



# Guidelines for applications for degree-awarding powers

Third-cycle qualifications

Annex 3



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Annex 3 Third-cycle qualifications

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# Specific clarifications for the application for the power to award degrees at third-cycle level

## **Ordinance texts**

The Higher Education Act (HL) and the Higher Education Ordinance. (HF) both state the requirements set for educational institutions that award third-cycle degrees. The Higher Education Ordinance states:

### **For general third-cycle degrees**

Permission to award general third-cycle degrees may be granted to other HEIs than universities within a subject area if the programmes and research at the HEI are of such a quality and scale that the third-cycle study courses and programmes within the subject area can be carried out at a high academic level and otherwise under good educational conditions. (HF Chapter 6, Section 5c)

### **For fine, applied and performing art third-cycle degrees**

Permission to award fine, applied and performing arts third-cycle degrees may be granted to universities and HEIs within a subject area if the fine, applied and performing arts programmes, research and development work at the university or HEI are of such a quality and scale that the third-cycle study courses and programmes within the subject area can be carried out at a high artistic level and otherwise under good educational conditions. (HF Chapter 6, Section 5d)

### **What is a subject area for a third-cycle degree?**

A subject area can be described as a specific field of knowledge. The area can contain one or more subjects for third-cycle study courses and programmes (third-cycle programme subjects). In its application, the HEI states how the area will be delimited and which subject or subjects the third-cycle degree will be awarded in (third-cycle programmes) and that will initially be provided in the subject area. This means that a subject area in which a degree is awarded will vary from case to case. It does not need to coincide with an area for a Master's degree that already exists at the HEI.

### **What does the power to award a degree entail?**

An HEI's power to award a degree means that it is entitled to make such decisions as the Higher Education Ordinance permits the HEI under the power it has been given to award third-cycle degrees in the subject area. This includes organising and offering third-cycle programmes, admit students to third-cycle programmes, set general and individual syllabi, etc. Within the framework of the degree awarding power, the HEI may therefore award general doctoral and licentiate degrees, or fine, applied and performing arts doctoral and licentiate degrees in the third-cycle programme subjects that it has established.

The HEI does need to submit a renewed application to UKÄ if a third-cycle programme's structure or content is changed. This also applies to the establishment of new third-cycle programme subjects, as long as these fall within the subject area for which the HEI has the power to award a degree.

### **Applications**

In its application, the HEI lists the subject area it wants to offer a third-cycle programme. In addition, it must also state which subject or subjects for the third-cycle programmes that the programme will initially be organised in. The degree award power, and thereby the assessment, apply to the subject area as a whole, including the individual third-cycle programme subjects that the area contains. The HEI's plans for the individual third-cycle programmes are intended to provide the basis for an assessment of how the HEI will specifically handle the degree awarding power that it has applied for.

# Assessment areas and assessment criteria

Assessment area: Preconditions	
Area	
Assessment criteria	<p>The specified degree is regulated and is part of the System of Qualifications.</p> <p>The scope and delimitation of the subject area are reasonable and appropriate. The area relates to the HEI's programmes in a credible and reasonable way. The area constitutes a credible scientific / artistic whole, in which the parts support the whole and each other.</p> <p>The research within the subject area is of such quality and scale that third - cycle programmes can be offered at a high level of scientific excellence.</p> <p>The award of the qualification is, from a national perspective, in the public interest.</p>
Guidelines for the application	<ul style="list-style-type: none"> <li>• Specify and describe the subject area within which the educational / arts third - cycle programmes will be offered. State in which third - cycle programme subject or subjects the HEI will begin to arrange the third - cycle programme.</li> <li>• Describe and justify the scope of the subject area, and argue for its delimitation, describe how the area relates to third - cycle programme(s) that the application applies to and to the programmes at first - and second - cycle levels and to the research / artistic research that takes place at the HEI (attach the HEI's programme and research strategy, or equivalent).</li> <li>• Describe and analyse how the subject area constitutes a scientific or artistic whole, in which the parts support the whole and each other through the relationship between the programme content and the third - cycle programme subjects that the HEI initially intends to establish and how the third - cycle programme subjects will come to support each other. In the event that the subject area only contains a single third - cycle programme subject, describe how these various areas of focus will support each other and the whole.</li> <li>• Justify the establishment of a subject area for the third - cycle programme, what needs it meets in relation to society and existing regional and national programmes that are offered. Also state when the programme will commence and how many doctoral students are planned to be admitted.</li> </ul>
Guidelines for assessors	<p>Base your assessment on assessment criteria and documentation.</p> <p>Assess and justify.</p>

Cont. Assessment area: Preconditions

**Staff**

Assessment criterion	The number of supervisors and teachers and their combined expertise (scientific / artistic, pedagogical) are sufficient and proportional to the volume, content and implementation of the programme in the short term and long term.
Guidelines for the application	<ul style="list-style-type: none"><li>• Describe and analyse the supervisors' and teachers' overall expertise in relation to the programme (see the annexes attached below and tables 1 and 2 in the Excel document Tables appraisal of third - cycle degree awarding powers).</li><li>• Describe and analyse how supervisors' and teachers' scientific / artistic and pedagogical skills development will occur, including their opportunity to conduct research and follow developments within their own subject area.</li><li>• Describe what is being done to ensure that there are sufficient supervisor resources in the long term, e.g. in the event of changes to supervisors and their retirement.</li></ul>
Guidelines for assessors	Base your assessment on assessment criteria and documentation. Assess and justify.

**Education environment**

Assessment criteria	Research / artistic research at the HEI has sufficient quality and scale for third - cycle education to be carried out at a high scholarly / artistic level and within a good educational framework. Relevant collaboration occurs with the surrounding society, both nationally and internationally.
Guidelines for the application	<ul style="list-style-type: none"><li>• Describe and analyse how operations will be conducted to give doctoral students a well - functioning and stimulating scientific / artistic environment that has a sufficient number of teachers and researchers to create a range of interactions and collaborations, as well as giving access to different perspectives and specialisations. Describe and analyse how collaborative research is conducted between the representatives of the various subjects / specialisations within the area applied for. Also describe how the researchers publish their results in the field at the intervals and in the contexts that are accepted with the relevant field of knowledge (see below with regard to annexes and tables).</li><li>• Describe how work will be carried out to expand the doctoral students' research environment, for example through the national and international networks that the doctoral students can benefit from within the area applied. Also describe how the HEI will work to assist third - cycle students with participation in national and international conferences and publishing in national and international journals, for example.</li><li>• Describe how conditions will be created for third - cycle students' interaction, such as seminars, courses, and conferences.</li><li>• Describe other external collaboration and interaction, such as contacts with closely related programmes and associated programme and research areas, both locally, nationally and internationally and how this affects the quality of the programme.</li></ul>
Guidelines for assessors	Base your assessment on assessment criteria and documentation. Assess and justify.

Cont. Assessment area: Preconditions

**Resources**

Assessment criteria      Access to stable and appropriate infrastructure.  
Available resources are used effectively to sustain a high standard of operations.  
The financial resources needed to carry out the doctoral programme are in place.

Guidelines for the application

- Describe the third - cycle students' access to course books and other teaching, technical information resources and other infrastructure needed to benefit from the programme in a relevant manner (*The need for infrastructure will vary depending on the nature of the programme. Programmes with experimental aspects may require, for example, access to good laboratory conditions and arts programmes may require workshops and rehearsal facilities. Distance learning programmes may require well - developed forms of communication*).
- Describe and analyse how available resources will be used effectively to maintain the high quality of the operation.
- Describe and justify how the HEI's funding is sufficient and sustainable for the third - cycle programme within the area with respect to courses, supervision, doctoral students' study funding and the admission of new doctoral students at regular intervals (attach the budget, see below)

Guidelines for assessors      Base your assessment on assessment criteria and documentation.  
Assess and justify.

**Overall assessment of the evaluation area preconditions**

Guidelines for assessors      Make an overall assessment of the assessment area *preconditions* based on the total documentation and on all of the assessment criteria.

### Assessment area: Design, implementation and outcomes

#### Policy documents (General and individual curricula)

Assessment criteria There is a general syllabus for the entire programme.  
There is a template for individual syllabi.

Guidelines for the application

- Attach general curricula and templates for individual curricula.
- Describe how teaching, course books / other teaching materials and examinations will be designed.
- Describe how these policy documents are adopted, renewed and quality assured.

Guidelines for assessors Base your assessment on assessment criteria and documentation.  
Assess and justify.

#### Goal attainment

Assessment criterion Through the design, implementation and examination in the programme, ensure that third-cycle students achieve the targets defined in the degree ordinance when the qualification is awarded.

Guidelines for the application

- Describe and analyse on the basis of the policy documents how courses, seminars, conferences, planned publications, participation in senior researchers' projects, supervisory time, allocation of points between courses, other modules, thesis work, etc. will contribute to achieving the Higher Education Ordinance's goals for the programme.
- Describe and analyse the progression and the link between qualitative targets, intended learning outcomes, learning activities and examinations.
- Describe and justify the functions and roles of the supervisor and the examiner and how to ensure legally correct examinations.

Guidelines for assessors Base your assessment on assessment criteria and documentation.  
Assess and justify.

#### Gender equality

Assessment criterion A gender equality perspective will be taken into account in the programme's content and design.

Guidelines for the application

- Describe how a gender equality perspective will be taken into account in the programme's content and design.

Guidelines for assessors Base your assessment on assessment criteria and documentation.  
Assess and justify.

#### Overall assessment of the assessment area *design, implementation and outcomes*

Guidelines for assessors Make an overall assessment of the assessment area *design, implementation and outcomes* based on the total documentation and on all of the assessment criteria.



**Assessment area: Working life and collaboration**

Assessment criterion	The programme is designed and implemented in such a way that it is useful and develops doctoral students' preparedness to meet changes in working life, both within and beyond academia.
Guidelines for the application	<ul style="list-style-type: none"><li>• Describe and analyse how the programme's utility and preparation for working life are ensured by its content and design.</li><li>• Describe to what extent to which doctoral students are given the opportunity for work at the institution, or similar, in the form of teaching, administration or other work.</li><li>• Describe and analyse how information is gathered that is relevant for quality assurance and development of the programme, taking into account its usability and preparation for working life.</li><li>• Describe how collaboration linked to the labour market occurs through interactions between academia and different types of private or public players in the HEI's community, and also between any workplaces of industrial doctoral students or collaborative doctoral students.</li></ul>
Guidelines for assessors	Base your assessment on assessment criteria and documentation. Assess and justify.

**Assessment area: Doctoral student perspective**

Assessment criterion	Doctoral students are given the opportunity to take an active role in the work to improve the content and implementation of the programme.
Guidelines for the application	<ul style="list-style-type: none"><li>• Describe how doctoral students will be given the opportunity to play an active part in improving the programme and learning processes.</li><li>• Describe how doctoral students will be given the opportunity to play an active part in decision-making processes, including preparation of matters relating to doctoral programmes.</li><li>• Describe the procedures for ensuring documentation of doctoral student influence. Also describe how the outcome of course evaluations and any initiatives will be compiled and feedback given to the doctoral student.</li><li>• Describe how a good physical and psycho-social working environment for doctoral students will be ensured.</li></ul>
Guidelines for assessors	Base your assessment on assessment criteria and documentation. Assess and justify.

# Tables and annexes

## Area

The HEI's programme and research strategy, or equivalent.

## Supervisor resources and researcher programme environment

### Documentation of supervisors/teachers and researcher programme environment (general degrees)

- Table 1. Supervisor resources in the area. Table 1 shows potential supervisors in the area in the current study year. Only those teachers who are involved at third-cycle level (not on sabbatical) are listed. Also list pending retirements and ongoing recruitments. Comments should be added to the table in the form of text.
- CVs for potential supervisors (listed in Table 1). This includes information on year of birth, degrees (discipline/subject areas), associate professor competence, previous employment, relevant post-doc stays, supervisor experience and other academic assignments at the HEI or externally. This also includes information about the outreach with surrounding society.
- Complete publication lists for potential supervisors (listed in Table 1) for the last five years. The lists can include the following categories of publications for the last five years.
  - a. Peer-reviewed scientific journal articles for the last five years, as well as peer-reviewed scientific journal articles that have been accepted for publication in the current year.
  - b. Contributions to conferences
  - c. Articles – not peer-reviewed
  - d. Editorship of books – if the supervisor resource has also written chapters in the book, list these separately. See item (e)
  - e. Book chapters – list multiple chapters in the same book separately.
  - f. Books that are not covered by items (d and e)
  - g. Reports
  - h. Patents – patent number
  - i. Reviews
  - j. Miscellaneous
- Table 2. Other teachers and researchers with PhDs in the field in the current academic year. It is also important to indicate in this table only those persons who participate at doctoral level, and imminent retirements and ongoing recruitments should also be stated. Comments should be added to the table in the form of text.

- CVs for other PhD teachers and researchers (listed in Table 2). This includes information on year of birth, degrees (discipline/subject areas), associate professor competence, previous employment, relevant post-doc stays, supervisor experience, and other academic or artistic assignments at the HEI or externally. This also includes information about the outreach with surrounding society.
- Complete publication lists for PhD teachers and researchers (listed in Table 2) for the last five years.

### **Documentation supervisors/teachers and researcher programme environment (artistic degrees)**

- Table 1. Supervisor resources in the area. Table 1 shows potential supervisors in the area in the current study year. Only those teachers who are involved at third-cycle level (not on sabbatical) are listed. Also list pending retirements and ongoing recruitments. Comments should be added to the table in the form of text.
- CVs for potential supervisors (listed in Table 1). This includes information on year of birth, degrees (discipline/subject areas), associate professor competence, previous employment, relevant post-doc stays, supervisor experience, as well as other academic or arts assignments at the HEI or externally. This also includes information about outreach with surrounding society.
- Complete publication lists for potential main supervisors for the last five years (listed in Table 1). The lists can include the following categories of publications for the last five years.
  - a. Peer reviewed scientific/arts journal articles for the last five years, and peer reviewed scientific/arts journal articles that have been accepted for publication in the current year.
  - b. Complete list of the last five years' arts work and work within arts development and arts research for potential main supervisors (listed in Table 1)
  - c. Contributions to conferences
  - d. Articles – not peer-reviewed
  - e. Editorship of books – if the supervisor resource has also written chapters in the book, list these separately. See item (f)
  - f. Book chapters – list multiple chapters in the same book separately.
  - g. Books that are not covered by the items (e and f)
  - h. Reports
  - i. Patents – patent number
  - j. Reviews
  - k. Miscellaneous
- Table 2. Other teachers employed on artistic merit in the area in the current academic year. It is also important to indicate in this table only those persons who participate at doctoral level. Pending retirements and ongoing recruitments should also be stated. Comments should be added to the table in the form of text.

- CVs for other teachers engaged on artistic merit (listed in Table 2). This includes information on year of birth, degrees (discipline/subject areas), associate professor competence, previous employment, relevant post-doc stays, supervisor experience, and other academic or artistic assignments at the HEI or externally. This also includes information about outreach with surrounding society.
- List of the last five years Arts Development work and arts research for other teachers working under fixed-term engagements on artistic merit (listed in Table 2).

## **Third-cycle education environment specifically**

### **Documentation for doctoral students**

- Tables 3 and 4. List of doctoral students funded by the applicant HEI who have been admitted to other HEIs.
- List of theses dissertations and licentiate theses submitted in relevant third-cycle programme subjects within the last five years (of doctoral students affiliated with the HEI).

Agreements with other HEIs regarding third-cycle programmes (where applicable). Lists of domestic and international networks (where applicable) List of mandatory and elective courses that the HEI offers (at its own or other HEIs)

### **Resources**

Budget for doctoral programmes within the field for the next four years (forecasts for income and expenditure).

### **Policy documents**

General study plans for planned doctoral programmes. A template for individual study plans.

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