

Vice-Chancellor

University-wide Regulatory Framework for Doctoral Education at Lund University

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1 Other regulatory documents relevant to third-cycle education

Higher Education Act (HEA).

Higher Education Ordinance (HEO).

Administrative Procedure Act (FL).

Public Access to Information and Secrecy Act (OSL).

Admission Rules for Doctoral Education at Lund University.

General Guidelines on Course Evaluations and Course Evaluation Reports at Lund University.

Utveckling av utbildning i forskningsetik för doktorander (Development of education in research ethics for doctoral students).

Guidelines on the Extension of Employment as a Doctoral Student Due to Duties within Student Organisations and as an Elected Student Representative at Lund University.

Guidelines for the Extension of Doctoral Studentships etc.

Extension of Doctoral Studentship on the “special grounds” of Covid-19.

Policy for Quality Assurance and Quality Enhancement of Education at Lund University.

Regulations for Quality Assurance and Quality Enhancement of Education at Lund University.

Management Rules for the Establishment and Discontinuation of Courses and Study Programmes at Lund University.

Regulations for Digital Components at the Public Defence of Doctoral Theses at Lund University.

Riktlinjer för handläggning av beslut om indragning och återfående av rätten till handledning och andra resurser för en doktorand (Guidelines

for the processing of decisions on withdrawal and restoration of the entitlement to third-cycle supervision and other resources).

Guidelines on Handling Complaints from Students Concerning First, Second and Third-Cycle Studies at Lund University.

Riktlinjer och föreskrifter rörande plagiering och vilseledande plagiering inom utbildning på grundnivå, avancerad nivå och forskarnivå vid Lunds universitet (Guidelines and regulations concerning plagiarism and deceptive plagiarism in the first, second and third-cycles at Lund University).

Lund University's Rules on the Allocation of Decision-Making Powers and the Right to Sign Agreements at Lund University.

Rules of Procedure for Lund University.

<https://www.medarbetarwebben.lu.se/organisation-och-styrning/regler-och-beslut/regelverket>

2 Principles for third-cycle courses and study programmes

The Vice-Chancellor or a person appointed by the Vice-Chancellor is responsible for the quality and general supervision of third-cycle education. All doctoral students are to be treated equally and also have equal terms and conditions for their course or study programme. The faculty board is to organise third-cycle education to ensure the qualitative targets specified in Annex 2 of the HEO are met.

The Rules of Procedure and the *Rules on the Allocation of Decision-Making Powers at Lund University* state that the power to make decisions may be delegated unless otherwise stipulated.

Rules on the processing of matters are laid down in the Administrative Procedure Act. The regulations on impartiality are to be observed when appointing supervisors, examiners, examining committees, external reviewers, etc.

The faculty board is to:

- Clarify the division of responsibility for third-cycle education between the head of department, director of studies, supervisors and others involved in the management of third-cycle courses and study programmes.
- Establish which conditions are to apply for doctoral students in order for acceptable conditions of study in accordance with Chapter 7 Section 34 of the Higher Education Ordinance to be met. The power to make such decisions may be delegated to another body at faculty level, but not to an individual. The power to make such decisions may not be delegated further.
- Appoint a director of studies or equivalent for each subject in which third-cycle education is organised. The faculty board is to decide in more detail what powers the director of studies or equivalent is to have.

- Decide on procedures for third-cycle education that also include steps for preventing and dealing with conflicts between supervisors and doctoral students.

3 Establishment and discontinuation of subjects

The Higher Education Ordinance

Chapter 6 Section 25 A university or higher education institution entitled to award third-cycle qualifications must determine the subjects in which third-cycle courses and programmes may be offered. Ordinance (2010:1064).

Chapter 7 Section 34 The number of third-cycle students admitted to third-cycle courses and study programmes may not exceed the number that can be offered supervision and otherwise acceptable conditions for study and who have student finance under Chapter 7 Section 36.

Lund University**3.1 Establishment and discontinuation of subjects within third-cycle courses and study programmes**

The faculty board decides in which subjects third-cycle education will be offered at the faculty. The power to make such decisions may be delegated to another body at faculty level, but not to an individual. This decision-making power may not be sub-delegated.

Each faculty is to decide on administrative procedures that clarify how decisions are prepared and taken on the establishment and discontinuation of subjects within third-cycle courses and study programmes offered at the faculty.

Third-cycle subject areas are to have titles in both Swedish and English.

3.2 Establishment of subjects within third-cycle courses and study programmes

For a decision to be made on the establishment of a subject in which third-cycle teaching is offered, the following conditions must be met:

- There must be a well-functioning research environment with a sufficient amount of active research in the relevant scholarly or artistic discipline relative to the course or study programme.
- The studies must be able to offer a sufficient number of potential supervisors to ensure doctoral students can receive sufficient and high-quality supervision.
- The studies must be organised to ensure doctoral students' research projects or artistic works are regularly discussed at seminars or the equivalent.
- There must be sufficient additional resources to ensure the studies can be completed and a well-functioning physical and social study environment can be achieved.
- The studies are to be planned to ensure the qualitative targets can be met.

In addition, the Policy for Quality Assurance and Quality Enhancement of Education at Lund University is to be followed to ensure that:

- internationalisation and international perspectives are promoted in education
- gender equality and equal opportunities perspectives are promoted in education
- relevant perspectives regarding sustainable development are promoted in education.

3.3 Discontinuation of subjects within third-cycle courses and study programmes

If a third-cycle subject area does not meet the conditions stipulated in 3.2 above, the faculty board is to decide either to discontinue a third-cycle subject area or produce an action plan to remedy the shortcomings.

If a decision is made to discontinue a third-cycle subject area, the faculty board is to produce transitional provisions that govern how doctoral students who have been accepted to the third-cycle subject area in question can complete their studies.

4 General syllabus

The Higher Education Ordinance

Chapter 6 Section 26 Each subject that provides third-cycle education must have a general syllabus. Ordinance (2010:1064).

Chapter 6 Section 27 A general syllabus must state the following: the main content of the study programme, specific entry requirements and any other necessary regulations. Ordinance (2010:1064).

Chapter 7 Section 40 The stated specific entry requirements must be essential for a student to be able to assimilate the course or study programme. These requirements may comprise

1. knowledge from one or more higher education courses and study programmes or corresponding courses and study programmes,
2. specific professional or vocational experience, and
3. necessary language skills or other conditions determined by the course or study programme. Ordinance (2006:1053).

Lund University

The relevant faculty board decides on general syllabi for third-cycle subject areas at the faculty. The power to make such decisions may be delegated to another body at faculty level, but not to an individual. This decision-making power may not be sub-delegated. The decision to revise a general syllabus is normally to include transitional provisions.

General syllabi are to be approved in Swedish and translated into English.

4.1 Contents of a general syllabus

A general syllabus for a subject must contain the following:

- The third-cycle subject area's title.
- The date the syllabus was adopted and the date of any amendments.
- The title of the degree to which the study programme can lead. If more than one title of qualification is possible, the conditions for a specific title of qualification must be stated if relevant.
- Description of third-cycle subject area.
- Description of specialisation or specialisations within the third-cycle subject area.
- Qualitative targets for the qualification in accordance with the System of Qualifications (Annex 2 HEO) with details for the specific subject and any additions.
- General and specific entry requirements to be admitted to the study programme.
- Stated in credits, the scope of the thesis and other elements included in the programme. In all, the thesis and other credit-earning elements correspond to 240 credits for study programmes with a Degree of Doctor as the objective and at least 120 credits for study programmes with a Degree of Licentiate as the objective.
- Compulsory courses and other credit-earning components.

The general syllabus should also account for whether a Degree of Licentiate can be issued for a doctoral student who has completed at least 120 credits of a study programme that has a Degree of Doctor as the objective.

5 Individual study plan

The Higher Education Ordinance

Chapter 6 Section 29 An individual study plan must be drawn up for each third-cycle student. This plan must include the obligations of the third-cycle student and the higher education institution and a timetable for the third-cycle student's study programme. The plan must be adopted after consultation between the third-cycle student and their supervisors.

The individual study plan must be reviewed regularly and amended by the higher education institution as necessary and after consultation with the third-cycle student and their supervisors.

The period of study may only be extended if there are special grounds for doing so. Such grounds may comprise leave of absence because of illness, leave of absence for service in the Swedish defence forces or an elected position in a trade union or student organisation, or parental leave. Ordinance (2010:1064).

Lund University

5.1 Administrative procedures for the management of individual study plans

The faculty board is to decide on administrative procedures for preparing and deciding on individual study plans, including follow up.

GDPR and the Public Access to Information and Secrecy Act are to be observed when drawing up individual study plans.

5.2 Decision on individual study plans

At Lund University, the decision on an individual study plan is to be made by the relevant faculty board at the start of the student's third-cycle studies. This decision-making power may be delegated to a body or individual at faculty level. This decision-making power may also be delegated to an individual at department level – but only to an

individual at head of department level. The power to make such decisions may not be delegated to the doctoral student's supervisor.

A decision is also to be taken when amendments are made to the individual study plan.

The decision on the individual study plan is to contain the following information at Lund University:

- Doctoral student's name and personal identity number.
- Third-cycle subject area's title.
- Intended degree.
- Intended general syllabus including date and registration number.
- Higher education institution's obligations.
- Doctoral student's obligations.
- Details of the planned funding of the doctoral student's studies for the entire period of study.
- Information on any agreements entered into within the framework of the study programme.
- Date of the decision.
- Information on the supervisors, including the principal supervisor and assistant supervisors (see Chapter 8 below).
- In general, documented consultation between the supervisor and the doctoral student.
- Signature of authorised decision-maker or electronic approval by authorised decision-maker.

5.3 Contents of the individual study plan

Obligations on the part of the University and the doctoral student are to be detailed in the individual study plan. A schedule is to be

produced that describes how the obligations are distributed during the study period. The individual study plan is to contain:

- A schedule for the thesis.
- Details of how the doctoral student's supervision will be organised as regards, scope, content, frequency of meetings and distribution between supervisors.
- Information that affects scheduling during the study period and the length of the study period.
- An account of any planned departmental duties.
- Information on whether special permission such as approval from an ethical review needs to be obtained.
- Details on the opportunities the doctoral student will have for their research projects or artistic works to be regularly discussed at seminars or the equivalent.
- Information on other resources that are available to the doctoral student.
- Details on how any costly components will be funded.
- Planned courses and other credit-earning components.
- Midway seminar, interim seminar, defence of licentiate thesis or the equivalent included as a component of the intended degree.
- Information on what any delays and other deviations from the individual study plan will entail, as well as which measures are to be taken as a result.
- Estimated time for the public defence.

In addition, the following are also to be presented:

- Participation in activities in Sweden.
- Participation in international activities.
- Engagement with wider society.

How the planned activities contribute to the achievement of the qualitative targets is to be clarified.

5.4 Documentation required to follow up implementation of the individual study plan

The doctoral student's study performance and activities are to be regularly documented and form the basis for following up the individual study plan. The following are to be documented:

- How the thesis is progressing.
- Completed courses and individual credit-earning components in Ladok.
- How supervision has been conducted.
- Leave of absence for doctoral students employed at LU.
- Decision on change of supervisor, including the registration number for the decision.

In accordance with the Local Collective Agreement on Salary Setting for Doctoral Students, the faculty is to have procedures in place to follow up each doctoral student's individual study plan and for the regular reporting of the proportion of third-cycle studies completed in Ladok. The faculty decides on the incremental salary raise for the doctoral student after the proportion of third-cycle studies completed has been registered in Ladok. The doctoral student is to be informed about the faculty's incremental salary raises and how these are handled in practical terms during their introduction.

5.5 Follow-up and decision to amend the individual study plan

At Lund University, the faculty board is to follow up the individual study plan at least once a year and amend it to the extent required. A decision on amendments is only to be taken after consultation with the doctoral student and their supervisor. This decision-making power may be delegated to a body or individual at faculty level. This

decision-making power may also be delegated to an individual at department level – but only to an individual at head of department level. The power to make such decisions may not be delegated to the doctoral student’s supervisor.

The individual study plan must be revised if it emerges during the follow-up that the circumstances have changed, the studies have not been conducted in accordance with the individual study plan for other reasons or that deviations from the individual study plan are significant.

If it becomes clear that the doctoral student’s studies significantly deviate from the individual study plan, the person who discovers the deviation must notify the faculty. If the supervisor discovers the deviation, they should initially discuss the circumstances with the doctoral student in an attempt to come to an agreement on how the situation should be handled. If an agreement cannot be reached, the deviation is to be reported to the faculty.

The decision to amend the individual study plan is to contain details on what was amended and information on why it was amended.

If the follow-up leads to the assessment that the doctoral student has substantially neglected their obligations in the individual study plan, the case is to be submitted to the Vice-Chancellor for a decision according to section 8.6 below.

6 Courses and other credit-earning components

The Higher Education Ordinance

Examination grades

Chapter 6 Section 32 Examinations included in third-cycle courses and study programmes must be assessed in accordance with the grading system prescribed by the higher education institution.

The grade must be determined by a teacher specifically nominated by the higher education institution (the examiner). Ordinance (2010:1064).

Lund University

In addition to the thesis, third-cycle studies can comprise courses and other credit-earning components. Courses and other credit-earning components are to contribute to the fulfilment of the qualitative targets (Annex 2 HEO).

Credit-earning components include, for example, individual independent study and participation in conferences, seminar series or scholarly activities at other higher education institutions.

6.1 Course syllabus for third-cycle studies

The faculty board takes decisions on course syllabi. All third-cycle course syllabi are to be approved in Swedish and translated into English, unless there are valid reasons to the contrary.

Syllabi are to include the following:

- identification details, i.e. course code, course title in Swedish and English, cycle and number of credits
- learning outcomes
- course content

- course design
- language of instruction
- examination details
- grading scale according to the University's regulations.

Third-cycle courses are to be evaluated in accordance with *General Guidelines on Course Evaluations and Course Evaluation Reports at Lund University*.

6.2 Compulsory course on research ethics

All doctoral students admitted after 1 January 2021 must complete a course on research ethics comprising at least 3 credits as stipulated in the decision on *Utveckling av utbildning i forskningsetik för doktorander* (Development of education in research ethics for doctoral students).

6.3 Training in teaching and learning in higher education

All doctoral students are to be offered training in teaching and learning in higher education lasting at least two weeks.

It is compulsory for doctoral students who teach in the first or second cycle to complete introductory training in teaching and learning in higher education lasting at least two weeks or to have acquired equivalent knowledge in another way. Doctoral students at Lund University are to have access to courses in teaching and learning and teaching support as soon as possible. The doctoral student is to be given access to relevant courses and programmes in relation to when their own teaching will take place.

The faculty board is to decide whether the doctoral student's training in teaching and learning in higher education will be considered a credit-earning component of the programme or form part of the

doctoral student's departmental duties, and whether this information needs to be included in the general syllabus or individual study plan.

6.4 Assessment of courses and individual credit-earning components

The faculty board is to appoint examiners for courses and other credit-earning components.

The grades used at Lund University are Pass and Fail.

If a doctoral student has failed two examinations on the same course, the student has the right to request a new examiner be appointed unless there are valid reasons to the contrary.

If a doctoral student's written examination paper goes missing and it is clear that the University is responsible, a new examination is to be offered within a week, unless the doctoral student requests that the examination be scheduled for a later date.

7 Period of employment and study period

The Higher Education Ordinance

Chapter 5 Section 7 Employment on a doctoral studentship must be for an indefinite period, but no longer than a given date and never longer than one year after the award of a doctorate or doctorate in the fine, applied and performing arts. The initial appointment may apply for no longer than one year. An appointment may be extended by no more than two years at a time.

A person may be employed on a doctoral studentship for a total of no more than eight years. However, the total period of employment may be no longer than that equivalent to full-time third-cycle studies of four years. For studies that conclude with the award of a Degree of Licentiate or a Degree of Licentiate in the fine, applied and performing arts the total employment period may not exceed the time corresponding to full-time third-cycle study for two years. The time spent studying by the third-cycle student while not appointed to a doctoral studentship must be deducted from these periods.

The total period of employment may, however, exceed that stated in the third paragraph if there are special grounds. Such grounds may comprise leave of absence because of illness, leave of absence for service in the Swedish defence forces or an elected position in a trade union or student organisation, or parental leave. Ordinance (2009:933).

Chapter 6 Section 2 The scope of a course or study programme must be stated in credits, where full-time study over a normal academic year of 40 weeks is equivalent to 60 credits. Ordinance (2006:1053).

The Higher Education Ordinance

Chapter 6 Section 6 If a student at a higher education institution in Sweden has passed a course or study programme of higher education, they are entitled to transfer the awarded credits to a course or study programme at another higher education institution. This does not apply, however, if there is a substantial difference between these courses or study programmes.

The same applies for students who have successfully completed a course or study programme

1. at a university or higher education institution in Denmark, Finland, Iceland or Norway,
2. at a university or other higher education institution of a signatory to the Council of Europe's Convention of 11 April 1997 on the Recognition of Qualifications concerning Higher Education in the European Region,
3. at a university or other higher education institution of a signatory to UNESCO's Global Convention on the Recognition of Qualifications concerning Higher Education from 25 November 2019, or
4. at Nordiska högskolan för folkhälsovetenskap (NHV — The Nordic School of Public Health).

Chapter 6 Section 7 A student is entitled to transfer credits from a course or study programme other than that stated in Section 6 if the nature and extent of the knowledge and skills cited by the student are such that they generally correspond to the course or study programme for which the credits are to be transferred. A student may also be given credit for the equivalent knowledge and skills acquired in a vocational or professional capacity. Ordinance (2006:1053).

Chapter 6 Section 8 The higher education institution must assess whether credits can be awarded for prior education or prior professional or vocational experience. Credits may only be awarded to someone who is a student, unless otherwise stated in a statute or ordinance. Ordinance (2010:1064).

Chapter 6 Section 29 The period of study may only be extended if there are special grounds for doing so. Such grounds may comprise leave of absence because of illness, leave of absence for service in the Swedish defence forces or an elected position in a trade union or student organisation, or parental leave. Ordinance (2010:1064).

Lund University

7.1 The scope of third-cycle courses and study programmes

A Degree of Doctor or a Degree of Doctor of Philosophy in Fine Arts consists of 240 credits within a subject in which third-cycle teaching is offered. Of these credits, an independent research thesis or documented artistic research project must make up 120 credits.

The remaining credits are made up of courses and individual credit-earning components.

A Degree of Licentiate or a Degree of Licentiate of Philosophy in Fine Arts consists of 120 credits within a subject in which third-cycle teaching is offered. Of these credits, an independent research thesis or a documented artistic research project must make up 60 credits.

7.2 Credit transfer

The faculty board is to decide on credit transfer for studies or professional activities as part of the degree. The power to make such decisions may not be delegated to the doctoral student's supervisor.

Credit transfer is only to be considered at the request of the doctoral student. Credit transfer is to be considered on a case-by-case basis.

The possibility to transfer credits from previous education or professional activities may not be a requirement for admission to third-cycle education. Neither may the possibility of transferring credit be considered a qualification in the selection of candidates for third-cycle education. Credits for previous education, professional activities or other knowledge that constitute an admission requirement may not be transferred.

Credit transfer for previous education or professional activities entails that the study programme length and doctoral studentship are shortened accordingly.

Credit transfer for education or professional activities in third-cycle education is to be documented in the individual study plan.

7.3 Extension of a doctoral studentship

Lund University has provisions in place for extension in accordance with Chapter 1 above:

- Guidelines on the Extension of Employment as a Doctoral Student Due to Duties within Student Organisations and as an Elected Student Representative at Lund University.
- Guidelines for the Extension of Doctoral Studentships etc.
- Extension of Doctoral Studentship on the “special grounds” of Covid-19.

8 Supervision and other resources

The Higher Education Ordinance

Chapter 6 Section 28 At least two supervisors must be appointed for each third-cycle student.

One of them must be appointed principal supervisor. The third-cycle student is entitled to supervision during their studies unless the vice-chancellor has decided otherwise with the support of Section 30.

Upon request, a third-cycle student must be allowed to change supervisor. Ordinance (2010:1064).

Lund University

The supervisors who are not the principal supervisor are designated “assistant supervisors” at Lund University.

At the start of the programme, the doctoral student is to be given an introduction to the third-cycle courses and study programmes, information on the department’s research and research teams as well as access to other resources required to complete third-cycle studies.

8.1 Appointment of supervisors

The faculty board is to decide on supervisors for doctoral students.

The faculty is to appoint supervisors at the start of the doctoral student’s studies. The principal supervisor is to have the qualifications of an associate professor or corresponding research or artistic expertise and demonstrate teaching expertise.

At least one of the doctoral student’s supervisors must be employed at Lund University. The principal supervisor should have a position at, or a formal connection to, Lund University, besides being the principal supervisor.

8.2 Scope of supervision

Supervision is to be sufficient to enable doctoral students to complete their studies within the intended timeframe and to ensure the qualitative targets (HEO Annex 2) are achieved.

The faculty board is to stipulate a standard minimum for the scope of a doctoral student's supervision during their studies. The power to make such decisions may be delegated to another body at faculty level, but not to an individual. This decision-making power may not be sub-delegated.

8.3. Supervisor duties

The *principal supervisor* has primary responsibility for ensuring a relevant supervision process during the doctoral student's entire study period.

One or more *assistant supervisors*, together with the principal supervisor, provide supervision to the doctoral student. Supervision is planned in consultation with the doctoral student based on existing needs and other aspects required to complete the thesis. The supervisors are to share the role's tasks and duties among themselves.

The duties of the supervisors include providing support and guidance to the doctoral student in the following areas:

- Selecting, limiting and formulating the thesis topic.
- Whether the selected topic can be examined within the framework of the individual study plan.
- Taking a position on ethical questions and issues related to good research practice.
- Creating relevant contact interfaces and networks both within and outside academia.
- Ensuring that on completion, the thesis meets the requirements to which it may be subjected in terms of quality and scope.

- Ensuring that the manuscript and related materials achieve a sufficient level of research or artistic skill and that they can be developed further.
- Ensuring that feedback is given on texts, presentations and contributions to discussions and that these aspects achieve a sufficient level of research or artistic skill.
- How the doctoral student can develop their research communication.
- Selecting courses and individual credit-earning components to ensure the study programme's qualitative targets are met.
- Identifying relevant academic conferences, both within Sweden and internationally, that the doctoral student should take part in.
- Ensuring that the thesis progresses at the intended rate so that it is completed within the prescribed time.

The supervisors are also to conduct discussions with the doctoral student to the extent stated in the individual study plan.

It is the responsibility of the department to ensure that at least one midway status update, interim status update or the equivalent is conducted.

8.4 Change of supervisor

The faculty board is to decide on the procedures for changing supervisor. The power to make such decisions may be delegated to another body at faculty level, but not to an individual. This decision-making power may not be sub-delegated.

The procedures are to be designed so that, regardless of the reason, a change of supervisor can take place fairly, without unnecessary delay to the doctoral student's studies.

The faculty board is to decide on an action plan to prevent and deal with conflicts between supervisors and doctoral students. The power to make such decisions may be delegated to another body at faculty

level, but not to an individual. This decision-making power may not be sub-delegated.

8.5 Supervisor training

The faculty board is responsible for ensuring that doctoral student supervisors have completed supervisor training or for determining that they have corresponding qualifications. Supervisors should thereafter be given the opportunity to undergo continuous professional development within doctoral supervision.

8.6 Withdrawal of entitlement to supervision and other resources

The Higher Education Ordinance

Entitlement to supervision and other resources

Chapter 6 Section 30 If a third-cycle student substantially neglects their obligations under the individual study plan, the vice-chancellor must decide that this student is no longer entitled to supervision and other study resources. Before such a decision is made, the third-cycle student and their supervisors must be given an opportunity to make representations. The case must be considered on the basis of their statements and other available records. The assessment must consider whether the higher education institution has fulfilled its own obligations under the individual study plan. The decision must be in writing and provide reasons.

Resources may not be withdrawn for any period in which the third-cycle student has been appointed to a doctoral studentship or is receiving a doctoral grant. Ordinance (2010:1064).

Chapter 6 Section 31 If educational resources have been withdrawn under Section 30, the third-cycle student may have their entitlement to supervision and other resources restored after application to the vice-chancellor. The third-cycle student must then convincingly demonstrate, by presenting prospective study results of considerable quality and scope or in some other way, that they can fulfil their remaining obligations under the individual study plan. Ordinance (2010:1064).

Lund University

8.6.1 Procedures for withdrawing and restoring the entitlement to third-cycle supervision and other resources

Lund University has decided on *Riktlinjer för handläggning av beslut om indragning och återfående av rätten till handledning och andra resurser för en doktorand* (Guidelines for the processing of decisions on withdrawal and restoration of the entitlement to third-cycle supervision and other resources).

The faculty board is to decide on procedures for how monitoring to ensure the study programme is being conducted in accordance with the individual study plan is to be reported.

If the faculty board determines that the doctoral student has substantially neglected their obligations in the individual study plan, the faculty is to submit the matter to the Vice-Chancellor without delay.

The faculty is to process and investigate the matter as stipulated in special administrative procedures decided by the Vice-Chancellor (V 2017/458).

Before a decision is made, a review group composed of three teaching staff representatives and one student representative is to review the faculty's processing and investigation of the matter. The teaching staff representatives are appointed by the university-wide Research Programmes Board.

The review group is to recommend that the Vice-Chancellor grant or reject the faculty's request.

8.6.2. Request to restore entitlement to supervision and other resources

A request to restore entitlement to third-cycle resources is to be made to the Vice-Chancellor. The matter is to be processed in accordance with special administrative procedures decided by the Vice-Chancellor.

9 Departmental duties

The Higher Education Ordinance

Duties

Chapter 5 Section 2 A person appointed to doctoral studentship must primarily dedicate time to their own studies. Those appointed to doctoral studentships may, however, work to a limited extent with educational tasks, research, artistic research and administration. Before a doctorate or a doctorate in the fine, applied and performing arts has been awarded, however, duties of this kind may not comprise more than 20 per cent of a full-time post. Ordinance (2014:1012).

Lund University

If departmental duties might be called for, this is to be stated in the doctoral studentship vacancy announcement. The doctoral student's wishes regarding departmental duties are to be met as far as is possible.

10 Public defence of doctoral theses and licentiate seminars

The Higher Education Ordinance

Annex 2 System of Qualifications

A Degree of Doctor is awarded after the third-cycle student has completed a study programme of 240 credits in a subject in which third-cycle teaching is offered.

A Degree of Doctor in the fine, applied and performing arts is awarded after a third-cycle student has completed a study programme of 240 credits in a subject in which third-cycle teaching is offered.

Chapter 6 Section 32 Examinations included in third-cycle courses and study programmes must be assessed in accordance with the grading system prescribed by the higher education institution. The grade must be determined by a teacher specifically nominated by the higher education institution (the examiner). Ordinance (2010:1064).

Chapter 6 Section 33 The qualification descriptors for doctorates and doctorates in the fine, applied and performing arts state that a pass grade on a doctoral thesis is required for the award of these degrees. The doctoral thesis must have been orally defended at a public defence. An external reviewer must be appointed for the public defence. Ordinance (2010:1064).

Chapter 6 Section 34 At least one person who participates in grading the doctoral must be someone who does not have a position at the higher education institution awarding the degree. Ordinance (2010:1064).

Chapter 6 Section 35 A higher education institution may issue regulations on the grading system to be used and on public defences and grading in other respects. Ordinance (2010:1064).

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10.1 Public defence of doctoral theses

The faculty board is to decide the time and place for the public defence. The public defence is to take place within the University's semester periods, unless there are valid reasons to the contrary.

The public defence is to be announced at least three weeks in advance. Digital components of public defences are allowed if there are valid reasons. Decisions on digital components at a public defence are to be taken by the faculty board. Decisions on digital components at a public defence are to be taken after consultation with the doctoral student and principal supervisor.

At the time of the announcement of the public defence, the doctoral thesis is to be available at the University. The faculty board is to decide on the minimum number of printed copies and on reimbursement for production costs.

At the time of the announcement of the public defence, the general public is also to be informed about any digital components that might be used.

Public access to public defences must be ensured. For digital components to satisfy the requirement for public access, the public defence must be organised at specified premises provided by the University where the public can attend and pose questions and where appropriate technology is provided.

The faculty board appoints a chair to preside over the public defence. The doctoral student's supervisor may not be appointed chair.

10.2 External reviewer

The external reviewer is to be appointed by the faculty board. This decision-making power may be delegated to a body or individual at faculty level. This decision-making power may not be sub-delegated. The external reviewer is to hold a doctoral degree or equivalent and

must not have a position at the faculty concerned, unless there are valid reasons to the contrary.

10.3 Examining committee and grading of doctoral thesis

The doctoral thesis is to be graded by an examining committee appointed by the faculty board for the specific thesis. The faculty board is to decide whether the examining committee is to have three or five members. This decision-making power may be delegated to a body or individual at faculty level. This decision-making power may not be sub-delegated. Substitutes for the examining committee members may be appointed.

The faculty board is to appoint members of an examining committee. This decision-making power may be delegated to a body or individual at faculty level. This decision-making power may not be sub-delegated. A person who has acted as supervisor to the doctoral student may not sit on the committee. As stipulated by Chapter 6, Section 34 of the Higher Education Ordinance, at least one person who participates in grading the doctoral thesis must be someone who does not have a position at the higher education institution awarding the degree.

The examining committee is quorate when all members are present. Decisions are to be made by simple majority. An individual member has the right to have a dissenting opinion noted, pursuant to Section 30 of the Administrative Procedure Act.

The doctoral thesis is to be graded as Pass or Fail. The grading is to take into account the content of the thesis and the defence of the thesis. If the thesis receives a fail grade, reasons for this are to be given in writing.

If one or more of the members participate in the public defence remotely, the examining committee's meeting is to be organised as a separate and closed digital meeting.

10.4 Attendance

The faculty board is to decide on which measures to take in the event the external reviewer and/or members are unable to attend at short notice.

The doctoral student, the chair of the public defence and at least one of the doctoral student's supervisors and the majority of the examining committee members must be physically present at the public defence, unless special circumstances apply. Other participants may attend remotely.

The external reviewer may be replaced by a member of the examining committee. A member who is unable to attend at the public defence may be replaced by a substitute.

The Higher Education Ordinance**Annex 2 System of Qualifications**

A Degree of Licentiate is awarded either after a third-cycle student has completed a study programme of at least 120 credits in a subject in which third-cycle teaching is offered, or after a third-cycle student has completed one part comprising at least 120 credits of a study programme intended to conclude with the award of a Degree of Doctor, if a higher education institution decides that a Degree of Licentiate of this kind may be awarded at the institution.

A Degree of Licentiate in the fine, applied and performing arts is awarded either after a third-cycle student has completed a study programme of at least 120 credits in a subject in which third-cycle teaching is offered, or after a third-cycle student has completed one part comprising at least 120 credits of a study programme intended to conclude with the award of a Degree of Doctor in the fine, applied and performing arts, if a higher education institution decides that a Degree of Licentiate in the fine, applied and performing arts of this kind may be awarded at the institution.

Lund University**10.5 Defence of licentiate thesis in the form of an independent research thesis or documented artistic research project**

A licentiate thesis or a documented artistic research project for a Degree of Licentiate is to be orally defended at a public licentiate seminar.

The faculty board is to decide the time and place for the licentiate seminar. It is to take place within the University's semester periods unless there are valid reasons to the contrary.

The licentiate seminar is to be announced at least three weeks in advance. At the time of the announcement, the licentiate thesis or the artistic licentiate thesis is to be available at the University to enable review of the thesis at the licentiate seminar. The faculty board is to decide on the minimum number of printed copies before the seminar and on reimbursement for production costs.

A critical reviewer is to attend the seminar. The critical reviewer is to be appointed by the faculty board. This decision-making power may be delegated to a body or individual at faculty level. This decision-making power may not be sub-delegated. The critical reviewer is to hold a doctoral degree or equivalent and must not have a position at the faculty concerned, unless there are valid reasons to the contrary. The licentiate seminar is to be presided over by a chair. The faculty board appoints the chair and critical reviewer.

10.6 Grading the licentiate thesis and documented artistic research project for the Degree of Licentiate

The faculty board is to decide on an examining committee as stipulated by the provisions for doctoral theses (10.3) or an examiner specially appointed for each thesis. The faculty board is to decide which option is to be used at the faculty.

A person who has acted as supervisor to the doctoral student may not take on the role of examiner. The grade for a licentiate thesis or a documented artistic research project for a Degree of Licentiate is to be decided either by an examining committee or an examiner. The licentiate thesis or a documented artistic research project for the Degree of Licentiate is to be graded as Pass or Fail. The grading is to take into account both the content of the thesis and the defence of the thesis at the seminar. If the thesis is given a fail grade, reasons are to be given in writing.

11 Qualifications

The Higher Education Ordinance Certificates

Chapter 6 Section 9 A student who fulfils the requirements for the award of a qualification must, upon request, be provided with a certificate. Ordinance (2006:1053).

Chapter 6 Section 10 In the certificate the higher education institution must state

1. the title of the qualification,
2. the level in which it was awarded,
3. if the qualification forms part of a joint degree as stated in Section 17 of Chapter 1 of the Higher Education Act (1992:1434),
4. the courses included in a qualification at the first or second-cycle level, and
5. the higher education institution at which the courses stated in item 4 or the corresponding third-cycle education were completed.

A translation of the title of the qualification to one or more languages may be included in the certificate. Ordinance (2011:687).

Chapter 6 Section 10 a The certificate must be accompanied by

1. a diploma supplement that describes the study programme and its place in the educational system, and
2. for a Higher Education Diploma in Vocational Education, a diploma supplement that lists the professional and relevant vocational expertise used as a basis for the special entry requirements under Section 4 of the Ordinance on Admission to Programmes Leading to the Award of a Higher Education Diploma in Vocational Education (2010:2021) and the provisions issued in conjunction with that paragraph.

The Swedish Council for Higher Education may issue more detailed specifications for the contents of a diploma supplement under item 1 above. Ordinance (2012:712).

Chapter 6 Section 11 If a certificate is awarded for studies conducted at more than one higher education institution, it must be issued by the institution at which the student completed their education. This does not apply, however, if the higher education institutions involved have reached some other agreement or the institutions must jointly issue a joint degree under Section 17 of Chapter 1 of the Higher Education Act (1992:1434). Ordinance (2009:1068).

Chapter 6 Section 26 Each subject that provides third-cycle education must have a general syllabus. Ordinance (2010:1064).

Chapter 7 Section 38 A higher education institution that is entitled to award third-cycle qualifications within an area may permit a third-cycle student who has been admitted to some other university or some other higher education institution to transfer to the institution without a new admission process and to continue their courses and study programmes and graduate there. However, this only applies if the third-cycle student has completed the major part of their third-cycle studies at the institution in the area in which entitlement to award third-cycle qualifications is granted.

What is stated in the first paragraph must also apply if a higher education institution has been granted the title of university and is entitled to award third-cycle qualifications under Section 11 of Chapter 1 of the Higher Education Act (1992:1434). Ordinance (2010:1064).

Lund University

The faculty board is to ensure fulfilment of the qualitative targets (HEO Annex 2) when issuing degrees.

The faculty board is to decide whether a Degree of Licentiate or Degree of Licentiate of Philosophy in Fine Arts can be issued for a doctoral student who has completed at least 120 credits of a study programme that has a Degree of Doctor or Degree of Doctor of Philosophy in Fine Arts as the objective. See also the section General syllabus above.

11.1 Title of qualification

The following titles of qualification may be used for the Degree of Doctor:

- Degree of Doctor of Philosophy – Ekonomie doktorsexamen
- Degree of Doctor of Philosophy – Filosofie doktorsexamen
- Degree of Doctor of Laws – Juris doktorsexamen
- Degree of Doctor of Philosophy in Medical Science – Doktorsexamen i medicinsk vetenskap
- Degree of Doctor of Philosophy in Engineering – Teknologie doktorsexamen
- Degree of Doctor of Theology – Teologie doktorsexamen
- Degree of Doctor of Philosophy in Fine Arts – Konstnärlig doktorsexamen

The following titles of qualification may be used for the Degree of Licentiate:

- Degree of Licentiate of Philosophy – Ekonomie licentiatexamen
- Degree of Licentiate of Philosophy – Filosofie licentiatexamen
- Degree of Licentiate of Laws – Juris licentiatexamen

- Degree of Licentiate of Medical Science – Licentiatexamen i medicinsk vetenskap
- Degree of Licentiate in Engineering – Teknologie licentiatexamen
- Degree of Licentiate of Theology – Teologie licentiatexamen
- Degree of Licentiate of Philosophy in Fine Arts – Konstnärlig licentiatexamen

11.2 Degree certificate

Decisions on issuing degree certificates are made in compliance with Lund University's Rules on the Allocation of Decision-Making Powers and the Right to Sign Agreements at Lund University.

The degree certificate is to comprise a certificate page stating the student's name, degree obtained and subject, and a separate page (or pages) containing details of the title of the thesis, scope of the thesis, the decision of the examining committee, date of the examining committee's decision, a list of courses and other credit-earning components included in the degree, and any additional information.

A degree certificate is to be issued within 60 days of the doctoral student submitting a request.

11.3 Diploma supplement

Pursuant to Chapter 6 Section 10a, first point of the Higher Education Ordinance, the certificate must be accompanied by a diploma supplement that describes the study programme and its place in the educational system. The faculty board decides on the text in the diploma supplement for the subjects for which the faculty is responsible.

The Higher Education Ordinance

Chapter 6 Section 11 If a certificate is awarded for studies conducted at more than one higher education institution, it must be issued by the institution at which the student completed their education. This does not apply, however, if the higher education institutions involved have reached some other agreement or the institutions must jointly issue a joint degree under Section 17 of Chapter 1 of the Higher Education Act (1992:1434). Ordinance (2009:1068).

Chapter 6 Section 11a A higher education institution may only participate in educational cooperation under the second paragraph of Section 17 of Chapter 1 of the Higher Education Act (1992:1434) if this cooperation is based on a written agreement.

A higher education institution listed in the annex to the Higher Education Act may only enter an agreement of this kind with

1. another higher education institution subject to the Higher Education Act,
2. an independent course provider entitled to award a qualification under the Act Concerning Authority to Award Certain Qualifications (1993:792), or
3. a higher education institution outside Sweden that is not a physical individual.

Ordinance (2009:1068).

Chapter 6 Section 11b A higher education institution referred to in Section 11a may only enter into an agreement described in that paragraph if the conditions stipulated in the second and third paragraphs are fulfilled.

Through the agreement, the higher education institution must ensure that

1. every component of the study programme is arranged by one of the higher education institutions party to the educational cooperation, and
2. the components of the programme arranged by an institution other than the higher education institution itself must also be based on a scientific or artistic footing and on proven experience, and must be conducted so that the programme achieves a high standard.

The agreement must state

1. the programme component(s) the higher education institution must provide,
2. the programme component(s) another higher education institution must provide,
3. to which higher education institution or institutions that provide programme components an applicant to the programme will be admitted,
4. that the higher education institution may only admit applicants to the programme component provided by the higher education institution,
5. when a student who has been admitted to a programme component by another higher education institution must be considered a student under Section 11c,
6. that a student must be able to transfer credits for a successfully completed programme component at another higher education institution to the programme at the higher education institution without special review,
7. what qualification the programme can lead to at each higher education institution, and
8. other conditions required for the programme to be provided. Ordinance (2009:1068).

Chapter 6 Section 11c A student at another higher education institution for a programme component that is subject to an agreement of the kind stipulated in Section 11a must be considered a student who has been admitted to the higher education institution that is party to such an agreement when they study within the framework of the programme at that higher education institution. This only applies if

1. the other higher education institution provides the programme component to which it has admitted the student, and
2. the agreement does not stipulate that the student must also be admitted by the higher education institution. Ordinance (2009:1068).

The Higher Education Ordinance

Chapter 6 Section 11d Credits for a component of a programme subject to an agreement of the kind stated in Section 11a and which has been successfully completed by a student at another higher education institution must be transferred to a programme at a higher education institution party to the agreement without special review. Ordinance (2009:1068).

Chapter 6 Section 11e A higher education institution referred to in Section 11a may only award a joint degree if

1. the student has completed a programme subject to an agreement under the same paragraph and fulfilled the requirements for the award of a qualification at the higher education institution and at least one other higher education institution that has provided a programme component,
2. each higher education institution awarding a qualification included in the joint degree may confer the degree awarded by the higher education institution,
3. each qualification included in the joint degree and which is awarded by a higher education institution subject to the Higher Education Act (1992:1434) or by an independent course provider refers to the same qualification as that of the higher education institution, and
4. every qualification included in the joint degree and which is awarded by a foreign higher education institution is at the same cycle as at the higher education institution. Ordinance (2009:1068).

Chapter 6 Section 11f When a higher education institution referred to in Section 11a awards a joint degree with another higher education institution, it may use the same certificate for conferral as the other higher education institution. Ordinance (2009:1068).

Pursuant to the Higher Education Act, a higher education institution may award a joint degree together with another higher education institution. The term joint degree refers to a qualification that may be awarded by the higher education institutions that have jointly organised courses and programmes that can lead to the award of the qualification (Chapter 1 Section 17 HEA).

The Higher Education Ordinance stipulates that a higher education institution may participate in educational cooperation as specified under Chapter 1 Section 17 second paragraph of the Higher Education Act if this cooperation is based on a written agreement (Chapter 6 Section 11a). The faculty board enters into agreements of this kind on joint courses and programmes. The power to make such decisions may be delegated to another body at faculty level.

The University may only enter into an agreement on a joint degree if there is a general syllabus for the subject, pursuant to Chapter 6 Section 26 of the Higher Education Ordinance.

12 Transitional provisions and entry into force

The provisions in section 10.1 last paragraph do not apply to public defences whose time and venue had already been decided when the regulatory framework entered into force.

The Vice-Chancellor decides to approve this regulatory framework on 19 September 2024. The rules enter into force on 1 October 2024. At the same time, *Regulations for doctoral education at Lund University* (STYR 2018/562) cease to apply.

Appendix 1

The regulatory framework's delegations

The Rules of Procedure and the *Rules on the Allocation of Decision-Making Powers at Lund University* state that the power to make decisions may be delegated unless otherwise stipulated.

The delegations in the regulatory framework above as regards limitations to the individual faculty boards' opportunities to delegate are listed below:

3 Establishment and discontinuation of subjects

The faculty board decides in which subjects third-cycle education will be offered at the faculty. The power to make such decisions may be delegated to another body at faculty level, but not to an individual. This decision-making power may not be sub-delegated.

4 General syllabus

The relevant faculty board decides on general syllabi for third-cycle subject areas at the faculty. The power to make such decisions may be delegated to another body at faculty level, but not to an individual. This decision-making power may not be sub-delegated. The decision to revise a general syllabus is normally to include transitional provisions.

5 Individual study plan

At Lund University, the decision on an individual study plan is to be made by the relevant faculty board at the start of the student's third-cycle studies. This decision-making power may be delegated to a body or individual at faculty level. This decision-making power may also be delegated to an individual at department level – but only to an individual at head of department level. The power to make such decisions may not be delegated to the doctoral student's supervisor.

At Lund University, the faculty board is to follow up the individual study plan at least once a year and amend it to the extent required. A decision on amendments is only to be taken after consultation with the

doctoral student and their supervisor. This decision-making power may be delegated to a body or individual at faculty level. This decision-making power may also be delegated to an individual at department level – but only to an individual at head of department level. The power to make such decisions may not be delegated to the doctoral student's supervisor.

7 Period of studies and period of employment

The faculty board is to decide on credit transfer for studies or professional activities as part of the degree. The power to make such decisions may not be delegated to the doctoral student's supervisor.

8 Supervision and other resources

At Lund University, the faculty board is to follow up the individual study plan at least once a year and amend it to the extent required. A decision on amendments is only to be taken after consultation with the doctoral student and their supervisor. This decision-making power may be delegated to a body or individual at faculty level. This decision-making power may also be delegated to an individual at department level – but only to an individual at head of department level. The power to make such decisions may not be delegated to the doctoral student's supervisor.

The faculty board is to decide on the procedures for changing supervisor. The power to make such decisions may be delegated to another body at faculty level, but not to an individual. This decision-making power may not be sub-delegated.

The faculty board is to decide on an action plan to prevent and deal with conflicts between supervisors and doctoral students. The power to make such decisions may be delegated to another body at faculty level, but not to an individual. This decision-making power may not be sub-delegated.

10 Public defence of doctoral theses and licentiate seminars

The external reviewer/critical reviewer is to be appointed by the faculty board. This decision-making power may be delegated to a

body or individual at faculty level. This decision-making power may not be sub-delegated. The external reviewer/critical reviewer is to hold a doctoral degree or equivalent and must not have a position at the faculty concerned, unless there are valid reasons to the contrary.

The doctoral thesis is to be graded by an examining committee appointed by the faculty board for the specific thesis. The faculty board is to decide whether the examining committee is to have three or five members. This decision-making power may be delegated to a body or individual at faculty level. This decision-making power may not be sub-delegated. Substitutes for the examining committee members may be appointed.

The faculty board is to appoint members of an examining committee. This decision-making power may be delegated to a body or individual at faculty level. This decision-making power may not be sub-delegated. A person who has acted as supervisor to the doctoral student may not sit on the committee. As stipulated by Chapter 6, Section 34 of the Higher Education Ordinance, at least one person who participates in grading the doctoral thesis must be someone who does not have a position at the higher education institution awarding the degree.

10.5 Defence of licentiate thesis in the form of an independent research thesis or documented artistic research project

The critical reviewer is to be appointed by the faculty board. This decision-making power may be delegated to a body or individual at faculty level. This decision-making power may not be sub-delegated. The external reviewer is to hold a doctoral degree or equivalent and must not have a position at the faculty concerned, unless there are valid reasons to the contrary.

A critical reviewer is to attend the seminar. The critical reviewer is to be appointed by the faculty board. This decision-making power may be delegated to a body or individual at faculty level. This decision-making power may not be sub-delegated. The critical reviewer is to hold a doctoral degree or equivalent and must not have a position at

the faculty concerned, unless there are valid reasons to the contrary. The licentiate seminar is to be presided over by a chair. The faculty board appoints the chair and critical reviewer.

11. The faculty board is to decide whether a Degree of Licentiate or Degree of Licentiate of Philosophy in Fine Arts can be issued for a doctoral student who has completed at least 120 credits of a study programme that has a Degree of Doctor or Degree of Doctor of Philosophy in Fine Arts as the objective.