



UMEÅ UNIVERSITY

ADMINISTRATIVE PROCEDURE FOR UMEÅ UNIVERSITY'S PARTICIPATION IN EDUCATIONAL COLLABORATIONS WITH OTHER UNIVERSITIES RESULTING IN A DOUBLE 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 collaborations at doctoral level resulting in the awarding of a double degree is to create further international collaboration for Umeå University and for individual doctoral students.

The aim of the Administrative Procedure is to facilitate the preparatory work and to create the conditions for Umeå University to participate in these collaborations in accordance with the rule of law.

2. Background

Collaboration resulting in a double degree at doctoral level shall be based on a written agreement between Umeå University and another Swedish or foreign university. The conditions for collaboration are governed by the Higher Education Act, the Higher Education Ordinance, Umeå University's local regulations and this Administrative Procedure. Two Degree Certificates, one from Umeå University and one from the collaborating university, are awarded to each doctoral student. Templates are available for the documents needed for the collaboration.

The ability to award a double degree at doctoral level provides better opportunities for the internationalisation of research projects at Umeå University and for the doctoral students personally who have completed their doctoral education and are entering the labour market. Regulations on education at both national and local level apply in the same way as for a single degree. The collaboration and degree course are run in accordance with Regulations for doctoral education at Umeå University and this internal Administrative Procedure.

A double degree is based on a collaboration between Umeå University and another university, be it national or international, which has the right to award the degree of Doctor. A doctoral education resulting in a double degree is initiated by a research collaboration, and concludes with the examination of a doctoral thesis at Umeå University or the collaborating university.

The collaboration resulting in a double degree involves individual or a small number of doctoral students. These collaborations are based on Umeå University's local regulations and its internal Administrative Procedure and templates for a written agreement. The conditions for the collaborations are governed by the Higher Education Act, the Higher Education Ordinance 1993:100 (primarily Chapters, 5, 6 and 7, and Appendix 2 of the System of Qualifications).

After completion of the examination, two Degree Certificates are awarded, one from each university. Attached to each Degree Certificate is a Diploma Supplement.

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



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1. Guidance – the choice of a double or joint degree at doctoral level
2. Administrative Procedure for Umeå University's participation in collaborations with other universities resulting in a double degree at doctoral level
3. Template for a written agreement which incorporates both academic and administrative issues, organisation and structure

3. Starting points

The collaboration is based on an interest in research collaboration. The collaborating university shall have the right to award the degree of Doctor. Documentation and communication shall use Swedish and European terminology. The collaboration shall be planned in good time, whereby both administrative and legal resources must be included.

A collaboration which is based on research collaboration rather than on educational collaboration, and which is to cover individual or a small number of doctoral students over a fixed period of time, may result in a double or single degree, not a joint degree.

A double degree (also known as a dual degree or cotutelle agreement) refers to the awarding of two Degree Certificates and two Diploma Supplements, where Umeå University is responsible for awarding one of these.

The Administrative Procedure applies in the planning of the collaboration and in the producing of the written agreement for this. Each doctoral student shall have an individual study plan. The Administrative Procedure applies together with the Higher Education Act, the Higher Education Ordinance, Umeå University's local regulations and the recommendations made by the Association of Swedish Higher Education (SUHF).

The collaboration is primarily based on joint supervision and an examination of the doctoral thesis. This is governed by the written agreement. The collaborating university shall have the right to award the degree of Doctor. This may be either a national or an international university; it may not be a physical person.

These circumstances and others which govern the implementation of the collaboration shall be clearly stated in each doctoral student's individual study plan.

One starting point is that the Department shall plan in good time the administrative and legal processing of the intended collaboration. Suitable administrative resources and legal skills shall already be included in the planning; these shall be of a good enough standard to apply Swedish legislation and the university-wide regulations at Umeå University, and to manage the process from admission to the public defence of a doctoral thesis and the Degree Certificate, financial affairs and other matters of importance to the implementation of the collaboration.

Another starting point is that all documentation and communication use Swedish and European terminology. The processing of documents in Sweden is governed by the Swedish Language Act. A doctoral education should be called a 'doctoral education' or 'third-cycle



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studies' in accordance with EU terminology, and a doctoral student should be called a 'doctoral student' or 'doctoral candidate'.

4. The work process

Before a collaboration is begun, a view must be taken on the guiding questions in *Guidance – the choice of a double or joint degree at doctoral level*. The collaboration is based on research collaboration rather than educational collaboration and involves individual doctoral students. The initiative for the collaboration shall be approved by the Dean and further prepared by the university lawyer before the Vice-Chancellor adopts and signs the written agreement. Supervision and examination are coordinated by the collaborating universities.

Before beginning the process of preparing the collaboration which is to result in a double degree, a view must be taken on the questions in *Guidance – the choice of a double or joint degree at doctoral level*.

The initiative for collaboration resulting in a double degree shall be supported by the Dean for further preparation by the university lawyer. When the preparatory work has been completed and the supporting documents fully assembled together with a proposal for a written agreement with other requisite documents, the decision will be made by the Vice-Chancellor.

The written agreement constitutes the basis of initial negotiations within Umeå University and thereafter with the intended collaborating university. The written agreement may, given the limitations set by law, be adapted in part to each research collaboration resulting in a double degree at

Supervision and examination are coordinated between Umeå University and the university involved in the collaboration.

5. Conditions for collaboration at doctoral level resulting in a double degree and where Umeå University is a party to the collaboration

The draft for the written agreement is prepared in parallel with the planning of the 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. Umeå University and the collaborating university are responsible for different components of the doctoral education and research, and this should be stated in the written agreement. When the examination requirements have been fulfilled, Umeå University shall award a Degree Certificate. The written agreement shall state clearly how the collaboration is organised. The Vice-Chancellor decides on each collaboration. The conditions for collaboration are set out in this Chapter.



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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 preparation with 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 collaborating university and Umeå University are responsible for different parts of the doctoral education and the research. The written agreement shall state clearly which roles and which responsibilities the different universities will have during their collaboration.

5.1 General conditions

5.1.1 The collaboration requires the convergence of the regulations, directions and outcomes. This requires preparatory work to be done.

5.1.2 As part of the preparatory work before the collaboration is begun, assurance is needed that the doctoral education will meet national and local requirements for studies at doctoral level and taking the degree of Doctor at the premises of the intended collaboration partner.

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

5.1.4 The written agreement governs the conditions for the doctoral education whereby admission, supervision and examination are coordinated.

5.1.5 The written agreement shall make clear the organisation of the two universities, and which is responsible for the collaboration, and which individuals are the contacts for each university.

5.1.6 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.

5.1.7 The written agreement is signed by the Vice-Chancellor at Umeå University and a representative of the collaborating university.

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

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

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



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5.1.11 The participation of Umeå University in collaborations resulting in a double degree at doctoral level shall cover the entire period of the doctoral student's doctoral education, which is the equivalent of at least four years' full-time study from the time of admission to the time of examination.

5.1.12 The doctoral students carry out their studies within the framework of a subject at doctoral level at Umeå University and within the framework of an equivalent subject at the collaborating university.

5.1.13 The written agreement shall govern the conditions for the intellectual property rights.

5.1.14 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 Financing and insurance

5.2.1 Before admission to doctoral education, the doctoral student's funding shall be guaranteed for the entire period of study, which is the equivalent to four years' full-time study.

5.2.2 Funding is described in the written agreement between the universities and is stated in the individual study plan of the doctoral student.

5.2.3 The collaborating university's responsibility for the doctoral student's funding, if this is required, cannot be transferred to Umeå University if the finance from the 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.

5.2.4 The doctoral education is free of charge at Umeå University, and the collaborating university may not charge fees of the doctoral students. The collaborating university may, on the basis of its regulations, expect the doctoral students involved in the collaboration to pay tuition fees. This shall be determined by the written agreement. The written agreement shall state clearly that the tuition fees and other fees are determined by the universities jointly. It shall state clearly that the collaborating university cannot demand these fees of individual doctoral students.

5.2.5 All doctoral students involved in the collaboration shall have full insurance cover.

5.2.6 The parties must, on the basis of existing insurance at the universities, take a view on whether the participating doctoral students will require further insurance cover. The written agreement shall determine the content of each doctoral student's insurance cover, including the period of mobility, and shall state which university is responsible for taking out the insurance overall, where this is necessary.

5.2.7 When the studies are carried out at the collaborating university or at the premises of a third party, the doctoral student is responsible for contacting the Unemployment Insurance Fund (sv. Arbetslöshetskassan) and Social Insurance Agency (sv. Försäkringskassan) in good time for information on how the Swedish social security system might be affected.



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5.3 Effectuation of the doctoral education

- 5.3.1 Each subject should have a general syllabus determined by the Faculty Board.
- 5.3.2 All the students admitted into the collaboration shall be qualified to take the doctoral degree in accordance with national regulations and Umeå University's *Admission regulations for doctoral education at Umeå University*.
- 5.3.3 The conditions stipulating the entry requirements, selection, admission to and student funding of the doctoral education shall be set in accordance with Swedish legislation and the *Admission regulations for doctoral education at Umeå University* and governed by the written agreement.
- 5.3.4 Normally, admission shall take place at both the collaborating universities.
- 5.3.5 Umeå University makes a formal decision on the admission of doctoral students who are to study at the University.
- 5.3.6 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. 3.7 The division of responsibility between the supervisors at the examining universities shall be stated clearly and governed in the written agreement.
- 5.3.8 The written agreement shall state the procedure for addressing a doctoral student's request to change supervisor.
- 5.3.9 Each doctoral student at a Swedish university shall have an individual study plan which is in accordance with Umeå University's template, as stipulated in the Regulations for doctoral education at Umeå University and the requirements in the Higher Education Ordinance.
- 5.3.10 Each individual study plan and written agreement shall state clearly the procedure for the planning of the doctoral education and the research and which areas of responsibility belong to which university. It shall not be possible for the areas of responsibility of the collaborating university to be made the responsibility of Umeå University.
- 5.3.11 The grades used at Umeå University are Pass or Fail.
- 5.3.12 Umeå University uses its own grading system for collaborations resulting in a double degree. Translations shall be avoided; instead, we refer to a description in the original language of the grading system used by the University and its translation into English.
- 5.3.13 Pass or Fail grades are given in the awarding of the doctoral degree as a whole. Pass or Fail grades are awarded to components earned, such as courses and the thesis and the defence of the thesis.
- 5.3.14 The results of tests and examinations taken at Umeå University are documented in Ladok.
- 5.3.15 The results achieved at another university are credited at Umeå University after special assessment, and are thereafter documented in Ladok. This shall make reference to the place where the results have been achieved.



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5.4 Registration and documentation in Ladok

5.4.1 The doctoral students carry out their studies within the framework of a subject at doctoral level and as part of the collaboration.

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

5.4.3 The collaboration is registered in Ladok, and the doctoral student is identified as a doctoral student involved in a collaboration resulting in a double degree.

5.5 Courses, thesis and public defense of a doctoral thesis

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

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

5.5.3 Umeå University is responsible for ensuring that the thesis meets the requirements set at national level and at Umeå University.

5.5.4 Umeå University advises that the thesis be written in English.

5.5.5 The thesis shall state that it is the result of a collaboration for the awarding of a double degree.

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

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

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

5.5.9 The written agreement shall state which procedure governs the composition of the examining committee.

5.6 Degree Certificate and Diploma Supplement

5.6.1 The written agreement shall state the procedure for awarding and processing the Degree Certificate.



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5.6.2 Umeå University awards Degree Certificates in accordance with regulations set.

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

5.6.4 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.

5.6.5 The Diploma Supplement is set out in accordance with the requirements made by the Higher Education Ordinance. The Diploma Supplement shall include a description of the collaboration.

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

5.7.1 Matters relating to disciplinary measures, the withdrawal of the right to supervision and other resources, and expulsion from the programme are processed and determined in accordance with national regulations and the local regulations at Umeå University.

5.7.2 The written agreement shall state that in the event of disciplinary measures, withdrawal of supervision and expulsion, the collaborating university shall inform without delay the doctoral student and Umeå University of the notification, the handling of the case and the decision, and the consequences of the decision.

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. The general syllabus and the doctoral student's individual study plan are to be attached to the written agreement.

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



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	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.

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.



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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.
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.



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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.
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Abbreviations:

DS Diploma Supplement

HEO The Higher Education Ordinance

ISP Individual Study Plan

UmU Umeå University