



## REGULATIONS

Reg. No.  
STYR 2018/562

Date 15 March 2018

Vice-Chancellor

## Regulations for doctoral education at Lund University

*Approved by the Vice-Chancellor on 15 March 2018 in the presence of university director Susanne Kristensson, and following a presentation by policy officer Cecilia Gagné.*

Pursuant to Chapter 6 Sections 27, 32 and 35 of the Higher Education Ordinance (1993:100) in its wording from 1 January 2011 (hereafter HEO) Lund University has decided the following regulations.

### 1. General

The Vice-Chancellor or a person appointed by the Vice-Chancellor is responsible for the quality and general supervision of third-cycle education. The University's rules of procedure state that the Education Board is to deal with strategic issues for education in the third cycle, and draw up principles for quality assurance and quality enhancement.

The faculty board concerned shall appoint a director of studies or equivalent for each subject in which third-cycle education is organised. The director of studies is to have a coordinating role in issues related to third-cycle studies in the subject. The faculty board is to decide in more detail what powers the directors of studies or equivalent are to have.

Under the Lund University Rules of Procedure (LS 2010/625, adopted 11 November 2011), the power to make a decision may be delegated unless otherwise stipulated.

Under the Higher Education Act (HEA Ch. 2 Section 7), the students are entitled to representation when decisions or preparations are made that have bearing on their courses or programmes or the situation of students.

The Discrimination Act (2008:567) stipulates that the University is to conduct goal-oriented work to actively promote equal rights and opportunities for doctoral students, regardless of sex, ethnic origin, religion or other belief, disability or sexual orientation (Ch. 3 Section 14).

The Work Environment Act (1977:1160) stipulates that the University, in its capacity as an employer, shall systematically plan, direct and inspect activities in a manner which ensures that the work environment meets the prescribed requirements for a good work environment. This includes investigating work-related injuries, continuously investigating the hazards of the activity and taking the necessary measures to correct the same (Ch. 3 Section 2a).

Rules on the administration of matters are laid down in the Administrative Procedure Act (1986:223) (hereafter APA). The regulations on impartiality in Section 11 of the APA shall be observed when appointing supervisors, examiners, examining committees, faculty examiners, etc. The Administrative Procedure Act also stipulates that an individual shall be informed about the contents of the decision whereby the authority determines a matter if this relates to the exercise of public power in relation to an individual (Sec. 21 APA). A doctoral student shall therefore be informed of the substance of decisions made by the University that concern the doctoral student.

## **2. Admissions**

Those conducting research studies shall be enrolled on a third-cycle programme.

More detailed regulations on admission to third-cycle education can be found in the admission rules adopted by the University Board.

### 3. Student funding

The number of doctoral students who may be admitted to third-cycle education is restricted to the number that can be offered supervision and otherwise acceptable conditions of study and who have funding in accordance with Section 36 (Ch. 7 Section 34 HEO).

More detailed regulations concerning student funding for third-cycle education can be found in the admission rules adopted by the University Board.

### 4. Subjects of third-cycle education

The relevant faculty board decides in what subjects third-cycle education will be arranged at the faculty. 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.

For a decision to be made on the establishment of a third-cycle subject, the following conditions shall be met:

- There shall be a good research environment with sufficient active research relative to education in the relevant research or artistic discipline
- There shall be sufficient supervision capacity and other resources needed to provide the education. Supervisors shall have relevant subject and teaching skills to supervise doctoral students
- The title of the subject, in Swedish and in English, shall provide clear information on its base in relation both to national standards (Statistics Sweden's research subjects) and to international practice

### 5. General syllabus

Pursuant to Chapter 6 Section 26 HEO, there shall be a general syllabus for every subject in which third-cycle education is arranged.

## **5.1 General information**

The University shall have a general syllabus for every degree to which a third-cycle programme can lead.

The relevant faculty board decides on general syllabi for subjects at the faculty. 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.

General syllabi shall be approved in Swedish and shall be translated into English, unless there are valid reasons to the contrary.

## **5.2 Contents**

Pursuant to Chapter 6 Section 27 HEO, a general syllabus shall indicate the main content of the study programme, specific entry requirements and any other regulations necessary. General syllabi at Lund University shall contain the following:

1. the title of the subject
2. the date the syllabus was adopted and the date of any amendments
3. the degree(s) to which the programme can lead. If more than one degree is possible, any conditions for a specific degree shall be indicated.
4. learning outcomes for the degree in accordance with the Qualifications Ordinance (appendix 2 HEO) with details for the specific subject and any additions
5. the length of the thesis (in credits)
6. details of the assessments included in the programme (courses and/or other examined components, both compulsory and elective), which in addition to the thesis are to form the total scope of the programme
7. the admission requirements (basic and specific) for admission to the programme
8. the grounds for assessment used in selection of applicants to assess their capacity to benefit from the programme.

## 6. Courses and other examined components

In addition to the work on the thesis, third-cycle programmes can comprise courses and other components, such as participation in conferences for which credits can be earned. Both courses and other examined components shall contribute to the fulfilment of the programme outcomes.

Details of passed courses and other examined components shall be documented in Ladok on a continual basis (I G 7 1687/2001, approved 22 May 2001).

### 6.1 Courses

Courses that are given as part of third-cycle education shall have a syllabus approved by the faculty board.

Course syllabi shall be approved in Swedish and shall be translated into English, unless there are valid reasons to the contrary.

Syllabi shall include the following:

1. identification details, i.e. course code, course title in Swedish and English, level and number of credits
2. learning outcomes
3. content
4. forms of instruction
5. language of instruction
6. forms of examination
7. grading scale in accordance with university regulations

Third-cycle courses shall be evaluated in accordance with the Regulations on course evaluations and course evaluation reports at Lund University (*Föreskrifter gällande kursvärdering och kursutvärdering vid Lunds universitet*; PE 2010/341, adopted 7 April 2011).

## **6.2 Assessment**

Courses and other examined components shall be assessed and graded. The grade shall be decided by an examiner, who is appointed by the faculty board.

The Higher Education Ordinance stipulates that examinations that form part of third-cycle education shall be assessed in accordance with the grading system prescribed by the higher education institution. The grade shall be determined by a member of teaching staff specially nominated by the higher education institution (the examiner) (Ch. 6 Section 32 HEO).

At Lund University, the grades used are pass and fail.

If a doctoral student has failed two examinations on the same course, the student has the right to have a new examiner appointed on request 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 shall be offered within a week, unless the doctoral student requests that the exam be scheduled for a later date.

## **7. Individual study plan**

An individual study plan shall be drawn up for each doctoral student. This plan shall contain the undertakings made by the student and the higher education institution and a timetable for the student's studies. The plan shall be adopted after consultation with the doctoral student and his or her supervisors (Ch. 6 Section 29 HEO).

### **7.1 General information**

At Lund University, decisions on individual study plans shall be made by the relevant faculty board at the start of the student's studies. The power to make such decisions may be delegated to another body or individual at faculty level. The power to make such decisions may also be delegated to a body at department level, but not to any

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

## **7.2 Content**

In addition to the stipulations of Chapter 6 Section 29 HEO (the undertakings made by the student and the higher education institution and a timetable for the student's studies), the individual study plan shall include the following:

1. the doctoral student's name and personal identity number
2. the subject and the general syllabus for the intended degree
3. the date of the decision and any amendments
4. details of the planned funding of the doctoral student's studies
5. details of how the doctoral student's supervision is to be organised
6. what other resources are available to the doctoral student
7. details of the planned compulsory and elective courses and other examined components that are to be included in the programme
8. details of the doctoral student's participation in international activities
9. information on any licentiate degree and/or midway review included in the programme
10. other information necessary for the efficient pursuit of studies

The individual study plan shall also include the following:

11. details of any departmental duties and their scope and relation to the programme
12. how any costly components will be funded, taking into consideration that the doctoral student shall be able to complete his or her studies without incurring any unnecessary or unreasonable expenses
13. whether credits can be obtained for any training in teaching and learning in higher education

### **7.3 Follow-up of individual study plan**

The individual study plan shall be reviewed regularly and amended by the higher education institution to the extent required after consultation with the doctoral student and his or her supervisors (Ch. 6 Section 29 HEO).

At Lund University, the faculty board shall review the individual study plan at least once a year and amend it to the extent required. The power to make such decisions may be delegated to another body or individual at faculty level. It may also be delegated to a body at department level, but not to any individual at department level other than a head of department. The power to make such decisions may not be delegated to the doctoral student's supervisor.

## **8. Supervision and other resources**

The Higher Education Ordinance stipulates that a doctoral student shall be offered supervision and otherwise acceptable conditions of study (Ch. 7 Section 34 HEO).

The Faculty Board shall decide what further conditions shall apply for doctoral students in order for acceptable conditions of study in accordance with Ch. 7 Section 34 HEO to be considered 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.

### **8.1 Supervision and supervisor training**

The Higher Education Ordinance stipulates that at least two supervisors shall be appointed for each doctoral student. One of them shall be nominated as the principal supervisor. A doctoral student who so requests shall be allowed to change supervisor (Ch. 6 Section 28 HEO).

#### ***8.1.1 Appointment of supervisors***

Supervisors shall be appointed by the faculty board at the start of the programme. The person appointed principal supervisor shall hold the



post of reader or have equivalent research/artistic and teaching expertise, unless there are valid reasons to the contrary.

The University shall arrange qualifying training for supervisors of doctoral students. Supervisors of doctoral students shall have completed supervisor training or been judged by the faculty board to have equivalent skill.

#### ***8.1.2 Scope of supervision***

Supervision shall be sufficient in terms of time and quality to enable doctoral students to complete their studies in the time intended.

The faculty board shall stipulate a standard minimum for the scope of a doctoral student's supervision during his or her studies. 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.

#### ***8.1.3 Change of supervisor***

The faculty board shall decide on routines for a change of supervisor. 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.

The routines shall state whom doctoral students should contact to request a change of supervisor and who makes decisions on changes of supervisor.

The routines shall be designed so that a change of supervisor can take place with highest possible legal security, without delay to the doctoral student's studies, and so that the student can continue the work on his or her thesis with the specialisation stated on admission.

A change of supervisor shall be documented and followed up.

The faculty board shall 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. The power to make such decisions may not be delegated further.

## **8.2 Other resources**

The University's undertakings include supplying the doctoral student with the following:

- information about and an introduction to the programme and the department's research and research groups, seminars and other such activities, and opportunities for students to organise themselves into unions
- a desk, access to a computer, telephone, university email address and the other resources required for the doctoral student to complete his or her third-cycle studies
- regular opportunities to have his or her research project discussed at seminars or the equivalent

## **8.3 Withdrawal of supervision and other resources**

The Higher Education Ordinance (Chapter 6, Section 30, first paragraph), stipulates that if a doctoral student substantially neglects his or her undertakings in the individual study plan, the Vice-Chancellor shall decide that the doctoral student is no longer entitled to supervision and other study resources. Before such a decision is made, the doctoral student and the supervisors shall be given an opportunity to make representations. The case shall be considered on the basis of their reports and any other records available. The assessment shall take into account whether the higher education institution has fulfilled its own undertakings in accordance with the individual study plan. The decision must be justified and delivered in writing. Resources may not be withdrawn for any period in which the third-cycle student has been appointed to a doctoral studentship.

The faculty board, or other function at the faculty level to which the task has been delegated, can propose the withdrawal of resources by reporting the matter to the Vice-Chancellor. The matter is to be processed and investigated at the faculty level. The Research

Programmes Board may draw up university-wide guidelines to facilitate the processing and preparations of the matter.

Pursuant to the Higher Education Ordinance, the decision to withdraw supervision and other resources for third-cycle education is to be taken by the Vice-Chancellor. Before a decision is made, a review group composed of three teaching staff representatives and one student representative, appointed by the university-wide Research Programmes Board, is to review the faculty's processing and investigation of the matter.

The review group is to recommend the Vice-Chancellor to grant or reject the faculty's request. If necessary, the faculty may consult an external expert for an assessment. The provisions concerning conflict of interest must be observed.

#### **8.4 Request to recover the right to supervision and other resources**

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

Pursuant to the Higher Education Ordinance, the decision to grant a doctoral student's request to recover the right to supervision and other resources for third-cycle education is to be taken by the Vice-Chancellor.

The Vice-Chancellor shall reject the doctoral student's request if he or she is clearly unlikely to fulfil his or her undertakings in the individual study plan. Otherwise, the matter is to be processed and investigated at faculty level.

The faculty is to present the matter to the Vice-Chancellor. The faculty is to submit a proposal for a Vice-Chancellor's decision, together with supporting documentation including an account of the faculty's position as to whether or not it expects that the doctoral student will fulfil his or her remaining undertakings.

## 9. Departmental duties

Students on doctoral studentships are expected to devote most of their time to their own studies. Those appointed to doctoral studentships may, however, work to a limited extent with educational tasks, research, artistic development and administration. Before a PhD 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 (Ch. 5 Section 2 HEO).

The doctoral student's wishes regarding departmental duties shall be met as far as is possible.

## 10. Training in teaching and learning in higher education

All doctoral students shall be offered training in teaching and learning in higher education of at least two weeks.

Doctoral students who teach in the first or second cycle shall have completed introductory training of at least two weeks or acquired equivalent knowledge in another way.

The faculty board shall decide whether training in higher education teaching and learning shall take the form of an examined component of the programme or form part of the doctoral student's departmental duties.

## 11. Credit transfer

Transfer of credits from completed studies or previous professional activities is regulated in the HEO, Ch. 6 Sections 6 & 7.

A doctoral student who has completed certain higher education or professional activities can gain credit for this in his or her third-cycle programme, if the faculty judges that the previous studies or professional experience can be approved for credit transfer.

The faculty board decides on credit transfer from previous studies or professional activities in the third cycle. The power to make such decisions may not be delegated to the doctoral student's supervisor.

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

The possibility to transfer credits from first- or second-cycle education must not be a requirement for admission to third-cycle education.

Neither may the possibility to transfer credit be considered as a merit in the selection of candidates for third-cycle education. Credits cannot be transferred from previous education, professional activities or other knowledge that constitutes an admission requirement.

Credit transfer means that the programme length and doctoral studentship are shortened accordingly.

Credit transfer shall be documented in the next follow-up and revision of the individual study plan.

## 12. Public defence and grading of doctoral thesis

The doctoral thesis shall be presented and defended orally in public. A faculty examiner (*opponent*) shall be appointed for this presentation (Ch. 6 Section 33 paragraph 2 HEO).

### **12.1 Public defence**

The faculty board shall decide the time and place for the public defence. It shall take place within the university semester, unless there are valid reasons to the contrary.

The public defence of the thesis shall be announced at least three weeks in advance. At the time of the announcement, the doctoral thesis shall be available at the University so as to enable review of the thesis at the public defence. The faculty board shall decide on the minimum number of copies required and on reimbursement of costs for the production of the copies.

The faculty examiner shall hold a PhD or equivalent and must not be employed at the faculty concerned, unless there are valid reasons to the contrary. The public defence shall be presided over by a chair. The chair and faculty examiner shall be appointed by the faculty board.

### **12.2 Grading of doctoral thesis**

The doctoral thesis shall be graded by an examining committee appointed by the faculty board for the specific thesis. In accordance with Chapter 6 Section 34 of the HEO, at least one of those participating in the grading of a doctoral thesis, i.e. sitting on the examining committee, shall be someone who does not hold a post at Lund University.

The faculty board shall decide whether the examining committee is to have three or five members. A person who has acted as supervisor to the doctoral student may not sit on the committee. The faculty examiner and the supervisors have the right to attend meetings of the examining committee and take part in discussions but not decisions. The faculty board may lay down specific requirements for the members of the examining committee.

The examining committee is quorate when all members are present. Decisions shall be made by simple majority. Individual members have

the right to have a dissenting opinion noted, pursuant to Section 19 of the Administrative Procedure Act.

The doctoral thesis shall 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 is failed, reasons shall be given in writing.

### **13. Defence and grading of licentiate thesis**

For a licentiate degree, the doctoral student shall have passed a thesis of at least 60 higher education credits (Appendix 2 Qualification Ordinance HEO).

#### **13.1 Defence of licentiate thesis**

The thesis shall be defended orally at a public seminar (licentiate seminar).

The faculty board shall decide the time and place for the licentiate seminar. It shall take place during the university semester unless there are valid reasons to the contrary.

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

A faculty examiner (*opponent*) shall be appointed for the seminar. The faculty examiner shall hold a PhD or equivalent and must not be employed at the faculty concerned, unless there are valid reasons to the contrary. The licentiate seminar shall be presided over by a chair. The chair and faculty examiner shall be appointed by the faculty board.

### **13.2 Grading of licentiate thesis**

The licentiate thesis shall be graded by an examining committee in accordance with the regulations for a doctoral thesis, or by an examiner. The faculty board shall decide which alternative is to be used at the faculty.

In cases where the grade is set by an examiner, the examiner shall be appointed by the faculty board for the specific thesis. A person who has acted as supervisor to the doctoral student may not take on the role of examiner.

The licentiate thesis shall 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 is failed, reasons shall be given in writing.

## **14. Degree**

The Higher Education Ordinance stipulates that a student who fulfils the requirements for the award of a qualification shall be provided with a certificate on request (Ch. 6 Section 9 HEO). A degree shall have a title indicating the name of the degree and preceded or followed, where relevant, by a designation indicating the discipline.

### **14.1 Degree certificate**

Degree certificates for third-cycle qualifications are issued by the faculty board that is in charge of the subject in which the third-cycle programme is offered. A decision to award a degree may only be delegated to a dean, pro-dean or vice-dean.

The degree certificate shall comprise a certificate indicating the student's name, degree obtained and subject, and a separate page (or pages) containing details of the thesis, the decision of the examining committee, a list of courses and other examined components included in the degree, and any additional information.



Guidelines for the layout and contents of the degree certificate are decided by the Vice-Chancellor. When designing degree certificates, the University's graphic profile is to be followed.

A degree certificate shall be issued within two months of the doctoral student submitting a request.

#### **14.2. Title of qualification**

The following titles may be used for doctoral degrees:

- Doktorsexamen i medicinsk vetenskap - Degree of Doctor of Philosophy in Medical Science
- Ekonomie doktorsexamen – Degree of Doctor of Philosophy
- Filosofie doktorsexamen – Degree of Doctor of Philosophy
- Juris doktorsexamen - Degree of Doctor of Laws
- Teknologie doktorsexamen - Degree of Doctor of Philosophy in Engineering
- Teologie doktorsexamen - Degree of Doctor of Theology
- Konstnärlig doktorsexamen i fri konst - Degree of Doctor of Philosophy in Visual Arts
- Konstnärlig doktorsexamen i musik - Degree of Doctor of Philosophy in Music
- Konstnärlig doktorsexamen i teater - Degree of Doctor of Philosophy in Theatre

The following titles may be used for licentiate degrees:

- Ekonomie licentiatexamen – Degree of Licentiate of Philosophy
- Filosofie licentiatexamen – Degree of Licentiate of Philosophy
- Juris licentiatexamen - Degree of Licentiate of Laws
- Licentiatexamen i medicinsk vetenskap - Degree of Licentiate of Medical Science
- Teknologie licentiatexamen - Degree of Licentiate in Engineering
- Teologie licentiatexamen - Degree of Licentiate of Theology

- Konstnärlig licentiatexamen - Degree of Licentiate of Philosophy in Fine and Performing Arts

### **14.3 Diploma Supplement**

Under the Higher Education Ordinance, a degree certificate shall be accompanied by a diploma supplement that describes the study programme and its place in the educational system (Ch. 6 Section 10a, first point).

The faculty board decides on the text of the diploma supplement for the subjects for which it is responsible.

## **15. Joint degree**

Under 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 (Ch. 1 Section 17 HEA).

The Higher Education Ordinance stipulates that a higher education institution may take part in educational cooperation pursuant to the second paragraph of Section 17 of Chapter 1 of the Higher Education Act only if this cooperation is based on a written agreement (Ch. 6 Section 11a). An agreement of this kind shall be entered into by the faculty board. 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.

An agreement on a joint degree may only be entered into if there is a general syllabus for the subject, pursuant to Ch. 6 Section 26 HEO.

The Higher Education Ordinance stipulates that the agreement shall indicate clearly:

1. which component of the programme the higher education institution shall organise

2. which component of the programme another higher education institution shall organise
3. to which higher education institution or institutions organising components of the programme an applicant to the programme is to be admitted
4. that the higher education institution may admit applicants only to the component of the programme arranged by the higher education institution
5. when a student who has been admitted to a component of the programme by another higher education institution shall be considered to be a student
6. that students shall be able to transfer credits for a successfully completed component of a programme at another higher education institution to the programme at the higher education institution without special assessment
7. what qualification the programme can lead to at each of the higher education institutions, and
8. other conditions required for the organisation of the programme (Ch. 6 Section 11b, second paragraph).

When the University enters into such an agreement on a joint degree, the following shall also be indicated in the agreement:

9. joint learning outcomes for the degree
10. the design and issuing of the degree certificate
11. procedures for defence of the thesis
12. the type and level of funding applied by the institutions awarding the degree for the student
13. appropriate insurance cover for the student throughout the programme
14. the name of supervisors at each institution awarding the degree
15. the division of responsibilities between the supervisors at the examining institutions
16. what periods the doctoral student plans to spend at each institution

## 16. Entry into force and transitional provisions

These regulations enter into force on 15 March 2018 and replace the previous Vice-Chancellor's decision *Regulations for third-cycle education at Lund University* taken on 13 June 2013 (LS 2012/718).

Matters initiated before 15 March 2018 concerning withdrawal of resources for doctoral students, pursuant to 8.3 above, shall be processed in accordance with the present decision.