Supplement

Also attached to the Administrative Procedure are:
Guidance on the choice of a double or joint degree

7. Glossary

Cotutelle agreement	An agreement which governs the doctoral student's participation in a collaboration resulting in a double degree or joint degree. The term, which is originally French, is used by certain higher education institutions to describe an agreement for an individual doctoral student studying for a joint degree. The agreement governs admission, supervision, the doctoral thesis and the public defence of the thesis.
Diploma Supplement	All Degree Certificates are accompanied by an attachment called a Diploma Supplement. This describes the level of qualification, content of the doctoral education, scope and information on the Swedish higher education system. The aim is to facilitate study or work in Europe and also in other countries. It is always written in English.
Double degree	Two Degree Certificates are awarded separately by collaborating universities. The collaboration is based on a research collaboration rather than an educational collaboration.
Host university	The university which has the main administrative responsibility for the educational collaboration
Intellectual property	Intellectual property means any copyright work, circuit layout, eligible layout, design, patent, invention, confidential information, know-how, plant variety, trade mark or other insignia of origin and any related right to intellectual property.
Joint degree	An educational collaboration resulting in a Degree Certificate awarded jointly by two or more collaborating universities.



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8. Table of comparison between a double and a joint degree

	Joint degree	Double degree
Admission	Admission takes place at UmU and all collaborating universities.	Admission takes place at UmU and the collaborating university.
Registration	Doctoral students are registered twice a year at UmU and at all the collaborating universities in accordance with the current regulations there.	Doctoral students are registered twice a year at UmU and at the collaborating university in accordance with the current regulations there.
Outcomes	The outcomes stipulated in HEO shall be stated in the written agreement	The outcomes stipulated in HEO shall be stated in the written agreement.
General syllabus	UmU shall have a general syllabus for each subject to which the student is admitted	UmU shall have a general syllabus for each subject to which the student is admitted.
Individual study plan	Each doctoral student shall have an ISP. HEO and UmU regulations shall be met together with the regulations at the collaborating universities.	Each doctoral student shall have an ISP. HEO and UmU regulations shall be met together with the regulations at the collaborating university.
Supervision	At least one supervisor shall be assigned to each doctoral student at each collaborating university in accordance with current regulations.	At least one supervisor shall be assigned to each doctoral student at both UmU and the collaborating university in accordance with current regulations.
Mobility scheme	The doctoral students' planned course and research periods at UmU and the collaborating universities shall be stated in each individual ISP	The doctoral students' course and research periods shall be stated in each individual ISP.
Funding	The type and level of income of each doctoral student shall be stated in the written agreement and in each individual ISP.	The type and level of income of each doctoral student shall be stated in each ISP.
The examinations	HEO and UmU qualification requirements together with the regulations for each collaborating university shall be met.	HEO and UmU qualification requirements shall be met.



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The public defence of the doctoral thesis	HEO and UmU regulations shall be met together with the regulations at the collaborating universities. The public defence of the thesis may take place at one or more of the collaborating universities.	HEO and UmU regulations shall be met. The public defence of the thesis takes place at UmU or the collaborating university.
Degree Certificate	The Degree Certificate is awarded and signed by all the collaborating universities in one and the same document.	The Degree Certificate is awarded in the form of two separate documents: one from UmU and one from the collaborating university.
Diploma supplement	The DS shall be awarded by UmU in accordance with HEO regulations together with the Degree Certificate. The DS shall state that the doctoral education has been completed in collaboration with the collaborating universities, and that an equivalent DS has been awarded by these.	The DS shall be awarded by UmU in accordance with HEO regulations together with the Degree Certificate. The DS shall state that the doctoral education has been completed in collaboration with the collaborating university.
Credit transfer	Those components of the doctoral education, including components of the thesis work, which have been awarded a Pass grade at the collaborating universities shall be credited by UmU without the need for special assessment.	Those components of the doctoral education, including components of the thesis work, which have been given a Pass grade at the collaborating university shall be credited by UmU after special assessment.
Agreement	A principal agreement shall be drawn up between the collaborating universities. The Vice-Chancellor has signing power at UmU.	An agreement between the collaborating universities shall be drawn up. The Vice-Chancellor has signing power at UmU.

Abbreviations:

DS Diploma Supplement
HEO The Higher Education Ordinance
ISP Individual Study Plan
UmU Umeå University