



Guidelines for the Doctoral School in the Humanities

Decided upon by the board of the Faculty of Humanities 2015-12-15, revised 2016-10-18.

The research bill *Forskning för ett bättre liv* (Prop. 2004/05:80) contained guidelines for the resources allocated to the Faculty of Humanities as part of the investment into national research schools. The funding constitutes a “permanent increase”, and the government does not set any new target numbers for degrees awarded.¹ It is up to the universities to “make the appropriate changes or reprioritisations” as long as the resources are used for research programmes: “The government expects [...] that the funds will continue to be used for research programmes or postdoctoral fellowships related to the doctoral schools, and that rewarding collaborations between the participating universities will continue” (p. 139).²

The Faculty Board of Humanities has previously organised and financed three joint research schools in aesthetics, cultural history and linguistics. The Faculty’s resources for research-school activities should be used to improve the quality of the Faculty’s joint research programmes, facilitate coordination, create a critical mass and a developing environment for all doctoral students, as well as increased opportunities for international exchanges and perspectives.³

The Faculty of Humanities’ committee for joint research programmes has worked to organise, direct and coordinate the activities that, in accordance with the Faculty Board’s intentions, will constitute the Faculty’s joint research programmes.⁴ This work has led to a proposal to gather these activities under a single organisation that will form a joint research school at the Faculty: the Doctoral School in the Humanities. This new organisation aims to enhance the quality of education, increase interdisciplinary collaboration, create a higher degree of internationalisation and, as far as possible, create a sense of community among the Faculty’s doctoral students. In addition, it aims to make operations more efficient, with a focus on course activities in the form of independent Faculty courses and credit-bearing components within a coherent theme.⁵

¹ This permanent increase is hereinafter referred to as “the resources”.

² Discussions about potential postdoctoral fellowships, as well as the planning of possible collaborations with other universities, are proposed to commence after the first external evaluation (see p. 10).

³ *Strategier vid Humanistiska fakultetsnämnden 2015 - 2017*, HFN 150908, Dnr SU FV-1.1.2-2716-15

⁴ Joint research programmes at the Faculty of Humanities, HFN 150602

⁵ The *Decision-making and delegation policy of the Faculty of Humanities* specifies who has the right to make decisions in various matters relating to the Doctoral School in the Humanities.

Joint faculty courses

In order to promote dialogue and provide doctoral students with a larger research environment to work in, departments that (individually or in collaboration with another department within the Faculty) want to organise joint courses at the doctoral level should be able to receive funding for this purpose (e.g. salaries, facility costs, expenses).

Regular theory and method courses, as well as more practically oriented courses designed to train generic and other general skills, should be offered in the context of the Doctoral School in the Humanities. This will allow doctoral students to be offered more instruction in larger groups and be part of a larger research community, which will stimulate intellectual exchange and is expected to have positive effects on the doctoral students' knowledge and skill level. These courses, which include interdisciplinary elements and are offered to a large group of doctoral students from several fields of study, should be able to utilise, develop and enhance the expertise that already exists at the departments.

The range of courses offered should include courses in both Swedish and English.

Themes

The Faculty's continuous operations should include four specialisations, here referred to as themes. These themes should be broad enough to benefit doctoral students from a wide range of fields, and narrow enough to enable the participating doctoral students to engage in a substantial academic exchange with each other.

The theme should promote international exchange, both in terms of people and ideas/theories on how to further enhance the quality of research programmes. More points of contact between doctoral students and senior researchers will make the doctoral students more competitive in the labour market, both nationally and internationally.

All themes should be interdisciplinary and have participating teachers from several subjects. The themes should include a wide range of subjects and departments, while focusing on a clearly defined question and/or theory relating to current research in the humanities. New doctorates should have acquired skills that make them competitive outside their own, often quite narrow, thesis topic.

At least two teachers/researchers from two different departments/fields of study should participate in the development of a theme, but one department will coordinate the theme.

A theme should be able to accommodate about 20 doctoral students and run for a period of two years. Themes running longer than two years might be onerous for doctoral students who usually also follow their own department's seminar series.

A theme should comprise 20 higher education credits, which should be distributed across several smaller credit-bearing components.⁶ The credit-bearing components of a theme may include lectures, workshops, seminars, courses, field studies, conferences, etc., with participating teachers from Stockholm University as well as other national and international universities.

Proposals regarding themes and their implementation should be submitted to the Faculty Board of Humanities. Requests to establish a theme should contain an implementation plan (procedures and timetable), the included components (courses, seminars, etc.), planned progression, budget and a plan for evaluating the theme (see the template for requests to establish a theme).

On average, the Faculty of Humanities admits about 40 new doctoral students every year. These doctoral students should have the opportunity to sign up for a theme a year or two into their training. The idea is that themes should be planned to give all doctoral students at the Faculty the option to participate in a theme during their training. Doctoral students should be able to participate in a newly established theme immediately after admission or after a period of study, provided that there is room for this in the course component of their studies. The planned participation in a theme should be documented and followed up in the doctoral student's individual study plan.

Popular themes should be offered with some periodicity. At least one theme should be offered in English.

Roles and distribution of responsibilities

Web

All information relating to the Faculty's research school should be made available on the web. In the start-up phase, the Board will hire a consultant to build a platform/website.

Faculty Board of Humanities

The Faculty Board of Humanities has the overall responsibility for the Faculty's research programmes and decides on all matters relating to the research school.

The Board appoints the research officer (see below), who has the operational responsibility for the Faculty's research school, as well as the members of the committee.

⁶ A review of current general syllabi (ASP), regarding the scope of "other courses", has shown that there is room for thematic specialisations worth 20 higher education credits in the Faculty's ASPs.

The Board should ensure that the members of the committee are not replaced at the same time, but that their terms overlap.

In addition, the Faculty Board of Humanities is responsible for the continuous review and evaluation of the operations, with a first external evaluation to be carried out no later than 2019. The Board will determine the form of the evaluation.

The Faculty Board of Humanities' committee for joint research programmes

The committee is responsible for preparing all matters relating to the Faculty's joint research programmes, and the research officer acts as rapporteur to the committee.

The committee's composition (with equal representation from the sections):

- 2 members of the board (one of whom is appointed chair)
- 4 professors or associate professors who are not on the board
- 2 directors of study who are not on the board
- the research officer (secretary)
- 2 doctoral students
- administrative support

The committee will meet at least once per semester, and as needed to process incoming matters.

Research officer

The research officer is responsible for ensuring that the Faculty Board's decisions relating to the research school are implemented.

The research officer is appointed by the Faculty Board. It is a purely administrative full-time position that will be evaluated continuously for the first three years.

The research officer should hold a PhD in a field within the humanities, master spoken and written Swedish and English, and have experience of project management. The specific profile for the position as research officer, as well as a detailed description of the research officer's responsibilities, will be drawn up by the Faculty's management and adopted by the Faculty Board.

Overall, the role of research officer includes the following responsibilities:

- being a member of the committee;
- being responsible for the administration of themes and joint faculty courses – advertising, processing proposals in the committee, rapporteur to the board;

- updating information on the web;
- being responsible for reviewing the range of courses and the periodisation of joint faculty courses and credit-bearing components within themes;
- being in direct contact with the theme coordinators;
- being responsible for processing incoming applications for participation in courses;
- being responsible for the annual review and evaluation of joint faculty courses and credit-bearing components within themes.

The first external review will evaluate the role of the research officer as well as the operations as a whole.

Theme coordinator

The theme coordinator does not have to be a single person; this responsibility can be freely distributed over the theme's two-year period. The duties include administrative support and should represent about 25% of a full-time position at the coordinating department or a collaborating department. These are the coordinator's main areas of responsibility:

- Planning all activities within the theme
- Main contact for the research officer
- Main contact for all participating doctoral students (regardless of home department),
 - e.g. responsibility for reporting into Ladok (not necessarily operational responsibility)
- Financial coordination for the theme
- Compiling documentation for the research officer, concerning participation in the theme, which will form the basis of the annual review

In addition, the theme coordinator is responsible for writing a final report on the theme, which will form the basis of the review and evaluation.

Budget and allocation policy

The central administrative costs should not exceed 7% of the annual resources once the entire organisation has been implemented. In the start-up phase, a web consultant will be hired to build the website – an estimated one-time cost of about SEK 200,000.

Table 1 – Central administration

Research officer (100% incl. OH, LKP and operation) ⁷	Approx. 1,000,000
Remuneration to the departments for the members of the committee ⁸	Approx. 100,000
Total cost of administration/year	Approx. 1,200,000

The Faculty's total annual operating costs for the research school are estimated to reach a maximum of SEK 4.5 million, which corresponds to about 22% of the total resources (see tables 1, 2 and 3). This includes central administration and the operation of 4 parallel themes, as well as the joint faculty courses.

Table 2 – Standard cost per year for 4 parallel themes

Conference/boardings/workshop (1)	100,000
Credit-bearing components (total of 20 credits)	120,000
Guests (1)	50,000
Coordinator (25%)	265,360
Travel	50,000
Total cost for one (1) theme/year	585,360
Total cost for 4 themes/year	2,341,440

Table 3 – Standard cost of joint faculty courses⁹

1 credit (20 participants)	16,000
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⁷ The amount is based on an average lecturer salary at the Faculty of Humanities in 2015 and may need to be adjusted.

⁸ The calculation is based on the remuneration for members of a board in the *2016 budget for the Faculty Board of Humanities' area of operations* (Dnr SU FV-1.1.4-3885-15).

Members of the committee will receive the equivalent of half the remuneration for members of a board.

⁹ The standard cost of a generic course is based on the course Academic English, offered by the Department of English. The calculation is based on the 7.5 credit course having 20 participants.

Annual budget for at least 37.5 credits per year¹⁰	600,000
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Almost SEK 10 million remain to be allocated to the departments for research programmes in 2016 and 2017, and nearly 16 million in 2018 and 2019 (see Table 4).¹¹

Table 4 – Resources

	2015	2016	2017	2018	2019
Available funds	8,268,000	14,134,000	14,134,000	20,000,000	20,000,000
Admin		1,409,284	1,209,284	1,209,284	1,209,284
Theme		2,341,440	2,341,440	2,341,440	2,341,440
Joint faculty courses		600,000	600,000	600,000	600,000
Total		9,783,276	9,983,276	15,849,276	15,849,276

The proposed allocation policy is thus based on a very large proportion of the Faculty of Humanities’ “permanent increase” in funding being allocated to the departments in order to benefit doctoral students and their training. An important principle of this distribution of funds is to create a system where large environments remain strong, while small environments are strengthened and given the opportunity to grow.

The allocation policy must be phased in gradually, partly because the Faculty’s previous research schools have not yet completed their operations, and partly because the Faculty’s new research will not be fully operational with all four themes until 2017 or later. Therefore, the allocation policy will not be fully implemented until 2017.

The system will be carefully monitored and reviewed continuously the first few years in order to allow for any necessary adjustments. Transparency should be central to all decisions on resource allocation within the research school.

¹⁰ The Faculty’s range of joint faculty courses should be reviewed on an annual basis from the start in order to allow for any adjustments of the scope before 2019.

¹¹ The amount is lower in 2016 and 2017 due to commitments to the previously established research schools at the Faculty.

This means that funds for doctoral students and related operations will be allocated to the departments based on performance within the four themes offered by the research school, as well as the division into fields of study indicated by the general syllabi. Two themes will start in 2016 and two more in 2017. New themes will start every two years, when two of the old themes end.

The allocation of funds is based on the total number of participating doctoral students and their performance. Funds are thus allocated retroactively based on the reporting of higher education credits in Ladok, not per participating doctoral student. The allocation is calculated on the basis of every 10 completed credits (a standard amount based on the assumption that a theme lasts for two years and comprises 20 credits).

The resources available to distribute in a given year should be divided by the number of higher education credits completed by doctoral students participating in the themes during that year. This means that the funding per 10-credit performance may vary from year to year. Therefore, it is important to work with a percentage-based allocation system. 100% funding will be allocated for the first 10 credits per ASP and theme. The funding is then reduced as shown in Table 5.

Table 5 – Allocation policy for remaining funds per year

Number of completed credits within themes by the Faculty's doctoral students per ASP and year	Level of funding for participation in the year's themes per ASP
1-10 credits	100%
11-20 credits	80%
21-30 credits	70%
31-40 credits	60%
41-50 credits	50%
51- credits	40%

This means that large fields of study with many doctoral students will receive funding in a descending scale based on the performance of each participating doctoral student. Small fields of study may only have one or two doctoral students, but will then receive full funding for those who participate.

If more than five doctoral students in the same field of study participate in a single theme, this theme should be carefully evaluated. It is likely that the theme has been defined too narrowly and that the interdisciplinary component has been eliminated.

Establishing joint faculty courses and themes

The application form adopted by the Faculty Board should be used to request the establishment of a generic course or theme. The form reveals what information is needed for the committee to be able to process submitted proposals and decide whether or not to finance the course or theme. The proposal in the request should be sufficiently detailed to enable the Board to determine its feasibility.

The content of a theme must be relevant to several subject areas and departments within the Faculty, i.e. be sufficiently broad to interest doctoral students in different fields of study. At the same time, it should be clearly defined and relate to current research issues, i.e. be sufficiently narrow to be given for 20 credits over two years (see p. 2-3).

Joint faculty courses may be theory and method courses or more practically oriented courses (see p. 2), and the number of credits may vary depending on the content and scope of the course.

Allocation of places in joint faculty courses and credit-bearing components within themes

The application form adopted by the Faculty Board should be used by doctoral students to apply for a place in a generic course or theme. The supervisor/equivalent must support the doctoral student's application with a motivation as to why the doctoral student should participate in the course or theme. The supervisor will submit the proposal to the Faculty Board of Humanities.

All themes should be open to all doctoral students, but it is normally only possible for a doctoral student to participate actively in a single theme from beginning to end.¹²

The Faculty's doctoral students have priority for places in the courses. External doctoral students can be admitted to a generic course or theme subject to availability, in which case the external doctoral students' departments will pay for their participation (SEK 1,000/credit). External doctoral students should be registered in Ladok in order to enable the Board to monitor all participants in a course.¹³

The goal is to accommodate all interested doctoral students at the Faculty.

¹² An exception might be when a doctoral student starts a theme at the very beginning of their studies and then changes the focus of their thesis in such a way that the theme becomes less relevant.

¹³ The SA95 function, "Special permission for third-cycle courses", is used to add, modify and delete information about special permission to take third-cycle courses without being enrolled in a research programme.

Reports, reviews and evaluations

The research officer is responsible for the annual review and evaluation of joint faculty courses and courses within themes.

- Annual review of the number of participants in credit-bearing components.¹⁴
- Course evaluations of credit-bearing components (joint faculty courses and courses within themes).

The coordinator of a theme will write a brief reflective report when a theme is completed. All past activities will be summarised. It would be beneficial to carry out and compile brief evaluations throughout the two-year span of a theme.

The research officer will present the data to the committee, which will recommend to the Faculty Board that certain courses be expanded or discontinued.

The review should be presented to the Board at their first meeting of each calendar year. Decisions to establish new courses and themes cannot be made until the next board meeting. An external evaluation of all operations will be carried out every two or three years, starting with the first evaluation in 2019.

Processing cases

At the first Faculty Board meeting of the year, the research officer will report on and review the operations from the previous calendar year.

The deadline to submit proposals for new joint faculty courses or themes to be established the following semester will be posted on the website. The template adopted by the Faculty Board should be used to request the establishment of a new joint faculty course or theme. The proposals should be discussed within the sections before the request is submitted to the Board.

Submitted proposals will be processed by the committee, with the research officer as the responsible administrator and rapporteur to the board. The budget will be adopted in connection with the decisions regarding the range of courses and themes that will be offered the following academic year.

Decisions regarding which courses and themes will be offered the following semester should be made by the Faculty Board of Humanities during the second meeting of the semester. This

¹⁴ Based on Ladok (search for course code).



will give the course coordinators time to plan the practical implementation and allow doctoral students and supervisors to plan their courses as they revise their individual study plans.

Revisions of established joint faculty courses and courses within a theme should be submitted to the Faculty Board at least two months before the course starts.

All information about available courses and themes, including the template for applications, should be available on the Doctoral School in the Humanities' website together with information about the application period, as well as when and how the doctoral students will be notified if they received a place on the course or theme. Applications will be processed by the research officer. Where necessary, the selection and allocation of places will be carried out in consultation with the coordinating department and any collaborating departments. The research officer will notify the committee of their decisions.