

Regulations for Doctoral Studies at the Faculty of Humanities

Adopted by the Faculty Board on March 13, 2007, revised on April 21, 2011.

Rules for doctoral studies

Relevant portions regarding doctoral studies are stated in the Higher Education Act (Chapter 1) and in the following chapters of the Higher Education Ordinance:

Chapter 5: Employment as a doctoral student, sections 1-7.

Chapter 6: The Education, sections 1-12 (Regulations for all types of education) and sections 25-36 (Doctoral studies).

Chapter 7: Admission to education, sections 34-41 (Admission to doctoral studies).

Chapter 10: Disciplinary measures.

Chapter 12: Appeals.

Subsidiary regulations in addition to the Higher Education Act and the Higher Education Ordinance exist at University and Faculty levels. Admission to doctoral studies is governed by *Antagningsordning för utbildning på forskarnivå* (Admission Regulations regarding doctoral studies at Stockholm University), decided by the University Board on February 16, 2011 (Appendix 1). *Föreskrifter gällande utbildning på forskarnivå vid Stockholms universitet* (Regulations regarding doctoral studies at Stockholm University) are decided by the Vice-Chancellor on December 16, 2010 (Appendix 2).

The Higher Education Act

Chapter 1 of the Higher Education Act stipulates that doctoral studies shall be based on proficiencies acquired principally at the undergraduate and graduate levels (or equivalent proficiencies). The doctoral studies shall, besides applicable standards for education at lower levels, generate the demanded skill for independent research. Furthermore it is determined that Universities and University Colleges (with distinct subject areas) are entitled to issue doctoral degrees.

The Higher Education Ordinance Regulations for all types of education

Chapter 6, Section 3, of the Higher Education Ordinance provides students with the right to study guidance and career counselling; it also stipulates the university's responsibility for providing new students with required information. Particularly the Admission Regulation must be accessible. The Admission Regulation shall include

rules and regulations governing application, eligibility, selection and admission as well as the basis upon which the decisions are made, and how they may be appealed.

Admission, eligibility and funding conditions

Chapter 7, Section 34, of the Higher Education Ordinance imposes that, in accordance with section 36, admittance of doctoral students may not exceed the University's capacity for providing supervision and acceptable general conditions for its students. Section 36 stipulates that in order to qualify for admission, a student must satisfy both basic and specific eligibility requirements, as well as to demonstrate the general ability required for accomplishing studies.

Basic eligibility is granted to a student who has been awarded graduate level or has completed course requirements of at least 240 higher education credits, of which 60 credits are acquired at the graduate level. Alternatively, a student may qualify if equivalent proficiencies have been acquired, in Sweden, or abroad.

The demands of *specific eligibility* may pertain to university level (or equivalent) proficiencies, specific career experience, necessary language commands or further necessary conditions that are required for the student to benefit from the education.

Governed by Chapter 7, Section 36 in the Higher Education Ordinance, admission to doctoral studies may only be granted applicants who are eligible for employment as a doctoral student, or have been awarded a research grant. Alternatively, the university may admit applicants with other sufficient means of funding, guaranteed to cover the entire period of study, and who are able to demonstrate an ability to devote enough time to complete doctoral studies within eight years to obtain a PhD degree or four years to obtain a M.Phil. degree).

Selection among applicants that meet these requirements is to be done with regard to their ability to benefit from the education. The university decides the relevant criteria regarding how to assess this ability. Previous education or career experience are not applicable criteria for this selection, see Chapter 7, Section 41 of the Higher Education Ordinance.

The Higher Education Ordinance stipulates that doctoral study requires an admission regulation. The admission regulation decided by the University Board on February 16, 2011 is enclosed as appendix 1.

Employment as doctoral student

According to Chapter 5, Section 2, an employed doctoral student may, to a limited amount, teach, assist in research, and administrate. A limited amount according to Section 3a is defined as a maximum of 20 percent of full time work while employment as a doctoral student corresponds to full time, or 100 percent, work. However, a doctoral student may request to work part time, in which case a minimum of 50 percent of full time is required.

According to Section 7, initial employment as a doctoral student must last for no longer than one year. The employment may be renewed for a maximum of two years at a time. The total amount of years allowed for an employment as doctoral student is eight years, or the equivalence to four years of a full time employment. The amounts are reduced to half of the time pertaining to studies as a Master of Philosophy student. It should be noted that a deduction of study time applies when the doctoral student has not been employed as a doctoral student but rather has obtained funding such as through research grants. Further, the time of employment is prolonged in case of specific reasons such as absence due to illness, parental leave, position of responsibility in union and student organizations, defence service etc.

A vacant position as a that doctoral student is to be advertised simultaneously with admission to doctoral studies. Exceptions are given in the case the doctoral studies will be accomplished outside the university on behalf of another employer or if the studies have already been initiated through another university or for other specific reasons. No advertisement is required in case that the student continues his/her studies as an employed doctoral student after having previously received study grants.

Study grants for doctoral students

Corresponding regulations exist for study grants. According to section 2 of the ordinance regarding study grants, these grants are allowed for part time studies amounting to a minimum of 50 percent of the sum allowed for full time studies. Furthermore, and, according to Section 12 of the ordinance, a student with full time study grants is not permitted to teach at university level, or perform any other work over 20 percent of full time work, unless there specific reasons are stated.

According to the individual study plan, as indicated in the Higher Education Ordinance, Chapter 5, Section 4, a student who has received a grant for doctoral studies is to be employed (after applying) no later than during the final two years of full time studies. However, if the Vice-Chancellor should decide to revoke the resources available to the doctoral student, this rule does no longer applies.

Supervision

According to the Higher Education Ordinance, Chapter 6, Section 28, a minimum of two supervisors must be assigned for each doctoral student, of which one is assigned as the Head Supervisor. The doctoral student is entitled to change supervisors if so requested.

Subjects and General Study Plan

According to the Higher Education Ordinance Chapter 6, Section 25, the University or University College that is entitled to award doctoral degrees, is responsible for deciding which subjects in doctoral studies are to be offered. Chapter 6, Section 26, stipulates that a general study plan must be established for each subject and Section 27 stipulates the contents of the general study plan. In addition to the main contents, requirements for specific qualifications and other regulations must also be stated.

Individual Study Plan

According to the Higher Education Ordinance Chapter 6, Section 29 an individual study plan must be established for each student. The Department board will make a decision following consultation with the doctoral student and his/her supervisor. The plan must address the responsibilities of the university and the student, and a schedule for the doctoral studies must also be enclosed. The plan is to be updated after consultation with the student and supervisor and may be adjusted thereafter, if necessary.

Omission of resources

In case that, to a major extent, the doctoral student disregards his/her responsibilities the Vice-Chancellor may decide, according to the Higher Education Ordinance, Chapter 6, Section 30, that the doctoral student no longer qualifies for his/he rights to supervision and other resources pertaining to the doctoral studies. Prior to the final decision, the student and supervisor are allowed to comment. The section in question contains further regulations regarding the appropriate procedures.

According to the Higher Education Ordinance Chapter 6, Section 31, the student may appeal to the Vice-Chancellor in order to regain his/he right to supervision and other resources.

According to the Higher Education Ordinance, Chapter 6, Sections 30-31, the Vice-Chancellor is not entitled to delegate responsibility regarding omission of resources.

Appeal



According to the Higher Education Ordinance Chapter 12, Section 2, there is no possibility to lodge an appeal against the decision of employing a doctoral student.

Application of Regulations at the Faculty of Humanities

Föreskrifter för utbildning på forskarnivå för Stockholms universitet (Regulations regarding doctoral studies at Stockholm University) maintains that the Faculty Boards are responsible for the doctoral studies within their faculties and have a general superintendence over the doctoral education.

At Stockholm University the Vice-Chancellor has delegated to the Faculty Boards, decisions concerning the subjects of doctoral studies, as well as those concerning the adoption and revision of general study plans. The general study plan should contain an outline of the doctoral studies, selection criteria and other criteria to be considered regarding the test of the applicant's ability to benefit from the studies. The Dean may decide on alterations, that are not principal in nature, in the general study plans on authority from the Faculty Board. The individual study plans are adopted by the Department Boards with respect to Faculty regulations.

On February 21st, 2006, the Board of the Faculty of Humanities delegated, to the Department Boards, the right to decide admission to doctoral studies, to establish individual study plans, and to appoint supervisors for the doctoral student. The delegation does not include the right to admit doctoral students obtaining personal funding, or the right to decide admission to Master of Philosophy studies.

These regulations apply to doctoral studies at the Faculty of Humanities at Stockholm University. See *Regulations for doctoral defenses at the Faculty of Humanities* at www.hum.su.se.

Admission, Criteria and Eligibility

The Stockholm University Admission Regulations, included the Stockholm University Book of Rules and Policies, are evidently to be complied. However, the Admission Regulations are lacking detail necessary to fulfill the demands of the Higher Education Ordinance (Chapter 6, section 3) concerning the information regarding the



admission procedures. The Admission Regulations have subsequently added an addendum of rules concerning application on faculty and departmental levels.

The Higher Education Ordinance governs that vacancies for doctoral studies must normally be advertised on fixed dates, and in coordination with advertisements for student finance. The Faculty Board of Humanities has decided that admissions may be done twice a year according to the following timetable:

Expiry date: **October 15**, for commencement of doctoral studies on **January 20**.

Expiry date: **April 15** for commencement of doctoral studies on **August 20**.

Vacancies pertaining to doctoral subjects are advertised within Sweden, and if necessary, internationally, and expire after one month.

Doctoral students may be admitted following alternative timetables due to the Higher Education Ordinance, Chapter 7, Section 37, which stipulates that no advertisement is required viz if the doctoral student will perform his/her studies as an employee outside Stockholm University or if he/she already has commenced doctoral studies elsewhere, or for other comparable reasons. Note that doctoral positions/study grants are required to be advertised jointly with admission of doctoral students.

As an exception, a student may be admitted conditionally, according to the general timetable, if it is likely that financial support may be obtainable for him/her. In this case, the student may not receive access to the education before admission is completed, and a financial plan has been established. The Department Board may not delegate this authority.

The Faculty of Humanities has provided a number of criteria (See Supplement 4!) employable for assessing the student's general required ability to complete the doctoral studies. These criteria, supplemented in the template for general study plan, are employable in connection with the eligibility to doctoral studies and are to be stated in the general study plan for each doctoral subject. They may, according to need, be supplemented by criteria that are specific to the doctoral subject. The Department Board must request a decision from the Faculty Board concerning subject-pertaining criteria simultaneously to establishing the general study plan of the doctoral subject. Furthermore, it is the responsibility of each department to furnish students with detailed information regarding how the criteria are employed.

Outside of the above criteria, each department must establish and adopt its own admission regulations. These regulations must include information regarding the admission process, such as the expiration date of applications, contents of the application, when applicants will be interviewed, when admission will be decided, and

when the decision will be announced officially, etc. Principles for weighting these criteria must also be enclosed. The admission regulations must be obtainable prior to the admission date. The department must refer to the admission regulations when advertising vacancies for doctoral studies and when admitting doctoral students.

Financial support

Financial support pertains only to employed doctoral students. A doctoral student that obtains financial support for a period of 48 months of full time studies, is entitled to employment as a doctoral student for the final two of four years of doctoral studies.

It stands to reason that, according to the Higher Education Ordinance, when a student has been admitted to a doctoral studies programme, a vacant position will be simultaneously advertised. A doctoral student who has already been admitted to doctoral studies is entitled to employment as a doctoral student without applying for a vacant position. A doctoral student who has been awarded a study grant is entitled to employment after having applied for a position as a doctoral student, and in the final two years of studies (according to the individual study plan). This is under the condition that the doctoral student, on the other hand, has not disregarded his/her responsibilities (according to the individual study plan), resulting in a decision by the Vice-Chancellor to withdraw his/her resources.

According to the Higher Education Ordinance, when employing a doctoral student, there should be a focus on the student's capability of benefitting from the education. The circumstance that a doctoral student has completed parts of his/her studies must not have an impact on the admitting authority's consideration for quality i.e. the capability of benefitting from the education. A student having previous study merits and/or work experience must not be given any concessions during the application process.

The Department Board may admit students with funding other than doctoral employment/study grants in the case that the board considers the funding to cover half of the total study time, four years at the most. The Admission Regulation of Stockholm University stipulates that the minimal level for this kind of funding amounts to obtainable study grants. Further stipulation regarding this kind of funding, in correlation to study grant funding, states that the doctoral student is entitled to be employed, after having applied, by final two remaining years of study time, according to the individual study plan.

Supposing that, after admitting a doctoral student with disparate funding, the department board's assessment regarding the financial capability turns out to be

incorrect, the responsibility for financing his/her studies throughout the study time will fall on the department and the department board. Prior to the admittance, each doctoral must be provided with an individual funding plan. The plan concerns the total study time and must be revised at least once per year, simultaneous to the revision of the individual study plan. Necessary changes in the funding plan must be made immediately, should any major changes, with respect to the conditions for the plan, occur in between the annual revisions. Department service must be included in the Finance Plan as well as in the Individual Study Plan. The Head of Department, Head Supervisor, and the doctoral student, must all countersign the Finance Plan in order to ensure its validity.

The Head of Department and the Head supervisor must ensure there are no delays made by the department service to study progression and with respect to the individual study plan. The doctoral student, on the other hand, is required to dedicate his/her time to the doctoral studies according to what the individual study plan constitutes, and he/she is not permitted to undertake additional assignments, for Stockholm University or any other employer, that would delay the study progression as stated in the time plan.

A doctoral student that teaches on undergraduate and graduate levels is expected to have undergone a basic university teaching training programme according to *The Stockholm University Directions for Doctoral Studies*. The programme is available as a course given by the University Pedagogy Centre and is to be completed either as a department service, or to be included as a credit giving course within the doctoral studies.

Individual Study Plan

An individual study plan is to be established for each admitted doctoral , and revised on a yearly basis. If circumstances regarding the doctoral studies become significantly altered, the plan must be immediately revised accordingly.

The Department Board adopts the individual study plans simultaneously to admitting the student, or at the latest, within two months. The doctoral student and his/her Head Supervisor are required to sign the plan, when it is first established, as well as when/if it is later revised.

In establishing the individual study plans, the Department Board must adhere to regulations listed in *Stockholm University Directions for Doctoral Studies*. Additional to stipulations in the Higher Education Ordinance, the plan must include a financing plan, as well as information regarding the organization of the doctoral supervision.

Further, the template adopted by the Faculty Board must be employed, although subject-specific items may be added.

The individual study plan is not required to cover the complete study time concisely. Initially, a detailed individual plan is sufficient for the first year, whereas an outline plan is required for the subsequent years. Starting with the results of the first year, a more concise plan is established for the second year, followed by outlined plans for the years after until the doctoral student obtains his/her degree. In order to be able to follow up the studies it is crucial that the plan is detailed enough so to detect any possible deviations. This is especially the case if a withdrawal of the resources according to the Higher Education Ordinance, chapter 6, section 30, is relevant. Regarding the courses of the doctoral studies, the pertinent courses that the student has to pass during the year are to be indicated in the plan as well as the expected time to obtain the doctoral degree. The thesis work is indicated by means of portion information such as data collecting, statistical treatment, analysis, etc. – all of which must be accompanied by time plans. Information with respect to research work (outline of chapter 1, outline of publishing in international journals, summary in English, abstract etc.) is also to be indicated with time plans.

The individual study plans are submitted annually to the Faculty Board. The original document is thereafter filed with the Department. According to the Higher Education Ordinance, it is the responsibility of the Head supervisor and the doctoral student to inform the Faculty board of the student's progression. The Faculty Board considers submission of the individual study plan as sufficient for demonstrating such progression.

The Department Board may delegate the authority to decide on individual study plan to a supervisor committee, which includes the Head of the Department, professors in the research subject, and the other supervisors. The Head of the Department is therefore expected to inform the board annually of the progression of the doctoral students.

Supervision

Doctoral students commencing their studies after June 30, 2007, are entitled to two supervisors of whom one is appointed as Head Supervisor. The Faculty recommends the Head Supervisor to be a member of the Stockholm University staff, as Supervisorship is a form of exercise of authority. Students admitted to doctoral studies prior to June 30, 2007, are also entitled to two supervisors, although there is no such formal requirement.

A doctoral student is entitled to supervision. The level of supervision needed may vary individually and over time. The Faculty Board of Humanities has adopted a standard that each doctoral student is entitled to at least 80 hours a year. Half of this time is required for 'contacts'. The individual study plan constitutes the contents of the distribution between the supervisors and the number of supervisor meetings/semester.

According to The Stockholm University Directions for Doctoral Studies at least one of the supervisors must have passed supervisor training. The Pedagogical Centre at Stockholm University offers a longer course of five days directed towards doctoral supervisors. In addition, the Centres arranges a full day course on behalf of the Faculty for experienced supervisors; a course that experienced supervisors must pass if they have not passed the five day course.

Currently non-active, admitted doctoral students

The admitted doctoral students' right to supervision is preconditioned by active studies. Should a passive student wish to continue his/her doctoral studies, his/her individual study plan must be scrutinized and altered, if necessary. An individual study plan must be established for a student not having one. A doctoral student continuing his/her studies is presumed to observe an activity rate of at least 50 percent of full-time studies, which must be acknowledged in the study plan. According to the Higher Education Ordinance, the doctoral student must subsequently have his/her resources withdrawn, should he/she be considered to have set aside, to a major extent, his/her obligations according to the individual study plan.

Resource withdrawal

The Faculty Board decides on withdrawal of right to supervision and other study resources.

Additional

According to the Higher Education Ordinance, Chapter 7, Section 34, admittance of doctoral students may not exceed the University's capacity limit for providing supervision and acceptable general conditions for its students. Such conditions include an individual office space with access to computer and telephone (only for doctoral students with a minimum activity rate of 50 percent). Another precondition is that the Department supplies, after demand, means for covering expenses that are necessary during the completion of the thesis, such as, for instance, field studies, archive visits, use of computer bases, adequate software, and lab analysis. Means are also to be supplied also for active participation in international conferences. The departments are obliged to establish separate guidelines.