

Regulations for third-cycle education and summative assessment

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This document contains the national and local regulations governing third-cycle education and summative assessment at the University. This is a translated version of the Swedish document. Should there be any discrepancies between the Swedish version of the document and the English translation, the Swedish version will take precedence.

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Introduction

Stockholm University conducts education at first-, second- and third-cycle level. This document sets out the regulations and rules that apply **nationally** to third-cycle education. The document also establishes the university-wide **local rules** that apply to third-cycle education and summative assessment at Stockholm University.

The fundamental (national) regulations are contained in the Higher Education Act (1992:1434) and the Higher Education Ordinance (1993:100). Other laws and regulations referred to in this document include the Language Act (2009:600), the Work Environment Act (1977:1160), the Ordinance on the Expulsion of Students from Higher Education (2007:989), the Discrimination Act (2008:567) and the Administrative Procedure Act (2017:900). The decisions rendered by the Swedish Higher Education Authority (formerly the Swedish National Agency for Higher Education) and the Higher Education Appeals Board, e.g., in response to student complaints, as well as the recommendations drafted by the Swedish Higher Education Authority or the Swedish National Agency for Higher Education in connection with inspection visits are also considered to constitute national rules.

The regulations of this document complement the national regulations and also follow the recommendations of the Association of Swedish Higher Education Institutions (SUHF). The document also refers to several University Board and Presidential decisions that can be found in Governing Documents at Stockholm University – Rules & Regulations, which is available on the staff intranet: admission regulations for third-cycle education, local degree regulations, rules for retirement and employment after retirement, rules and procedure for credit transfer, rules and procedure for disciplinary matters, rules of employment for the recruitment and Promotion of Teachers (AOSU), guidelines for scholarships at Stockholm University, rules for student influence, language policy, anti-harassment policy pursuant to the Discrimination Act, rules for study and career guidance, procedure for handling student complaints regarding education, procedures for withdrawing a doctoral student's right to supervision and other resources, procedures for dealing with suspected research misconduct, rules and procedures for establishing and discontinuing courses and study programmes, rules for auditing courses and study programmes, procedures for concluding cotutelle agreements at Stockholm University and procedures for preparing decisions on educational cooperation (or research cooperation that includes education) leading to a joint, double or multiple degree. In addition, reference is made to the Studying with a disability page and the resource page of the Centre for the Advancement of University Teaching on the University's website, as well as the Legal Secretariat's case-management handbook.

Individuals studying in a third-cycle programme are referred to as doctoral students, but several of the **general** provisions on education in the Higher Education Act and the Higher Education Ordinance use the term 'student'. These provisions apply to doctoral students as well, except where their application is explicitly restricted to first- and second-cycle

education. The term doctoral student also includes third-cycle students admitted to a licentiate degree programme.

Third-cycle education can lead to two degrees of different scope: a licentiate degree (of at least 120 credits) and a doctoral degree (of 240 credits). The outcomes for these degrees can be found in Annex 2 of the Higher Education Ordinance (System of Qualifications). Both degrees require a programme consisting of a combination of course work and thesis work. The Degree of Licentiate concludes with an approved licentiate thesis of at least 60 credits. The Degree of Doctor concludes with an approved scientific dissertation (a doctoral dissertation) of at least 120 credits. The doctoral dissertation must be defended orally at a public defence. Stockholm University is not authorised to award the Degree of Doctor in fine arts, applied arts or performing arts.

Overall division of responsibilities

Ultimate responsibility for third-cycle education rests with the University Board, which decides on the admissions regulations, and with the President, who can decide to withdraw resources (Chapter 2, Sections 2 and 3 of the Higher Education Act; Chapter 2, Sections 2 and 3 and Chapter 6, Sections 3, 30, 31 and 36 of the Higher Education Ordinance).¹ In other respects, the President has delegated all decisions about third-cycle education to the respective area committees, which means that each area committee is responsible for education in its area, unless otherwise specified (see also *Besluts- och delegationsordning* in the Governing Documents at Stockholm University – Rules & Regulations). The area committees thus have overall responsibility for the quality, effectiveness, organisation, syllabi and supervision of education, as well as course coordination and supervisor training. The area committees are also responsible for the general supervision of third-cycle courses and study programmes.

In addition to the regulations of this document, which are approved by the President, the area committees can decide on additional rules for education and summative assessment that apply to the activities in their area. Doctoral students wishing to report deviations from these rules are primarily referred to the head of the department to which they were admitted but can also contact the student/doctoral student representatives at Stockholm University Student Union.²

¹ See Procedure for the withdrawal of a doctoral student's right to supervision and other resources in Governing Documents at Stockholm University – Rules & Regulations.

² See "Procedure for handling complaints from students regarding education" in Governing Documents at Stockholm University – Rules & Regulations.

1 General

1.1 Educational environment

Third-cycle education is more individualised than first- and second-cycle education. The rules for education and summative assessment are designed to ensure a focus on education, regardless of whether the doctoral student is employed or has other funding. Questions regarding working environment which are not addressed by this document are referred to the Human Resources Office or Student Services, depending on whether the doctoral student is employed or not.

National regulations

Chapter 3, Section 16 of the Discrimination Act states that an education provider that conducts education or other activities, including under the Higher Education Act, shall use active measures to promote equal rights and opportunities for the students who participate in or apply for the activities, regardless of gender, transgender identity or expression, ethnicity, religion or other beliefs, disability, sexual orientation or age.

Higher education institutions must be responsible for providing students with access to healthcare, particularly preventive healthcare that aims to support students' physical and mental health. Higher education institutions must also be responsible for other student welfare activities that support students in their studies or help them transition to the labour market, as well as otherwise providing students with a good environment in which to study. (Chapter 1, Section 11 of the Higher Education Ordinance)

Students must be provided with study and career guidance. Higher education institutions must ensure that anyone intending to begin a course or study programme can access the necessary information. (Chapter 6, Section 3 of the Higher Education Ordinance)

Local regulations

All doctoral students at Stockholm University shall have equal rights and opportunities (see "Work environment and equal opportunity policy" in Governing Documents at Stockholm University – Rules & Regulations). Doctoral students with permanent disabilities can receive targeted study support during teaching and summative assessment (see also the page Studying with a disability on the University website and the section Examiners below).

Study and career counselling resources at Stockholm University must be available to everyone starting, pursuing or recently completing studies at all levels of education. To this end, each department or equivalent must adopt instructions for student and career counsellors. The University offers general as well as department-specific study and career guidance. Other information is offered both in general and at departmental level.

Responsibility for study and career guidance rests with the Student Services and heads of department or equivalent. Student services also has a coordinating role, for example in terms of further qualifications for departmental counsellors. (See also *Regler för studie- och karriärvägledning* in Governing Documents at Stockholm University – Rules & Regulations)

Doctoral students are entitled to occupational health care, regardless of their funding status.

1.1.1 Quality enhancement activities and student influence

Third-cycle education is governed partly by specific provisions of the Higher Education Act and the Higher Education Ordinance, and partly by the general sections that apply to education at all levels. These include, among other things, general statements regarding quality enhancement activities, student influence and course evaluation.

National regulations

The operations of higher education institutions shall be arranged to ensure that high standards are attained in courses and study programmes and in research. The resources available shall be used effectively to sustain a high standard of operation. Quality assurance procedures are the shared concern of staff and students at higher education institutions. (Chapter 1, Section 4 of the Higher Education Act)

Students shall be entitled to exert influence over the courses and study programmes at higher education institutions. Higher education institutions shall endeavour to enable students to play an active role in the continued development of courses and study programmes. (Chapter 1, Section 4a of the Higher Education Act)

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 Government or the authority decided by the Government may, pursuant to Section 7 of Chapter 8 of the Instrument of Government, issue regulations on the number of such representatives and how they shall be appointed. (Chapter 2, Section 7 of the Higher Education Act)

If decisions are to be taken or enquiries conducted by one individual, a student representative must be informed and consulted in good time before the decision is made or the enquiry completed. If, under the second paragraph of Section 6 of Chapter 2 of the Higher Education Act, a decision is to be made by a group of individuals, students have the right to be represented by at least three members. However, the number of student representatives in such a group may be reduced, if there are special grounds given the total number of members. In other regards, the higher education institution decides on the students' right to representation as stipulated in the first paragraph of Chapter 2, Section 14 of the Higher Education Ordinance. (Chapter 2, Section 14, paragraph 2-4 of the Higher Education Ordinance)

The higher education institution must provide students participating in, or who have completed, a course, with the opportunity to present their opinions about the course through a course evaluation organised by the institution. The higher education institution must compile the course evaluations and provide information about the results, as well as any actions prompted by the course evaluations. The results must be made available to the students. (Chapter 1, Section 14 of the Higher Education Ordinance)

Local regulations

The Regulations for student influence (see Governing Documents at Stockholm University – Rules & Regulations) describe in greater detail how student influence at Stockholm University is organised and how responsibilities are distributed.

The head of department or equivalent is responsible for ensuring that course evaluations for all third-cycle courses offered by the department are compiled, fed back and made available in accordance with the national regulations above. See the Centre for the Advancement of University Teaching's resources page for practical guidance.

Doctoral students to represent various preparatory and decision-making bodies within the University who are employed receive compensation in the form of an extension of their employment period, otherwise with a fee (see below under Extension of study and employment period).

1.2 Intended learning outcomes

National regulations

Third-cycle courses and study programmes shall be based fundamentally on the knowledge acquired by students in first and second-cycle courses and study programmes, or its equivalent. In addition to the requirements for first and second-cycle courses and study programmes, third-cycle courses and study programmes shall develop the knowledge and skills required to be able to undertake autonomous research. (Chapter 1, Section 9a of the Higher Education Act)

The more detailed outcomes (qualification descriptors) are set out in the Higher Education Ordinance, Annex 2. System of Qualifications.

Local regulations

See below the section on Individual Study Plan.

1.3 Subjects

National regulations

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 provided. (Chapter 6, Section 25 of the Higher Education Ordinance)

Local regulations

Within their areas of responsibility, the area committees establish and cancel third-cycle subjects.

(See also *Regler och handläggningsordning för etablering och avveckling av utbildning* in the Governing Documents at Stockholm University – Rules & Regulations as well as the quality criteria for third-cycle programmes in the “Regulations for programme reviews” in the Governing Documents at Stockholm University – Rules & Regulations.)

1.4 General syllabus

National regulations

Each subject that provides third-cycle education must have a general syllabus. (Chapter 6, Section 26 of the Higher Education Ordinance)

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

Local regulations

General syllabi at Stockholm University must include the following information:

- the name of the subject in Swedish and English,
- any specialisations in the subject,
- subject description
- date of establishment and of the latest revision,
- title(s) of the degree(s) to which the programme leads,
- intended learning outcomes for the degree (national and any local ones for the subject),
- doctoral dissertation (for licentiate degrees, the licentiate thesis) scope in credits,
- total scope of other parts of the programme (courses and other credit-bearing modules, compulsory or otherwise), which, together with the thesis (including licentiate theses), must make up the total scope of the programme,
- entry requirements,
- bases of assessment for admission,

- any rules concerning credit transfer for previous studies in terms of net study time, and
- any interim regulations, e.g., in relation to older general syllabi and descriptions of possibilities for doctoral students to switch from older to current general syllabi.

Either in the general syllabus or elsewhere, it must be indicated how compulsory courses that are not graded are handled in a legally secure manner at the department.

The decision to establish general syllabi may not be delegated beyond the faculty board or dean.

A general syllabus that has been established is an official document that the decision-making body must archive.

1.4.1 Language requirements

National regulations

General syllabi must always be written in Swedish (see Section 10 of the Language Act).

Local regulations

A general syllabus at Stockholm University must be established in Swedish but should also be translated into English and, if necessary, other languages. The Swedish-language text takes precedence over any translations (see Stockholm University's Language policy in Governing Documents at Stockholm University – Rules & Regulations).

1.5 Individual study plan

National regulations

An individual study plan must be drawn up for each doctoral student. This plan must include the obligations of the doctoral student and the higher education institution and a timetable for the doctoral student's study programme. The plan must be adopted after consultation between the doctoral 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 doctoral 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. (Chapter 6, Section 29 of the Higher Education Ordinance)

Local regulations

For both the doctoral student and the higher education institution, it is important that undertakings, as well as their scope, be specified in the individual study plan. As a rule, the doctoral student must be given the opportunity to achieve all qualitative targets for the programme. The individual study plan is of great importance for the legal certainty of the

doctoral student, as it provides a basis for determining the rights and obligations of the doctoral student in his or her programme. For the higher education institution, the individual study plan is a pedagogical instrument.

Contents

The undertakings of the University and the doctoral student vary from subject to subject. However, the individual study plan must include the following:

- planned study funding (doctoral employment, other study funding to be specified if applicable),
- the names of supervisors and the division of responsibilities among them,
- planning and arrangements for supervision,
- access to the workplace and other resources,
- the progression of the doctoral student's education in relation to the qualitative targets,
- timetable of activities included in the doctoral student's education (for the coming year or for the entire programme); and
- the scope and content of any departmental duties.

Where student financing does not consist of employment as doctoral student, the funding plan must indicate the social security associated with the study funding which will apply in the event of, e.g., illness or parental leave. For doctoral students with scholarship funding, there is, e.g., a special insurance scheme (see Chapter 1, Section 11c of the Higher Education Ordinance). The forms of supervision may vary, but the University's undertaking is to ensure that the doctoral student receives continuous supervision throughout their studies.

Their progression in terms of goal attainment and the timetable are important for both the doctoral student and the supervisors in determining whether more support is needed for the doctoral student to fulfil his/her undertakings, as well as in assessment of the progress of the studies.

For subjects with certain specific elements involving additional costs, e.g., lab work or field studies, the University's commitments for these elements must be reported.

Establishment

The individual study plan must be established as soon as possible after admission and must be finalised no later than two months after the doctoral student begins his/her studies. An oral agreement can never serve as an individual study plan.

The body responsible for establishing the individual study plan is set out in the decision-making and delegation system of each area. No special protocol is required for this decision; it

suffices that the plan be approved³ by the decision-maker and that the date of the decision is indicated.

Establishment of an individual study plan normally requires consultation with the doctoral student and supervisors, but the University has ultimate responsibility for the establishment and approval of an individual study plan.⁴ This applies even if the doctoral student does not participate in the preparation of the plan or does not agree with its content. If the doctoral student or supervisor does not agree in writing, a note must be made in the study plan that consultation has taken place but that there is disagreement. The reasons for this shall also be given. If the doctoral student does not agree, it is important that the decision on the individual study plan is communicated to the doctoral student and that it is documented that the doctoral student has received the approved individual study plan.

An individual study plan (including any annexes) is an official document that the department must register and file.⁵ Annexes including sensitive content must be labelled confidential.

Follow-up

The individual study plan must be followed up at least once annually. Note that the individual study plan must also be followed up for inactive doctoral students and for active doctoral students not participating in the follow-up or rejecting proposed revisions to the individual study plan.

Follow-up is a tool for both the University and the doctoral student to ensure study progress as planned, and to make any necessary changes to the undertakings of the doctoral student or the University.

Follow-up will result in a decision to establish a revised individual study plan. The body responsible is set out in the decision-making and delegation system for each area. The doctoral student and supervisors must certify⁶ that they have received the individual study plan and any amendments. The head of department or equivalent at the doctoral student's matriculating department is responsible for follow-up and its procedures. Follow-up shall document how the doctoral student's completed or planned third-cycle education activities are linked to the qualitative targets of the Higher Education Ordinance, e.g., whether an target or part of a target has been achieved.

³ With a signature or, in the case of a digital document, digital authorisation.

⁴ See the Swedish Higher Education Authority's decision of 26/02/2014 (ref. no. 31-475-13) *Upprättande av en individuell studieplan och byte av handledare i utbildning på forskarnivå*.

⁵ See the page *Begreppet allmän handling* on the staff intranet (under Organisation & Governance).

⁶ With a signature or, in the case of a digital document, digital authorisation.

For inactive doctoral students, in the event of disagreement, or when doctoral students fail to respond to the head of department's summons to follow up the individual study plan or rejects the follow-up proposal, the head of department shall, in addition to documenting this and establishing the study plan, also investigate what has occurred. This investigation shall result in a brief written explanation of why the doctoral student is inactive, unresponsive or rejects the study plan, and shall be attached to the individual study plan.

1.6 Course syllabus and documentation

For the compulsory courses in the programme, there must be third-cycle syllabi. A third-cycle course syllabus must include at least the title (in Swedish and English) and number of credits, intended learning outcomes and other necessary information⁷ that the doctoral student needs to complete the course.

Other credit-bearing activities within the course component must be documented by the doctoral student's department as for course syllabi, in such a way as the department finds appropriate. This means that the following documentation must be included:

- necessary information for the Ladok student registry,
- intended learning outcomes,
- any other information necessary for the doctoral student to complete the activity.

A note regarding how the activity contributes to the qualitative targets should also be included.

Doctoral students who take courses at Stockholm University as part of their third-cycle education shall, regardless of the level of the course, be registered for third-cycle education. For third-cycle courses, the doctoral student is registered in the usual way. For courses at other levels, the doctoral student must still be registered at third-cycle level according to the instructions in the student registry⁸. For such studies to correspond to third-cycle studies, the course may need to be adapted, e.g., through other or supplementary literature, summative assessment, or adjustment of the number of credits. Such adaptations shall be documented in accordance with the third point above.

⁷ E.g., content, type of instruction, mode of assessment.

⁸ In the Ladok student registry, this means registration of individual undertakings at third-cycle level.

2 Education and summative assessment

2.1 Programme entry and student finance

National regulations

The number of doctoral 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 Section 36. (Chapter 7, Section 34 of the Higher Education Ordinance)

A higher education institution may admit an applicant to third-cycle courses and study programmes who is appointed to a doctoral studentship. The higher education institution may also admit an applicant who has some other form of funding for their studies if it assesses that funding can be guaranteed during the entire period of study, and the applicant can devote enough time to their studies to enable their completion within four years in the case of a licentiate degree or a licentiate degree in the fine, applied and performing arts or eight years in the case of a doctorate or a doctorate in the fine, applied and performing arts. (Chapter 7, Section 36 of the Higher Education Ordinance)

A doctoral studentship must be a full-time position. If a doctoral student requests it, the position may be part-time but at no less than 50 per cent of a full-time position. (Chapter 5, Section 3a of the Higher Education Ordinance)

On application, a doctoral student whose financing is grant-based must be appointed to a doctoral studentship no later than the date when, according to the individual study plan, the remaining period of study corresponds to three years of full-time study before the award of a doctorate or a doctorate in the fine, applied and performing arts. This does not apply, however, if the President has decided on the withdrawal of the student's resources under Section 30 of Chapter 6 of this Ordinance. (Chapter 5, Section 4 of the Higher Education Ordinance)

A doctoral student whose financing is grant-based does not need to be appointed in accordance with Section 4 if the grant is awarded as part of ^[1]_[SEP]

1. an aid and capacity building programme in which grants are an accepted form of funding with reasonable terms and conditions and the admitting higher education institution has insight into these terms and conditions and how the grant is paid, or ^[1]_[SEP]
2. a programme funded by the European Union or other partnerships, in which grants with reasonable terms and conditions comprise an accepted form of funding and where requirements for funding through employment are a barrier to the admitting

higher education institution's participation. (Chapter 5, Section 4a of the Higher Education Ordinance)

Appointment to a doctoral studentship must be decided by the President. (Chapter 5, Section 6 of the Higher Education Ordinance)

Employment on a doctoral studentship must be until further notice, but no longer than a given date and never longer than one year after the award of a doctorate or doctorate in the 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 licentiate degree or a licentiate degree 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 doctoral 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. (Chapter 5, Section 7 of the Higher Education Ordinance)

Local regulations

The admission regulations for third-cycle study programmes (the "Admission Regulations") state the local rules approved by the University Board that apply to admission to third-cycle study programmes at Stockholm University.

Access

The "Admission Regulations" state that admission decisions for doctoral students with other student finance other than employment as doctoral student may not be sub-delegated from the area committee to the faculty board level.

This applies to the following student finance situations:

- employment as a doctoral student at a higher education institution other than Stockholm University,
- scholarship,
- employment other than as a doctoral student at Stockholm University or another higher education institution (e.g., lecturer),
- employment with another employer (related to the third-cycle programme and with time for third-cycle studies), and
- the student's own funding.

When the student finance is a scholarship, the award decision, agreement or equivalent must be attached as documentation for the admission decision. When the student finance is employment with an employer other than Stockholm University (e.g., in the case of contractually regulated collaborations with other higher education institutions that do not have degree-awarding powers for third-cycle education or employers permitting employees to pursue third-cycle education within the framework of their employment), an agreement or arrangement must be drawn up and appended as documentation for an admission decision (see below under Collaboration agreements with other higher education institutions).

Admission of doctoral students with scholarship funding is not permitted in cases where the funding plan requires repayment if the doctoral student fails to fulfil the qualitative targets and thus cannot obtain his/her degree.

For other rules concerning admission to third-cycle programmes, see the “Admission regulations for third-cycle study programmes” (in Governing Documents at Stockholm University – Rules & Regulations).

Funding responsibility and employment

The President has delegated the decision to employ doctoral students to the area committees, which in turn have delegated this further. The doctoral student's matriculating department or equivalent is responsible for funding the doctoral student throughout the entire period of study.

The head of department may approve a different scope of employment at the request of the doctoral student, but not less than 50 per cent of full-time.

The department is responsible for registering in the Ladok student registry at the beginning of each semester that the doctoral student intends to continue his/her third-cycle education during the coming semester.

All doctoral students, regardless of student finance, must submit activity and livelihood information to the department every six months for internal follow-up and for further reporting to Statistics Sweden (SCB). The form "*Studieaktivitet och finansiering forskarstudierande*" (at su.se) is to be used. If the degree of activity as reported does not correspond to the planned degree of activity according to the individual study plan, the doctoral student must attach documentation to support the reasons for the reduced degree of activity. Please note that the individual study plan must be revised if the reporting of study activity and funding differs from the planning in the individual study plan.

2.1. 1 Departmental duties

National regulations

A person appointed to doctoral studentship must primarily dedicate time to their own studies. However, an employee may work to a limited extent with education, 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. (Chapter 5, Section 2 of the Higher Education Ordinance)

Local regulations

The scope and content of any departmental duties must be stated in the individual study plan and may amount to a maximum of 20 per cent of full-time over the study period. Departmental duties result in a corresponding extension of the period of employment. The primary purpose of departmental duties is the continuing professional development of doctoral students. Doctoral students should be offered the opportunity to participate in teaching.

A doctoral student, regardless of the type of funding, may not be an examiner. In other words, a doctoral student may not award grades, but may participate in the preparation of decisions on grades.⁹

All doctoral students must be offered training in higher education pedagogy. Doctoral students teaching courses and study programmes at first- or second-cycle level must have completed or, during the same semester, commenced introductory higher education pedagogical training or otherwise acquired equivalent knowledge.

2.2 Supervision and other resources

National regulations

The number of doctoral 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 Section 36. (Chapter 7, Section 34 of the Higher Education Ordinance)

At least two supervisors must be appointed for each doctoral student. One of them must be appointed principal supervisor. The doctoral student is entitled to supervision during their studies unless the President has decided otherwise with the support of Chapter 6, Section 30

⁹ Doctoral students who complete their third-cycle education within the framework of a lecturer position at Stockholm University are an exception to this rule.

of the Higher Education Ordinance. Upon request, a doctoral student must be allowed to change supervisor. (Chapter 6, Section 28 of the Higher Education Ordinance)

Local regulations

No later than one month after the start of the programme, the departmental board or head or equivalent in the doctoral student's admitting department shall appoint the supervisors by delegation from the area committee. Any change of supervisor is also handled by the department or equivalent that admitted the doctoral student.

At least one of the supervisors must be employed by Stockholm University.

Re-employed teachers and researchers shall not be appointed as principal supervisors for newly admitted doctoral students.¹⁰

At least one of the supervisors for a doctoral student must have completed supervisor training or be assessed by the area committee as having equivalent competence. Similarly, at least one of the supervisors must have a reader qualification or equivalent. The University will organise training for supervisors.

Note that supervisor and examiner are two distinct roles, with different responsibilities for the doctoral student's education (see also the sections Individual study plan and Examiner). Decisions directed at individual doctoral students, such as credit transfers and decisions regarding which courses may be included in the programme, must be made by a person employed at Stockholm University.

A change of supervisor may occur at the request of the doctoral student or for other reasons. This matter must be handled promptly, the change of supervisor must be documented, and the correct information must be entered in the study documentation system (the Ladok student registry). Note that such changes entail a revision of the individual study plan. The department or equivalent must have written procedures for changing supervisors.

All doctoral students, regardless of study funding, are entitled to supervision and acceptable study conditions in accordance with the Higher Education Ordinance (see Programme entry and student finance above). This includes access to an office, computer, office supplies, e-mail account, SUKAT account, library resources and resources for expenses.

¹⁰ See "Rules for retirement and employment after retirement" in the Governing Documents at Stockholm University – Rules & Regulations.

The head of the department or equivalent admitting the doctoral student is responsible for ensuring that the doctoral student has access to supervision and other acceptable study conditions, as well as to other resources required for the doctoral student to be able to achieve the qualitative targets and otherwise complete their education. This responsibility includes providing information to the doctoral student regarding the programme, the department's research and seminar activities and the academic environment in which the doctoral student will be located during the programme. The head of department is also responsible for ensuring that doctoral students receive an introduction to the University as a workplace and public authority and the role of a civil servant.

2.3 Tests and summative assessment

This section includes a number of national and local regulations relating to grading systems, the role of examiners, summative assessment and grading matters.

2.3.1 Examiners

National regulations

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). (Chapter 6, Section 32 of the Higher Education Ordinance)

A student who has taken two examinations on a course or a part of a course without obtaining a pass grade is entitled to have another examiner appointed, unless there are special reasons to the contrary. (Chapter 6, Section 22 of the Higher Education Ordinance)

In its activities the Authority shall be objective and impartial. (Section 5 second paragraph of the Administrative Procedure Act)¹¹

A person who is disqualified must not take part in the processing of the matter and must not be present when the matter is determined either. (Section 17 first paragraph of the Administrative Procedure Act)

Local regulations

Stockholm University uses a binary grading scale for third-cycle education: pass or fail.

¹¹ See also the rules on disqualification in Sections 16-18 of the Administrative Procedure Act and the internal regulations on conflict of interest in the Governing Documents at Stockholm University – Rules & Regulations.

An examiner in third-cycle education must be employed as a **teacher** at Stockholm University and, as a rule, must have a doctoral degree.¹² A person employed as a researcher cannot be an examiner.

A supervisor shall not be the examiner for the doctoral student's tests during the programme. If the doctoral student participates in a course where the examiner is one of the doctoral student's supervisors, the grade for the doctoral student's test shall be awarded by another examiner. If the examiner is the only available teacher with subject expertise, consideration should be given to bringing in an external examiner with subject expertise. If there is no other examiner with subject expertise and the supervisor therefore awards the grade for his/her own doctoral student, the decision of the departmental board or head must be documented with rationale.

The examiner must have a good knowledge of the subject matter being tested, as well as knowledge of what it means to make decisions for individuals as an employee of a government agency.

The examiner may also decide on alternative modes of assessment or pace of study in order to give a doctoral student with a permanent disability an **equivalent** assessment option, in the sense that the summative assessment verifies that the intended learning outcomes are achieved, compared to a doctoral student without a disability.

The President has delegated the decision to appoint examiners to the area committees. This decision may not be sub-delegated beyond the departmental board or head.

2.3.2 Grading matters

National regulations

Pursuant to Section 10 of the Administrative Procedure Act, a doctoral student has the right to be given access to any material appended to a grading matter, such as corrected tests and written comments from supervisors.

¹² Teaching positions at Stockholm University are, according to the appointments procedure: associate senior lecturer, senior lecturer, professor, lecturer, adjunct professor, visiting professor, adjunct teacher, visiting lecturer and part-time fixed-term lecturer.

According to Section 14 of the Administrative Procedure Act, a party to a matter may appoint a representative or counsel. However, any representative must appear in person if the authority so requests.¹³

It follows from Section 9 of the Administrative Procedure Act that grading matters must be handled as simply, quickly and cost-effectively as possible without compromising legal certainty.

Local regulations

If it can be demonstrated that the University is responsible for the loss of a doctoral student's written summative assessment, or for the fact that a doctoral student was given incorrect information about the date or time of the summative assessment, the doctoral student shall be given the opportunity for a new assessment as soon as possible, preferably within one week of the discovery. The examiner may not award a doctoral student a passing grade solely because the doctoral student's examination assignment has been lost.

2.3.3 Transfer of credit

National regulations

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. (Chapter 6, Section 6, first paragraph of the Higher Education Ordinance)

The same applies for students who have successfully completed a course or study programme at a university or higher education institution in Denmark, Finland, Iceland or Norway, 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, at a university or other higher education institution of a signatory to the UNESCO's Global Convention on the Recognition of Qualifications concerning Higher Education from 25 November 2019, or at Nordiska högskolan för folkhälsovetenskap (NHV — The Nordic School of Public Health). (Chapter 6, Section 6, second paragraph of the Higher Education Ordinance)

¹³ A doctoral student may wish to hire a representative or counsel in a grading matter, for example to argue that the examiner should be disqualified or to request another form of summative assessment due to disability. The doctoral student is also entitled to bring a representative, e.g., in the event of a change of supervisor or withdrawal of resources.

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. (Chapter 6, Section 7 of the Higher Education Ordinance)

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. (Chapter 6, Section 8 of the Higher Education Ordinance)

Local regulations

Decisions on credit transfer are made in accordance with the current decision and delegation system and the “Regulations and procedure for credit transfer” in the Governing Documents at Stockholm University – Rules & Regulations.

Assessment of credit transfer takes place in each individual case in relation to what is stated in the general syllabus and in relation to the qualitative targets. Transfer of credit for previous studies should be made in connection with the start of the third-cycle programme. Transfer of credit for previous studies in connection with the start of a third-cycle programme shall entail deduction from net study time, which shall be stated in the general syllabus.

The form "Application for credit transfer for a course, for education at the third-cycle level" can be used when doctoral students apply for credit transfer.

2.3.4 Documentation of grading decisions and dissertation minutes

National regulations

Section 21 of the Government Agency Ordinance states that each grading decision must state the date of the decision, the content of the decision and who made the decision. In cases where someone has acted as the person reporting or has participated in the finalisation of the procedure without taking part in the decision, this must also be indicated.

Local regulations

When a doctoral student receives a passing grade on the summative assessment for a course, this is documented in Ladok, with information about the examiner and any teacher who participated in the assessment. Public defence of doctoral dissertation is documented in special minutes, and the decision to award the dissertation a passing grade is entered in the Ladok student registry.

At Stockholm University, grading matters need not be presented before a decision is made.

Grading decisions must be archived as an electronic document (in the Ladok student registry).

2.3.5 Correction, amendment and review of a decision

National regulations

It follows from Chapter 12, Sections 2 and 4 of the Higher Education Ordinance that grades cannot be appealed.¹⁴ However, a doctoral student has the possibility to request correction or review. It is not permitted to set a deadline for when such a request must be received, even if the summative assessment has been signed and delivered.

Correction

A grading decision that was manifestly incorrect due to typing errors, calculation errors or a similar oversight, may be corrected either to the advantage or to the detriment of the doctoral student. Corrections that are to the detriment of the doctoral student must be made with great care and only when the case for the correction is clear. Before the correction takes place, the student must normally be given the opportunity to comment. Such a correction must be made by an examiner (Chapter 6, Section 23 of the Higher Education Ordinance and Section 36 of the Administrative Procedure Act).¹⁵

Amendment

An authority may change a decision it has issued as the first instance if the authority considers that the decision is incorrect because of new circumstances or for some other reason

However, a decision that is inherently favourable to an individual party may only be changed to the detriment of that individual if

1. the decision or the provisions on which has been based state that the decision may be revoked under certain conditions;
2. compelling security reasons require the immediate variation of the decision; or
3. the incorrect decision was due to the party giving incorrect or misleading information. (Section 37 of the Administrative Procedure Act).

Review

If an examiner finds that a grading decision is obviously incorrect due to changed circumstances or for some other reason, they must change the decision if this can be done

¹⁴ However, see the Discrimination Act, Chapter 4, Section 18, paragraph 1 2-3 et seq. Regarding the possibility of appealing grades in accordance with the Discrimination Act, contact the Coordinator for Equal Treatment at Student Services.

¹⁵ See, e.g., JO 2000/2001 p. 434 on the revocation of published course credits.

quickly and easily and does not mean lowering the grade. (Chapter 6, Section 24 of the Higher Education Ordinance)

Local regulations

The examiner may amend a passing grade to a failing one with the support of Section 37 of the Administrative Procedure Act if the President or the Disciplinary Committee has determined that the doctoral student has committed deception in connection with the summative assessment of which the examiner, at the time of awarding the grade, was unaware (see also Guidelines for Disciplinary Matters at Stockholm University - Rules & Regulations).

Great care should be taken when amending grades. The University's lawyers at the Office of the President's Legal Secretariat must always be contacted with regard to matters concerning the correction of grades to the detriment of the doctoral student or the amendment of grades on the basis of Section 37 of the Administrative Procedure Act.

2.4 Licentiate theses and doctoral dissertations

2.4.1 Good research practice

National regulations

The operations of higher education institutions shall be organised to ensure that there are close links between research, and courses and study programmes. (Chapter 1, Section 3 of the Higher Education Act)

In the course of their operations, higher education institutions shall uphold academic credibility and good research practice. (Chapter 1, Section 3a of the Higher Education Act)

Local regulations

To avoid accusations of plagiarism, including self-plagiarism, doctoral students who cite other people's research or who reuse their own previously published material must clearly refer to the cited material.¹⁶

If, in her/his dissertation the doctoral student reproduces material and formulations from her/his own previous publications and essays, this must be marked with a reference and, where appropriate, quotation marks. This applies to both monographs and compilation theses (the introductory chapter and included publications). Material from the doctoral student's own licentiate thesis may be used in her/his doctoral dissertation if a clear reference is made to the

¹⁶ If this does not occur, the doctoral student may be subject to disciplinary action. See under Disciplinary measures below.

previous work. A degree project written within the framework of studies at a lower level may be cited but cannot be reused for the summative assessment of third-cycle education.

The introductory chapter of a compilation thesis must be written by the doctoral student her/himself. Included published articles may not be altered in the dissertation (an error list, known as an errata, can be appended). The introductory chapter must include any additions, problematisations and an overall discussion of conclusions.

See also the page Ethics in research under Advice & support on the staff intranet.

2.4.2 Summative assessment of a licentiate thesis

National regulations

For a Degree of Licentiate, the doctoral student shall have been awarded a pass grade for a research thesis of at least 60 credits. (Higher Education Ordinance Annex 2 - System of Qualifications)

Local regulations

Licentiate theses are assessed with a grade of “Pass” or “Fail”.

Summative assessment occurs in connection with a publicly announced licentiate seminar which normally takes place during the period 15 August - 15 June, but exceptions may be granted if there are special reasons. The licentiate seminar must be announced well in advance of the date on which it is scheduled to occur. The thesis must be made available at the department well before the seminar.

Licentiate theses written in Swedish must have a summary in English and vice versa. If the thesis is written in some other language, summaries in both Swedish and English must be provided.

At a licentiate seminar, an external reviewer and an examiner must be appointed, the latter to grade the thesis and chair the assessment panel, if used. Conflicts of interest must always be considered when selecting the opponent and chairperson and, where appropriate, members of the assessment panel. None of these may be supervisors of the doctoral student. At minimum, the examiner must possess a doctoral degree. The external reviewer and one of the doctoral student’s supervisors have the right to be present at any meeting with the examiner, and where applicable the assessment panel, and to participate in the initial deliberations but not in deliberations preceding the decision.

2.4.3 Defence and grading of doctoral dissertations

National regulations

For the Degree of Doctor, the doctoral student shall have been awarded a pass grade for a research dissertation (doctoral dissertation) of at least 120 credits. (Higher Education Ordinance Annex 2 - System of Qualifications)

The doctoral thesis must have been orally defended at a public defence. An external reviewer must be appointed for the public defence. (Chapter 6, Section 33 of the Higher Education Ordinance)

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. (Chapter 6, Section 34 of the Higher Education Ordinance)

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

Local regulations

Review prior to defence of the dissertation, grading, summary of content

The doctoral dissertation must have been reviewed prior to its defence. The subject areas must have written procedures for the review process and for how to handle a possible dissuasion from defending a dissertation, or a recommendation to postpone a defence. The procedures must state which function or which body has the right to decide whether the doctoral student should be advised to move forward with her/his defence or dissuaded from doing so. The doctoral student has the right to defend her/his dissertation despite the dissuasion, but in that case, in accordance with the area's procedures, the student may need to bear certain costs in the event that she/he receives a failing grade.

Doctoral dissertations are assessed with a grade of "Pass" or "Fail".

When awarding a grade for the work, both the content of the dissertation and its public defence must be taken into consideration. Grades for a doctoral dissertation must be decided by an examining committee, which is specially appointed for each dissertation.

Dissertations written in Swedish must have a summary in English and vice versa. If the dissertation is written in some other language, summaries in both Swedish and English must be provided.

Publication and dissemination of a dissertation

The area committee shall decide on the minimum number of physical copies of the doctoral dissertation prior to its defence and on compensation for the costs of publication. Notification

of the date of the defence of a doctoral thesis must take place no later than three weeks before the defence date. The period 16 June - 14 August shall not be included in the notification period, which is why, for example, the announcement of the date of a defence scheduled for 24 August must be made no later than 5 June. The doctoral dissertation must be disseminated as follows:

- The doctoral student registers the dissertation electronically in the University's publication database (notification of the date of the defence of a doctoral thesis),
- Stockholm University Library publishes the dissertation¹⁷ electronically in the publication database, unless the doctoral student has entered into a conflicting publication agreement or will do so within a short time after notification. The version of the dissertation that the doctoral student is defending is to be published,
- the department sends the dissertation to the (Swedish) higher education institutions that conduct activities within the subject area of the dissertation,
- the doctoral student presents the dissertation to her/his supervisors, and
- the department presents the dissertation to the external reviewer and the members of the examining committee.

If special reasons exist, an exception may be granted that allows a certain doctoral dissertation to be notified or disseminated later than stated above. In such an instance, this decision is rendered by the area committees.

Defence period and location

The defence must take place between 15 August and 15 June, but exceptions may be made for special reasons. In such an instance, the doctoral dissertation may also be made available and distributed at a time other than during the semester. Following consultation with the relevant area committee, Student Services determines the time and place for the defence¹⁸ The department concerned reserves the premises where the defence will take place. Note that, in special cases, a dissertation may be defended in premises outside Stockholm University, which is regulated in the area committees' decision-making and delegation systems or in special cooperation agreements. A defence may be conducted with participants present via a video conferencing application or an equivalent digital interface. The chair of the defence and the author of the dissertation must be present; exceptions may be made for special reasons.

Defence and the composition and working methods of the examining committee

The defence is overseen by a chair, who has overall responsibility for the preparation and execution of the defence. The chair administers the defence, passes the gavel, leads the

¹⁷Refers to the full text of the dissertation in monograph form and the introductory chapter for compilation theses

¹⁸ According to the *Besluts- och delegationsordning*, the President has delegated this right to the University Director, who has delegated it further to the head of Student Services.

discussion and decides when the defence is closed. An examining committee consisting of three or five members must be present at the defence. The majority of the members should possess reader competence. Conflicts of interest must always be taken into account when selecting the chair for the defence and in determining the composition of the examining committee.

The external reviewer should work outside Stockholm University and may not come from the same department as the doctoral student. At least one member must work outside Stockholm University and at most one may come from the doctoral student's department. An alternate shall be appointed who should be able to replace any of the permanent members. Anyone who has acted as a supervisor for the doctoral student may not be part of the examining committee. The examining committee shall appoint its own chair. The external reviewer and one of the doctoral student's supervisors have the right to be present at meetings of the examining committee and to participate in the deliberations, but not the final discussion prior to a decision.

If a designated external reviewer is prevented from participating, a new external reviewer shall be appointed if time allows. If a serious impediment arises in connection with a scheduled defence, the defence may go forward by appointing one of the permanent members of the examining committee as the external reviewer, in which case the examining committee is supplemented with the alternate. If this is not possible or appropriate, the defence must be postponed to a later date.

The examining committee has a quorum when all members are present in person or in attendance via a video conferencing application or equivalent digital interface. In determining the decision of the committee, the opinion of the majority shall apply. A non-unanimous decision or a decision to award a failing grade must always be justified. Minutes are provided by the area office.

See also each faculty's instructions for the act of defending a dissertation.

2.5 Degree certificates

Rules on this can be found in the "Local system of qualifications" for Stockholm University.

2.6 Collaboration agreements with other higher education institutions

National regulations

Educational collaboration between different national and international higher education institutions that can lead to a joint degree, or which involve collaboration concerning, e.g., supervision, credit transfers, or periods of study abroad, is regulated in the Higher Education Act (Chapter 1, Sections 17 and 18) and in the Higher Education Ordinance (Chapter 6, Sections 11 a-f).

Local regulations

Rules for collaborations between different national and international higher education institutions can be found in the “Local system of qualifications” for Stockholm University.

As a general rule, cotutelle agreements shall only be concluded with foreign higher education institutions. If special reasons exist, in individual cases the President may grant an exemption for collaborations with Swedish higher education institutions.

The “Procedure for the preparation of decisions on educational collaboration (or research collaboration that includes education) that leads to a joint, double or multiple degree” describes the preparation process for agreements of various kinds. The “Procedures for the conclusion of cotutelle agreements at Stockholm University” describe the procedure for preparing and concluding cotutelle agreements. There are also templates for various types of agreements.

Collaboration with a higher education institution whose third-cycle education programme lacks its own disciplinary research domain

Following assessment, the relevant department at Stockholm University accepts applicants for third-cycle education on the basis of proposals from the higher education institution concerned. The higher education institution must consult with the relevant department at the University early in the admission process. Admission shall occur in accordance with the University’s Admission procedure. Prior to admission, the higher education institution must present a complete financing plan containing adequate funding for two years of full-time studies (for a licentiate degree) or four years of full-time studies (for a doctoral degree). Funding must be guaranteed by the University for the entire duration of the programme.¹⁹ The higher education institution has employer responsibility, including costs and measures in connection with sick leave, parental leave, etc. An agreement in which these matters are regulated must be drawn up and attached as documentation for an admission decision.

Doctoral students who are accepted through such a collaboration must follow the general syllabus established for the subject at Stockholm University. Upon admission, an individual study plan must be drawn up in accordance with the same rules as for doctoral students admitted to the University. The same rules also apply to the supervision and summative assessment of these doctoral students as for doctoral students admitted to the University.

¹⁹ The financing must include costs for supervision, workplace and ancillary costs, course costs and travel costs in connection with courses, and costs in connection with defence (printing, outlays for the external reviewer, the examining committee, etc.).

If the higher education institution receives its own disciplinary research domain during the doctoral student's education at the third-cycle level, full responsibility for the doctoral student's education is transferred to the higher education institution, including the general syllabus and individual study plan and defence. If the supervisor from Stockholm University is to continue to serve as a supervisor for the remainder of the doctoral student's education at the third-cycle level, the higher education institution shall bear all costs associated with this. The doctoral student may apply to continue her/his third-cycle education at Stockholm University.

2.6.1 Reception of doctoral students from other universities

Stockholm University does not accept visiting doctoral students enrolled at another higher education institutions within or outside Sweden for research stays longer than four weeks if the funding plan requires repayment in the event the doctoral student does not achieve the qualitative targets and thus cannot obtain their degree.

2.7 Extension of study and employment period²⁰

National regulations

Under Chapter 5, Section 7 and Chapter 6, Section 29 of the Higher Education Ordinance, the total period of study for a doctoral student (and period of employment for a student employed as a doctoral student) may be extended if special grounds exist. Such reasons may comprise leave of absence because of illness, leave of absence for service in the defence forces or an elected position in a trade union or student organisation, or parental leave.

Local regulations

The doctoral student must apply for planned absence from the programme in accordance with the University's current procedure. Requests for leave of absence are examined in the same way as for other staff members. A certain degree of restrictiveness should be used when the department decides on a leave of absence for a doctoral student. Such planned leave does not normally entitle the employee to an extension of the period of employment.

Sickness, parental leave and leave for service in the total defence

Sick leave, parental leave and the care of a sick child must be reported to the employer in accordance with applicable law and agreements. When any of the above is invoked as a special reason for extension, it must be substantiated with a printout from the payroll system, or, alternatively, a disbursement certificate from the Swedish Social Insurance Agency. When

²⁰ This includes what was called "prolongation" in previous governing documents.

the illness has been proven with a certificate, the extension must be assessed retroactively starting on the day of notification of illness and documented in the individual study plan.

When service in total defence is invoked as a reason for extension of employment as a doctoral student, an agreement must be made with the head of department. The extension is issued for a maximum of one year of employment at a time, or another period of time, by agreement.

The extension must correspond to the number of working days that the doctoral student has been absent due to illness or parental leave. The head of department is responsible for ensuring that the extensions are reported in the individual study plan, regardless of student finance.

Elected positions within student organisations, etc.

A student employed as a doctoral student shall have her/his employment extended as compensation for any elected position she/he holds within a student organisation. The extension is paid for by the department or equivalent body to which the doctoral student is admitted. In the event that the student is employed as a doctoral student by another higher education institution or employed with another employer, the rules on extension shall be regulated in an agreement or contract between the department or equivalent body that admits the doctoral student and her/his external employer. A doctoral student without employment as a doctoral student is to be compensated according to the same principle as students, i.e., in monetary remuneration per meeting. See “Regulations for student influence” in Governing Documents at Stockholm University – Rules & Regulations.

As a rule:

- The extension is to reflect the amount of work required for the position, including preparation, meeting time and follow-up work.
- The doctoral student must inform the head of department as soon as possible after being elected to the position so that the cost can be calculated in the departmental budget.

Decisions on extensions are made by the head of department upon application from the doctoral student. In the event of a conflict between the department and the doctoral student, the dean may make a decision on the matter following consultation with both parties.

Positions first undertaken after the doctoral student has completed the corresponding four-year total period of study (calculated based on her/his activity percentage) cannot be considered for extension.

Only positions for which one has been elected can constitute the basis for an extension. Mere participation in a doctoral student council meeting or participation as a deputy (when a regular

member also participates) or co-opted member at a meeting does not give the right to an extension. Extension is calculated according to attendance at meetings and must be substantiated with minutes or certification by the chairperson. Alternates are compensated for the meetings where they have served as regular members. The compensation and requirements for documentation are the same as for a regular member.

The positions are documented in a document that is attached to the individual study plan. Positions and compensation must be followed up at least once a year, preferably in connection with the regular follow-up of the individual study plan.

Based on the Association of Swedish Higher Education Institutions (SUHF) guidelines (REK 2020:2, 21/04/2020), the following table has been produced for calculating the extension of employment for elected positions. The number of extension days specified in the model presuppose that the doctoral student has completed her/his position. If the doctoral student has not completed her/his entire position, the number of days should be reduced. In cases where the position of the doctoral student has been extended, the number of days may be increased in relation to the work. The number of days must be finalised in connection with the end of the position.

Position	Standard (number of days/year)
Membership in boards of established international and national doctoral student organisations, e.g., Eurodoc and the Swedish National Union of Students and its doctoral student committee	
Chair	40
Deputy chair	25
Other member	10
Central Doctoral Student Council (CDR)	
Chair	40
Deputy chair	25
Other member	20
Faculty Council	
Chair	30
Deputy chair	20
Other member	10
Doctoral student council (including graduate schools)	
Chair	15
Deputy chair	10
Other member	2*

University body

University Board	15 ²¹
Member of permanent and temporary decision-making and preparatory bodies and groups at different levels and parts of the University whose activities are relevant to education or the situation of students.	2*

* Entails 2 days per year + one-day extension per meeting. For particularly time-consuming positions, where the meeting time can amount to 4 hours or longer, a doctoral student can be compensated with a two-day extension per meeting. The main rule is always that the extension must correspond to the work that the position requires.

In this context, “days” means full working days, not calendar days.

Other special reasons for extension

A doctoral student who requests an extension of her/his period of study or period of employment for reasons other than the above must contact the head of department at the department or equivalent body that admitted the doctoral student. Decisions are then made in accordance with each area’s decision-making and delegation system. In such cases, the doctoral student must always provide special justification.

2.8 Research misconduct

National regulations

In the course of their operations, higher education institutions shall uphold academic credibility and good research practice. (Chapter 1, Section 3a of the Higher Education Act)
The operations of higher education institutions shall be arranged to ensure that high standards are attained in courses and study programmes and in research. (Chapter 1, Section 4 of the Higher Education Act)

A higher education institution must ensure that staff can obtain advice and support on issues relating to good research practice and deviations from such practice. (Chapter 1, Section 16 of the Higher Education Ordinance)

Higher education institutions must examine other suspected deviations from good research practice than those to be examined under the Act (2019:504) on responsibility for good research practice and the examination of research misconduct. Higher education institutions

²¹ Doctoral students who are permanent members of the University Board also receive annual remuneration decided by the Government.

must draw up guidelines for the examination of suspected deviations from good research practice. (Chapter 1, Section 17 of the Higher Education Ordinance)

Local regulations

Local rules can be found in the “Procedure for handling suspicion of deviation from good research practice” in the Governing Documents at Stockholm University – Rules & Regulations. See also the page Ethics in research under Advice & support on the staff intranet.

2.9 Disciplinary measures

National regulations

Disciplinary measures against students at all three levels of education are regulated in Chapter 10 of the Higher Education Ordinance.

Local regulations

Local rules can be found in the “Guidelines for disciplinary matters at Stockholm University” in Governing Documents at Stockholm University – Rules & Regulations.

2.10 Expulsion

National regulations

The rules for the expulsion of a doctoral student from her/his study programme until further notice are regulated in Chapter 4, Sections 6-7 of the Higher Education Act and in the Ordinance on the expulsion of students from higher education (2007:989) and its provisions.

2.11 Withdrawal of supervision and other resources, etc.

National regulations

If a doctoral student substantially neglects their obligations under the individual study plan, the President must decide that this student is no longer entitled to supervision and other study resources. Before such a decision is made, the doctoral 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 doctoral student has been appointed to a doctoral studentship or is receiving a doctoral grant. (Chapter 6, Section 30 of the Higher Education Ordinance)

If educational resources have been withdrawn under Section 30, the doctoral student may have their right to supervision and other resources restored after application to the President. The doctoral 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. (Chapter 6, Section 31 of the Higher Education Ordinance)

The President may not delegate decisions under Sections 30 and 31. (Chapter 6, Section 36 of the Higher Education Ordinance)

Local regulations

See the “Procedure for the withdrawal of a doctoral student’s right to supervision and other resources” in the Governing Documents at Stockholm University – Rules & Regulations.

2.12 Notification of permanent non-completion

Local regulations

Permanent non-completion occurs at the doctoral student’s own request. A form (“Notification of non-completion of third-cycle studies”, available on the staff intranet) must be used. The doctoral student ceases to be a doctoral student. If the former doctoral student later wishes to resume her/his education, a new application for admission must be made. The head of department or equivalent person is responsible for ensuring that the request has been submitted voluntarily and on the doctoral student’s own initiative, with full knowledge of the meaning of non-completion of studies at the third-cycle level.

If the head of department or equivalent person can ensure the conditions as above, the permanent non-completion can be registered in Ladok and the form recorded. If the head of department or equivalent person perceives the slightest doubt or ambiguity, the university lawyers at the Office of the President’s Legal Secretariat must always be contacted to provide support in the matter.