

Regulations for Doctoral Studies at the Faculty of Humanities

Adopted by the Faculty Board of Humanities 2013-12-10, revised 2015-06-02 (replacing the previous regulations adopted 2007-03-13 and revised 2011-03-15).

The *Higher Education Act* (1992:1434) (HL) stipulates that third-cycle (doctoral) studies should be based on the knowledge that the students have acquired in their first- and second-cycle studies (or equivalent knowledge). In addition to the provisions for first- and second-cycle studies, third-cycle studies should develop the knowledge and skills required to be able to conduct independent research (HL 1:9a).

The basic regulations for third-cycle studies can be found in the *Higher Education Ordinance* (1993:100) (HF).

The current decision-making and delegation policies for Stockholm University and the Board of Humanities, Law and Social Sciences state that the Faculty Board of Humanities should have general supervision of doctoral studies at the Faculty. The disciplinary domain board determines which fields doctoral studies will be provided in. The Faculty Board of Humanities has the overall responsibility for the quality, structure, syllabi, supervision, and coordination of the courses and programmes, as well as for the training of supervisors. However, the Faculty Board has delegated many matters concerning doctoral studies to the departments. See the current decision-making and delegation policy for the Faculty of Humanities.

1. Entry requirements

Higher Education Ordinance

Admission to doctoral studies requires that the applicant

1. meet the general entry requirements and any specific entry requirements the university may have stipulated, and
2. be otherwise considered capable of benefiting from the training (HF 7:35).

1.1 General entry requirements

Higher Education Ordinance

A person meets the general entry requirements for third-cycle courses and study programmes if he or she:

1. has been awarded a second-cycle qualification,
2. has satisfied the requirements for courses comprising at least 240 credits of which at least 60 credits were awarded in the second cycle, or
3. has acquired substantially equivalent knowledge in some other way in Sweden or abroad.

The higher education institution may permit an exemption from the general entry requirements for an individual applicant if there are special grounds (HF 7:39).

1.2 Specific entry requirements

Higher Education Ordinance

The specific entry requirements posed should be essential for students to be able to benefit from the training. These requirements may comprise:

1. knowledge acquired through higher education or equivalent training,
2. specific professional experience, and
3. necessary language skills or other conditions determined by the course or programme (HF 7:40).

2. General syllabus

Higher Education Ordinance

Every subject in which doctoral studies are provided should have a general syllabus. A general syllabus should include the following: the main content of the training, specific entry requirements, and any other regulations required (HF 6:26-27).

Regulations for Doctoral Studies at Stockholm University.

The general syllabi should specify the programmes' structure, selection criteria, assessment criteria regarding the applicant's ability to benefit from the training, and whether it is possible to complete part of the programme with a licentiate degree.

Implementation at the Faculty of Humanities

A general syllabus is drawn up according to the template adopted by the Faculty Board.

3. Advertising doctoral student positions

Higher Education Ordinance

Decisions relating to admission are made by the higher education institution. A person who wishes to be admitted to a third-cycle programme should apply within the time prescribed and in compliance with the procedures determined by the higher education institution. When a higher education institution intends to admit one or more doctoral students, information should be provided through advertising or equivalent methods. However, information does not need to be provided:

1. in the case of admission of a doctoral student who is to undergo the training within the context of a position with another employer,
2. in the case of admission of a doctoral student who has started his/her doctoral studies at another institution, or
3. under similar special circumstances (HF 7:37).

Admission Regulations for Doctoral Studies at Stockholm University

The faculty board should determine the format of applications and the application date, but may delegate the decision rights to a specific body or department board (or equivalent). Every department that provides third-cycle programmes should have instructions available regarding the format of applications and established application dates announced in advance (one or more each year). Even in cases where these decisions have been delegated to a specific body or department board (or equivalent), it is the faculty board's responsibility to monitor compliance with these regulations.

Implementation at the Faculty of Humanities

Vacancies for doctoral studies at the Faculty of Humanities are, under normal circumstances, announced no more than twice a year, at fixed times as listed below.

- Deadline for applications: 15 April for training starting on 1 September.
- Deadline for applications: 15 October for training starting on 1 February.

Vacancies are coordinated by the Humanities Faculty Office and advertised at least one month before the deadline for applications. The positions should be advertised nationally and, where appropriate, internationally.

Vacancies should always be advertised when the department is offering a doctoral studentship as the means of funding. The doctoral studentship can be funded by the department through government funding or project funds from an external financier, or by another university.

3.1 Exceptions from the advertising requirement

Implementation at the Faculty of Humanities

Exceptions from the advertising requirement may be granted in accordance with HF 7:37 (points 1-3 above). Decisions regarding admissions that fall within these exceptions are made by the Faculty Board of Humanities. Section 14 describes how the department's request to the board should be designed.

Exceptions according to point 1 include so-called industry-employed doctoral students, i.e. all arrangements where the doctoral student conducts his/her training in the context of a position with a different employer. When admitting a doctoral student with an employer other than Stockholm University, a contract should always be drawn up and serve as a basis for the decision.

Exceptions according to point 2 include doctoral students who change universities, both nationally and internationally (e.g. a doctoral student covered by a cotutelle agreement). These admissions are subject to the same requirements as other admissions.

The Faculty of Humanities does not invoke any similar special circumstances not to advertise a doctoral student position in accordance with point 3; applicants with scholarships or private funding as defined below (see Section 6, Funding) must apply for the advertised position in competition with other applicants.

4. Admission process

Higher Education Ordinance

In selecting between applicants who meet the requirements specified in Sections 35 and 36, their ability to benefit from the training should be taken into account. The higher education institution determines which criteria are to be used in assessing the ability to benefit from the training. However, the fact that an applicant is deemed able to transfer credits from previous training or professional experience may not alone give the applicant priority over other applicants in the selection process (HF 7:41).

Admission Regulations for Doctoral Studies at Stockholm University

The faculty boards should, in the general syllabus for each subject, determine which assessment criteria to apply in the assessment of a candidate's ability to benefit from doctoral studies in the subject in question.

Implementation at the Faculty of Humanities

Every department should have established local admission regulations. These should contain information regarding the application process – for example, the deadline for applications, what the application should include, whether interviews are conducted, how applications are processed before they are discussed by the department board, when notice of admission is given, etc. The relative importance of the assessment criteria should also be included.

The admission regulations should be available on the department website.

The assessment and selection of applicants to third-cycle programmes are always done at the department in accordance with the general syllabus and the local admission regulations.

All qualified applicants should be assessed based on the criteria established in the general syllabus. Depending on the total number of qualified applicants, it may be necessary to divide them into two groups based on their assessed qualifications. The applicants in the more qualified group will form a shortlist. The shortlisted applicants should primarily be ranked without consideration for any funding opportunities.

The selection process should be documented in writing. The document should specify whether or not the applicants meet the entry requirements and assessment criteria. The document should include an assessment of the top candidates for admission as doctoral students.

If the department wishes to admit an applicant with another type of funding than a doctoral studentship, the applicant must be on the shortlist and the viability of the financial plan should be properly examined before the department board decides to forward an admission request to the faculty board.

When assessing candidates for a position that has not been advertised, the basis for assessing whether the candidates meet the general and specific entry requirements and are otherwise capable of benefiting from the training should be the same as for vacancies advertised in the regular manner.

It is the department's responsibility to make sure that doctoral students participate in the centrally organised introduction day for doctoral students within one year of admission.

5. Licentiate degree

Regulations for Doctoral Studies at Stockholm University.

The general syllabi should specify the programmes' structure, selection criteria, assessment criteria regarding the applicant's ability to benefit from the training, and whether it is possible to complete part of the programme with a licentiate degree.



Admission Regulations for Doctoral Studies at Stockholm University

Most admissions to third-cycle programmes at Stockholm University should be to programmes leading to a doctoral degree. Under special circumstances, the Faculty Board may decide to allow admissions to a third-cycle programme leading to a licentiate degree worth at least 120 higher education credits.

An assessment that funding can be secured for the time required to complete a licentiate degree, but not a doctoral degree, does not alone constitute such a special circumstance.

In cases where a student has been admitted to a programme leading to a licentiate degree, a new academic review and an analysis of the financial plan will be carried out if the student wishes to pursue a doctoral degree.

Implementation at the Faculty of Humanities

Whether it is possible to obtain an intermediate degree is stated in the general syllabus.

Decisions to admit students to third-cycle programmes leading to a licentiate degree are made by the Faculty Board following a proposal from the department.

Doctoral students who have previously been accepted to a third-cycle programme leading to a licentiate degree and wish to continue their studies to pursue a doctoral degree must apply for the position during a regular application period.

6. Funding

Higher Education Ordinance

An applicant may only be admitted to a third-cycle programme if he/she will be appointed to a doctoral studentship or receive a doctoral grant. However, an applicant with another type of funding may be admitted if the higher education institution believes that funding can be secured throughout the training and the applicant is able to devote enough time to the training that it can be completed within four years in the case of a licentiate degree or eight years in the case of a doctoral degree (HF 7:36).

Admission Regulations for Doctoral Studies at Stockholm University

A minimum level for other types of funding is what could have been obtained in the form of net study grants after tax. The faculty board may specify a higher minimum level for other types of funding for doctoral students at the faculty.

Implementation at the Faculty of Humanities

Doctoral studies should primarily be funded through doctoral studentships. Doctoral studentships are normally funded through government funding, but can also be funded by the department through external funding. External funding may come from research councils, research foundations, companies, etc. External funds are allocated to the university and are thus not tied to an individual doctoral student.

For other types of funding than doctoral studentships, the money is tied to a specific individual, for example:

- through employment with another employer than Stockholm University,
- scholarships,
- private funding (referring to part-time work, personal wealth, retirement pension, or financial support from another person or organisation).

Prior to admission, a financial plan should be drawn up for each student who is expected to be admitted. Please refer to the section about individual study plans for more information.

Decisions to admit doctoral students funded by means other than a doctoral studentship with Stockholm University as the employer are made by the Faculty Board.

Doctoral students funded through scholarships should, upon application, be appointed to a doctoral studentship no later than two years before the end of their studies (according to the individual study plan). The decision to appoint a doctoral student to a doctoral studentship should be based on the doctoral student making progress in accordance with the individual study plan.¹

If, after admitting a doctoral student funded by other means than a doctoral studentship, the department board's assessment turns out to be inaccurate, it is the responsibility of the department and its board to maintain proper funding throughout the training.

7. Employment

Higher Education Ordinance

Only a person who will be or has already been admitted to a third-cycle programme may be appointed to a doctoral studentship. A doctoral studentship should be a full-time position. The

¹ Gäller doktorander antagna efter 1 april 1998 (ersätter beslut HumFN 2010-03-09).

position may be part-time if the doctoral student so desires, but never less than 50 per cent of full-time (HF 5:3-3a).

A doctoral studentship should last for an indefinite term, but no longer than until a specific date, and never longer than one year after the student is awarded his/her doctoral degree. The term of the initial contract may not exceed one year. The contract may be extended for a maximum of two years at a time. A person may be appointed to a doctoral studentship for a total of eight years. However, the total period of employment may not exceed the equivalent of four years of full-time study. For students pursuing a licentiate degree, the total period of employment may not exceed the equivalent of two years of full-time study. Any time during which the student was appointed to a doctoral studentship should be deducted from these time periods. The total period of employment may exceed eight years under special circumstances, which may involve sick leave, military service, elected positions in trade unions or student organisations, or parental leave (HF 5:7).

Implementation at the Faculty of Humanities

A contract or agreement should always be drawn up when a doctoral student with an employer other than Stockholm University is admitted.

7.1 Responsibilities

Higher Education Ordinance

Students appointed to a doctoral studentship should primarily devote themselves to their own education.

However, they may, to a limited extent, engage in teaching, research, artistic development, and administration. Before the completion of a doctoral degree, such duties may not exceed 20 per cent of a full-time position (HF 5:2).

Implementation at the Faculty of Humanities

The head of department and the principal supervisor should ensure that any departmental duties do not interfere with the timetable established in the individual study plan.

The doctoral student is obliged to engage in the training to the extent that the individual study plan requires, and may not undertake such ancillary activities, at or outside the University, that the timetable established in the study plan cannot be met.

7.2 Teaching and learning in higher education

Regulations for Doctoral Studies at Stockholm University

Doctoral students who teach first- or second-cycle courses should have undergone introductory training in teaching and learning in higher education, or have otherwise acquired equivalent knowledge.

8. Supervision

Higher Education Ordinance

The number of doctoral students admitted to third-cycle programmes may not exceed the number that can be offered supervision and otherwise acceptable conditions for study, and whose studies are funded as described in Section 36 (HF 7:34).

At least two supervisors should be assigned to each doctoral student. One of them should be appointed principal supervisor. Doctoral students are entitled to supervision during their training, unless the Vice-Chancellor, pursuant to Section 30, decides otherwise. Doctoral students are entitled to change supervisors upon request (HF 6:28).

Regulations for Doctoral Studies at Stockholm University

The University should organise training of supervisors. At least one of a doctoral student's supervisors should have undergone such training or be considered by the faculty board to have corresponding qualifications.

Admission Regulations for Doctoral Studies at Stockholm University

It is essential to the quality of the training that an admitted doctoral student can be offered supervision in the intended field of study, and to a reasonable extent. If not, the application cannot be accepted.

Implementation at the Faculty of Humanities

The principal supervisor should be employed at Stockholm University. Both supervisors should hold a doctoral degree, and at least one of them should hold the rank of associate professor or higher.

At the Faculty of Humanities, at least 80 hours per year and doctoral student should be reserved for supervision. 30-40 of these hours should be contact time.

It is the department's responsibility to verify that the supervisors have the required qualifications.

8.1 Conditions of study

Admission Regulations for Doctoral Studies at Stockholm University

“Otherwise acceptable conditions for study” means that the doctoral student will be provided with a work space and the working conditions required to undergo the training.

Implementation at the Faculty of Humanities

Acceptable study conditions are:

- A permanent, individual workplace with access to a computer and telephone.
- Funds to cover necessary costs for completing the thesis (e.g. field studies, visits to archives, database utilisation, special software, laboratory analysis).
- Funds for active participation in international conferences.

These entitlements only apply to active doctoral students (i.e. doctoral students with an activity level of at least 50%). It is up to the individual department to establish their own local guidelines.

Entitlement to supervision for doctoral students admitted to a third-cycle programme before the current regulations entered into force requires active studies.

In cases where a currently passive doctoral student wishes to resume his/her studies, the adopted individual study plan should be reviewed and, if necessary, revised. If there is no individual study plan, one should be drawn up. A doctoral student who resumes his/her studies in this manner is expected to do so with an activity level of at least 50%, and the individual study plan will be drawn up for six months with a focus on thesis work. If it then turns out that the doctoral student has substantially neglected his/her obligations in the individual study plan, he/she may – as prescribed in the Higher Education Ordinance – have his/her resources withdrawn.

9. Individual study plan

Higher Education Ordinance

An individual study plan must be drawn up for each doctoral student. The study plan should include the obligations of the university and the doctoral student, as well as a timetable for the doctoral student's training. The study plan should be adopted after consultation with the doctoral student and his or her supervisors. The individual study plan should be reviewed regularly and, in consultation with the doctoral student and his or her supervisors, be amended to the extent necessary. The period of study may only be extended under special

circumstances, which may involve sick leave, military service, elected positions in trade unions or student organisations, or parental leave (HF 6:29).

Regulations for Doctoral Studies at Stockholm University

The individual study plan should include a financial plan for the doctoral student's training, information relating to how the supervision is organised, and anything else required for the studies to be pursued in an effective manner.

If the training is not funded by means of employment or a doctoral grant, the financial plan should specify what social benefits apply to the type of funding in question, for example in the event of illness or parental leave.

The individual study plan should be reviewed at least once a year. The doctoral student and the principal supervisor should confirm in writing that they have read the individual study plan and any changes made to it.

Implementation at the Faculty of Humanities

The individual study plan will be drawn up according to the template established by the Faculty Board.

The individual study plan should be drawn up and adopted by the department board no later than two months after the start of the training. A copy of the adopted individual study plan for newly admitted doctoral students should be sent to the faculty office.

A revision should be carried out as soon as possible if called for due to changes that affect the department's or the doctoral student's ability to fulfil their obligations in accordance with the most recent plan.

A detailed plan will be drawn up for the first year, along with a more general plan for the subsequent years. Based on the results achieved in the first year, a more detailed plan will be drawn up for the second year, along with a more general plan for the subsequent years, and so on until the doctoral student finishes his/her degree.

It is important for the review process that the individual study plans are written in such detail that it is possible to determine whether a doctoral student has substantially neglected his/her obligations to such an extent that resources should be withdrawn pursuant to Chapter 6, Section 30 of the Higher Education Ordinance. For the course component of the training, it should be specified which courses the doctoral student should take during the year, and when they should be completed. When it comes to the thesis, the research should be broken down into subsidiary tasks (e.g. data collection, statistical processing, analysis) for which a

timetable should be written. Information relating to the presentation of the research (e.g. a first draft of chapter 1, a manuscript for publication in an international journal, a summary in English, an abstract) should also be provided along with a timetable.

The individual study plan should be revised annually and sent to the Faculty Board. The originals will be logged and archived at the department. Should circumstances arise that significantly alter the terms of the current funding and/or studies, the necessary changes should be made to the plan as soon as possible.

10. Grades on examinations

Higher Education Ordinance

Examinations that are part of a third-cycle course or programme should be assessed in accordance with the grading system prescribed by the higher education institution. The grade should be determined by a teacher (examiner) specifically appointed by the higher education institution (HF 6:32).

11. Public defence and grade on the thesis

See *Public Defence of a Doctoral Thesis at the Faculty of Humanities*.

11.1 Licentiate seminar

See *Regulations for Doctoral Studies at Stockholm University*.

12. Degree

Diplomas are issued by Student Services.

13. Entitlement to supervision and other resources

Higher Education Ordinance

If a doctoral student substantially neglects his/her obligations described in the individual study plan, the Vice-Chancellor should decide that the doctoral student is no longer entitled to supervision or other study resources. Before such a decision is made, the doctoral and his/her supervisors should be given an opportunity to be heard. The case should be considered on the basis of their accounts and any other records available. The assessment should take into account whether the higher education institution has fulfilled its own obligations described in the individual study plan. A written record of the decision should be made, which is to include reasons for the decision.

Resources may not be withdrawn for any period in which the doctoral student is appointed to a doctoral studentship or is receiving a doctoral grant (HF 6:30).

Regulations for Doctoral Studies at Stockholm University

The department board should propose the withdrawal of supervision and other resources to the disciplinary domain board. It should be clear from the written proposal that the department has fulfilled its obligations described in the individual study plan, as well as how and to what extent the doctoral student is considered to have neglected his/her obligations described in the individual study plan. The proposal should be accompanied by documentation showing that the individual study plan has been developed and revised annually in accordance with the above.

The head of department should ensure that the doctoral student's supervisor is given the opportunity to provide a statement. This statement should then be attached to the department board's proposal for withdrawal. When the department board's proposal is submitted to the disciplinary domain board, the case administrator at the disciplinary domain office is responsible for ensuring that the doctoral student is given an opportunity to be heard.

After being processed by the disciplinary domain board, the documentation will be sent to the Vice-Chancellor, who will make a decision in the matter. When a decision is made to withdraw resources, the doctoral student should be informed of the requirements for recovering them. The decision can be appealed to the Higher Education Appeals Board. Instructions on how to appeal should be included with the decision and given to the doctoral student.

13.1 Recovering the right to supervision and other resources

Higher Education Ordinance

If study resources have been withdrawn pursuant to Section 30, the doctoral student may, on application to the Vice-Chancellor, recover his/her entitlement to supervision and other resources. The doctoral student must then demonstrate convincingly, by presenting prospective study results of considerable quality and scope (or in some other way), that he/she can fulfil his/ her remaining obligations in the individual study plan (HF 6:31).

Regulations for Doctoral Studies at Stockholm University

The doctoral student should submit to the Vice-Chancellor his/her application to recover the right to study resources. Once the doctoral student's request has been submitted to the Vice-Chancellor, the department board will be invited to provide a statement. This statement may be accompanied by a special statement from the doctoral student's supervisor. The case will be handled by the relevant disciplinary domain office and the decision will be made by the

Vice-Chancellor. The decision can be appealed to the Higher Education Appeals Board. Instructions on how to appeal should be included with the negative decision and given to the doctoral student.

14. Request to the Faculty Board of Humanities concerning the admission of a doctoral student with another type of funding when the position has not been advertised

The department's request to the Faculty Board of Humanities should include a letter containing the following information:

- an account of the department's assessment of how the applicant will be offered supervision and otherwise acceptable conditions for study, including a financial estimate.

If the position has not been advertised, the request should also include the following:

- a report concerning which body was responsible for processing the matter, including a description of how the applicant was assessed and what conclusions were reached,
- an explanation of how the applicant's research focus is expected to contribute to the research environment,
- an account of how the admission will affect the supervision resources within the subject and the research environment.

The letter should be accompanied by the following appendices:

- the assessment group's written documentation of their processing of the applicants, as well as their results (if the position was advertised),
- the applicant's CV and research proposal (which should clearly indicate eligibility),
- a draft of an individual study plan, including a detailed financial plan for the entire period of study that makes it possible to assess the quality and viability of the type of funding,
- a contract between the employer and the department, in case the training will be conducted in the context of a position with an employer other than Stockholm University,
- a contract between collaboration partners, in case the doctoral student's training will result in a double or joint degree (e.g. cotutelle),
- an allocation decision, agreement, or equivalent, in case the training is funded by means of a scholarship.