



UMEÅ UNIVERSITY

# RULES FOR DOCTORAL EDUCATION AT UMEÅ UNIVERSITY

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## 1. Description

Umeå University has a comprehensive responsibility for its doctoral students. The Vice-Chancellor supervises the education, sets up subjects and decides on the withdrawal of the doctoral students' resources. Each faculty board is, beside the responsibilities stated in this rule, also responsible for the quality and efficiency of the education, the general set up and review of the third-cycle education, and the existence of relevant information about the education. Deans have a more operative responsibility for decisions on the faculty level.

These rules describe both national provisions and local Umeå University provisions for general syllabi and individual study plans, qualitative targets and intended learning outcomes. Furthermore, supervision, examiner, defence of the doctoral theses, licentiate seminars, degree certificates, joint and double degrees and credit transfers are also regulated through this document. Included in this rule is also the documentation in Ladok for third-cycle studies, extended doctoral studentship, teaching and learning in higher education for doctoral students, the role of the doctoral student coordinator, and conflict of interest.

## 2. Background

The Higher Education Act (1992:1434) and the Higher Education Ordinance (1993:100) establishes the framework for third-cycle education. *Rules for doctoral education at Umeå University* are based upon those. Supervisors and doctoral students must be familiar with and follow both national legislation and university rules.

Umeå University's governance of education and decision-making must be legally certain and characterised by respect for all who are affected by or involved in the education. Routines and responsibilities must be clear, structured, and fair. The fundamental assumptions for carrying out and effectuating the education must be the same irrespective of faculty or department.

Admission to doctoral education is governed by the document *Admission regulations for doctoral education at Umeå University* established by the University Board. The admission regulations are comprehensive and regulate application and admission, eligibility and selection, and financing with a Degree of Doctor or Degree of Licentiate as the primary objective. Also, the terms and conditions for individual study plans and supervision are specified in connection with the admission procedure.

Other relevant rules and policies valid for all employees and students at Umeå University also apply to doctoral education, such as, for instance, Open access policy for scientific publications; Action plan for gender mainstreaming; Ethical review and personal data processing; as well as procedures in cases of suspected research misconduct, and disciplinary rules.

According to the policy document, Rule for university-wide policy documents (Sw. *Regel för universitetsgemensamma styrdokument*), a number of perspectives need to be integrated into new and revised university policy documents.

The student, work environment, collaboration, and international perspectives have been integrated into this rule. The sustainability or accessibility perspectives have not been integrated. This



document is regarded to increase gender equality at Umeå University as having established rules guarantee equal treatment in the organisation.

## 3. General syllabus

### **National regulations**

Chapter 6, Section 26 of the Higher Education Ordinance: For each subject in which third-cycle courses or study programmes are offered, a general syllabus is required. Ordinance (2010:1064).

Chapter 6, Section 27 of the Higher Education Ordinance: A general syllabus for third-cycle programmes shall indicate the following: the main content of the study programme, specific entry requirements and any other regulations required. Ordinance (2010:1064).

### **Vice-Chancellor's delegation of authority**

Vice-Chancellor's delegation to the Faculty Board

Chapter 3.2.2.1 Establishing a general syllabus for a third-cycle programme, including decisions regarding specific entry requirements. MAY NOT BE FURTHER DELEGATED.

In addition to national regulations and the Vice-Chancellor's decision-making and delegation procedure, the following applies to general syllabi.

- Applicable general syllabi for third-cycle programmes must be available at every department and on the web page of the responsible faculty.
- When announcing a vacant position at a third-cycle programme, the announcement must specify where to find the general syllabus for the subject for which admission will occur.

### 3.1. Contents

General syllabi in a third-cycle subject area must include the following basic content.

- Date of establishment.
- Validity period of the syllabus.
- The national objectives for each degree as specified in the Higher Education Ordinance, Annex 2 – System of Qualifications.
- Intended learning outcomes for any potential subject specialisations.
- Admission requirements and other general and specific entry requirements that apply for admission. National requirements for general and specific entry are specified in Chapter 7, Sections 39–40 of the Higher Education Ordinance.
- Any additional requirements specified in the qualification descriptor for a given subject specialisation.
- Primary programme setup up to Degree of Doctor or Licentiate.



- Distribution of credits between courses and doctoral thesis.
- Compulsory courses.
- Requirements for doctoral thesis and licentiate thesis.
- Qualification requirements.
- The possibility to, where appropriate, terminate doctoral studies with a Degree of Licentiate.
- Reference to applicable legislation for the education.

### 3.2. Qualitative targets and intended learning outcomes

The System of Qualifications of the Higher Education Ordinance contains qualitative targets for the Degrees of Doctor and Licentiate.

- The qualitative targets must be achieved when a Degree of Doctor is awarded. The qualitative targets describe knowledge, competence and skills which the doctoral student must have achieved to earn the degree.
- The national qualitative targets are adapted to each individual doctoral student by being formulated as individual intended learning outcomes. The individual intended learning outcomes derive on the basis of each doctoral student and the character of the thesis project.
- The supervisor and doctoral student plan and formulate the individual intended learning outcomes on the basis of what the doctoral student is to be examined on, as set against the national qualitative targets (see Chapter 4.2).
- The examination may take place either by means of approved courses or by activities within the thesis work which is then assessed at the defence of the doctoral thesis.



## 4. Individual study plan

### **National regulations**

Chapter 6, Section 29 of the Higher Education Ordinance: An individual study plan shall be drawn up for each doctoral student. This plan shall contain the undertakings made by the doctoral student and the higher education institution and a timetable for the doctoral student's study programme. The plan shall be adopted after consultation with the doctoral student and their supervisors.

The individual study plan shall be reviewed regularly and updated by the higher education institution to the extent required 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 defence forces or an elected position in a trade union or student organisation, or parental leave. Ordinance (2010:1064).

### **Vice-Chancellor's delegation of authority**

Vice-Chancellor's delegation to the Dean

Chapter 3.3.6.14 Decisions regarding guidelines for the establishment and review of an individual study plan. **MAY NOT BE FURTHER DELEGATED.**

Chapter 3.3.6.15 Establishing and reviewing individual study plans.

In addition to national regulations and the Vice-Chancellor's delegation of authority, the following applies to individual study plans.

### 4.1. Establishment

- The individual study plan must be drawn up by the doctoral student and their principal supervisor in connection with admission to a third-cycle programme.
- The Dean, or the person delegated to, makes decisions on the establishment of each individual study plan.
- The Dean makes decisions on guidelines for establishment and review.

### 4.2 Contents

- The forms for and the frequency of supervision must be documented in the individual study plan.
- The doctoral student's undertakings must be documented in the individual study plan.
- The University's undertakings for the doctoral student must be documented in the individual study plan.
- Each doctoral student's individual intended learning outcomes must be recorded in the individual study plan.
- The individual intended learning outcomes must follow the learning outcomes specified in the general syllabus and the national qualitative targets.



- A time and financing plan for the entire programme must be attached to the individual study plan upon admission.
- When the doctoral student is admitted to a third-cycle programme with a Degree of Licentiate as the primary objective, special justification for this must be stipulated and recorded in the individual study plan.
- The international experiences that the doctoral student is expected to achieve must be documented in the individual study plan.
- All courses which are to be examined and included in the degree certificate must be documented in the individual study plan.
- All extensions granted for special grounds in accordance with the Higher Education Ordinance must be recorded in the individual study plan.

### 4.3 Follow-up

- The principal supervisor and doctoral student conduct a review of the individual study plan at least once per year.
- For doctoral students who have been admitted after 1 January 2014, the principal supervisor, the doctoral student and a reference group will conduct a review of the individual study plan at least once per year.
- The Dean, or the person delegated to, is responsible for ensuring that the annual review of the individual study plan is conducted and documented, and that it establishes the review and any potential updates. Decisions to establish and potentially revise an individual study plan must be recorded in writing and be communicated with the principal supervisor, the doctoral student, and any potential reference group.
- The head of department, or the person delegated to, is responsible for documenting the date of the review of the individual study plan in Ladok for third-cycle studies.

### 4.4. Deviations from an individual study plan

- If a doctoral student has not fulfilled their undertakings and has deviated from the individual study plan, the head of department is responsible for communicating this in writing to the doctoral student by making a note in the individual study plan. This note is to be dated and signed by the head of department and the doctoral student. The documentation must state in what way the deviation occurred, what measures are planned as a result of the deviation, and the revisions of the individual study plan that have been decided as a result of the deviation.
- If a department has not fulfilled its undertakings and has deviated from the individual study plan, the Dean is responsible for communication this in writing to the head of department by making notes in the individual study plan. This note is to be dated and signed by the head of department and the doctoral student.





- The head of department is responsible for investigating and effectuating any measures in those cases where a doctoral student and a supervisor are not in agreement as to whether they are fulfilling their undertakings pursuant to the individual study plan.
- When deviations from the individual study plan have been established, the Dean is responsible for communicating these in writing with the department that has not fulfilled its undertakings.
- When justified, the Dean can draw up or make revisions to a specific individual study plan.

## 5. Supervision

### National regulations

Chapter 6, Section 28 of the Higher Education Ordinance: At least two supervisors shall be appointed for each doctoral student. One of them shall be nominated as the principal supervisor. The doctoral student is entitled to supervision during their studies unless the Vice-Chancellor has decided otherwise by virtue of Section 30. A doctoral student who so requests shall be allowed to change supervisor. Ordinance (2010:1064).

Chapter 6, Section 30 of the Higher Education Ordinance: If a doctoral student substantially neglects their 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 the individual study plan. A written record of the decision shall be made, which is to include reasons for the decision. Resources may not be withdrawn for any period in which the third-cycle student has been appointed to a doctoral studentship or is receiving a doctoral grant. Ordinance (2010:1064).

Chapter 6, Section 31 of the Higher Education Ordinance: If study resources have been withdrawn pursuant to Section 30, the doctoral student may, on application to the Vice-Chancellor, recover their 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 the doctoral student can fulfil their remaining undertakings in the individual study plan. Ordinance (2010:1064).

Chapter 6, Section 36 of the Higher Education Ordinance: The Vice-Chancellor may not delegate decisions pursuant to Sections 30 and 31. Ordinance (2010:1064).

### Vice-Chancellor's delegation of authority

Vice-Chancellor's delegation to the Dean

Chapter 3.3.6.8 Appointing principal supervisors and assistant supervisors. MAY NOT BE DELEGATED FURTHER THAN TO HEAD OF DEPARTMENT OR DIRECTOR OF A UNIT.

Chapter 3.3.6.9 Decisions regarding change of supervisor at the request of a doctoral student. MAY NOT BE DELEGATED FURTHER THAN TO HEAD OF DEPARTMENT OR DIRECTOR OF A UNIT.

Chapter 3.3.6.16 Entering agreements with other universities and actors when hiring external supervisors. MAY NOT BE FURTHER DELEGATED.

In addition to national regulations and the Vice-Chancellor's decision-making and delegation procedure, the following applies to supervision.

### 5.1. Requirements for supervision

- Principal supervisors and assistant supervisors must have a doctoral degree, and a minimum of one of them must at least be a docent.



- At least one of the supervisors must have completed the course for supervisors organised by Umeå University or have been deemed to have equivalent qualifications or teaching expertise from another higher education institution.
- At least one of the supervisors must have an employment for an indefinite period as a teacher at Umeå University, at the department at which the doctoral student is admitted and where the supervision takes place.
- When appointing a supervisor, conflicts of interests must be particularly taken into account. Conflicts of interest arising later must be handled without delay.
- The head of department must ensure that a doctoral student always has a principal supervisor and at least one assistant supervisor.

## 5.2. Reference group

- The objective of the reference group is to support the doctoral student and supervisors in accomplishing the doctoral education.
- Each doctoral student admitted after 1 January 2014 must have access to a reference group. Normally, the reference group includes at least two of the supervisors and at least one scientifically qualified university teacher without any connection to the doctoral student's research project. Gender equality must be taken into account in the composition of the group.
- The reference group is to review the individual study plan at a formal meeting with the doctoral student at least once per year.
- Parts of the reference group meetings may be held without the supervisors or doctoral student attending, respectively.

## 5.3. Responsibility of the supervisor

- The principal supervisor is responsible for the implementation of the doctoral thesis project in consultation with the doctoral student and with consideration for the individual intended learning outcomes.
- The principal supervisor and assistant supervisors are responsible for mediating and giving advice with regards to national and international contacts and ensuring the doctoral student is afforded the opportunity of study visits and participation in conferences.
- The supervisor is responsible for remaining updated on regulations relevant to doctoral education.

## 5.4. Supervision hours

- Full-time doctoral students must be provided with continuous supervision adapted to their specific needs of at least 100 working hours per year during the equivalent of four years of full-



time studies. Part-time doctoral students must be provided with supervision to the corresponding extent as they are active, for a maximum of eight years.

- The supervision hours include the time which the supervisors and doctoral student spend on the doctoral student's studies, e.g., the research project, courses and development discussions. The supervision hours also include editing texts, establishment and review of the individual study plan and planning seminars and the defence of doctoral thesis or licentiate seminar.
- Supervision resources are to be divided between the principal and assistant supervisors on the basis of the doctoral student's needs.
- The number of hours spent on supervision is included in the supervisors' normal working hours. For supervisors employed at Umeå University, the number of hours spent on supervision must be documented in a staffing plan.

## 5.5. Change of supervisor

- A doctoral student who requests a change of supervisor reports this to the head of department at the department where the doctoral student is registered.
- The head of department must provide clear information on what a change of supervisor means.
- In the event of a change of supervisor, the intended university-wide form is to be used.
- The form for change of supervisor is to be archived at the department.
- A request for change of supervisor must be dealt with speedily.
- The department where the change has occurred is to document the change of supervisor in Ladok for third-cycle studies.
- The individual study plan must be revised immediately after the change of supervisor has occurred. The revision will occur together with the incoming supervisor. The revised individual study plan will thereafter be established by the Dean or the person this is delegated to.
- The department annually reports the number of changes of supervisors to the faculty.

## 5.6. Withdrawal of supervision and other resources

- The Vice-Chancellor decides on the withdrawal of supervision and other resources pursuant to Chapter 6, Section 30 of the Higher Education Ordinance following investigation in accordance with the Procedure for the withdrawal of resources from doctoral students at Umeå University.
- The Vice-Chancellor decides whether the doctoral student can regain the right to supervision and other resources after applying to the Vice-Chancellor and according to the circumstances listed in Chapter 6, Section 31 of the Higher Education Ordinance.



- A decision on the withdrawal of supervision and other resources must be documented as a discontinuation of course packaging in Ladok for third-cycle studies, pursuant to Chapter 6, Section 30 of the Higher Education Ordinance.
- Decisions on withdrawal of supervision and other resources can be appealed to the Higher Education Appeals Board.

## 6. Examiner

### **National regulations**

Chapter 6, Section 32 of the Higher Education Ordinance: Examinations that form part of third-cycle courses and study programmes shall be assessed in accordance with the grading system prescribed by the higher education institution.

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

### **Vice-Chancellor's delegation of authority**

Vice-Chancellor's delegation to the Dean

Chapter 3.3.5.1 Appointing examiners for first-cycle, second-cycle and third-cycle education.

In addition to national regulations and the Vice-Chancellor's delegation of authority, the following applies to the examiner.

*Procedures for documenting information in Ladok – third-cycle at Umeå University* governs the role and responsibility of examiners in the working process for documentation in Ladok for third-cycle studies.



## 7. Defence of doctoral thesis

### National regulations

Chapter 6, Section 33 of the Higher Education Ordinance: The qualification descriptors for PhD's and doctorates in the fine, applied and performing arts lay down that an approved doctoral thesis is required for the award of these degrees. The doctoral thesis shall be presented and defended orally in public. An external reviewer is to be appointed for this presentation. Ordinance (2010:1064).

Chapter 6, Section 34 of the Higher Education Ordinance: At least one of those participating in the grading of a doctoral thesis shall be someone who does not have a post at the higher education institution awarding the degree. Ordinance (2010:1064).

Chapter 6, Section 35 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. Ordinance (2010:1064).

### Vice-Chancellor's delegation of authority

Cases decided by the Vice-Chancellor

Chapter 3.1.10.1 Decisions regarding defence of doctoral thesis or licentiate seminar at a university or research institute other than Umeå University.

Vice-Chancellor's delegation to the Dean

Chapter 3.3.6.4 Setting the time and place for the defence of a doctoral thesis.

Chapter 3.3.6.5 Granting exemptions from electronic publishing of a doctoral thesis for reasons of copyright.

Chapter 3.3.6.7 Appointing a chairperson, external reviewer and examining committee for each defence of a doctoral thesis. MAY NOT BE FURTHER DELEGATED.

Vice-Chancellor's delegation to the Library Director

Chapter 3.5.1.1 Decisions regarding electronic posting of doctoral theses.

In addition to national regulations and the Vice-Chancellor's delegation of authority, the following applies to the time and place for defence of a doctoral thesis, publication of a doctoral thesis, notification of a public defence, the defence of a doctoral thesis itself, chairperson, external reviewer, examining committee and grade of the doctoral thesis.

### 7.1 Time and place for the defence of a doctoral thesis

- The Dean decides on the time and place for the defence of a doctoral thesis. If the Dean is supervisor, the Deputy Dean makes the decision about time and place.
- No later than twelve weeks prior to the planned defence of the doctoral thesis, a preliminary time is booked. At the same time, suggestions for an external reviewer and the composition of the examining committee are submitted, along with a preliminary title for the thesis. The preliminary booking takes place in accordance with the respective faculty's procedures. Where necessary, the time of the public defence is forwarded to other concerned parties.
- The doctoral student applies for a time and place for the public defence of the doctoral thesis using the university-wide form, no later than eight weeks prior to the proposed time.
- Under normal circumstances, the defence of the doctoral thesis is to take place during office hours and during term time. In exceptional cases it may take place between 15 August and the start of the autumn semester or between the end of the spring semester and 15 June.



- Under normal circumstances, the public defence is to take place in person (onsite) at Umeå University. When there are special grounds, a public defence may take place online provided that it takes place in an academic environment that ensures satisfactory academic examination, and that the public defence can be carried out from a technical perspective.
- When there are special grounds, a public defence may take place at another higher education institution, provided that the doctoral student has conducted the majority of their studies at that institution and provided that the defence takes place in an academic environment that ensures satisfactory academic examination.
- A doctoral student wishing to conduct the defence of their doctoral thesis online or at another higher education institution must apply to the Vice-Chancellor. The application must include a statement by the Dean declaring that the conditions and special grounds has been met to carry out such a public defence.

## 7.2. Publication and archiving of a doctoral thesis

- Doctoral theses are registered and published in Umeå University's publication database (DiVA) in accordance with instructions from the Umeå University Library.
- Doctoral theses are to be published in full text form in the publication database unless copyright issues exist (refer to Open access policy for scientific publishing at Umeå University).
- Three printed copies of the thesis must be provided to the Umeå University Library.
- Archiving doctoral theses is to follow the routines described in the retention and deletion plan for doctoral studies.

## 7.3. Notification

- The date of the defence of a doctoral thesis is notified through electronic publication in good time; no later than three weeks before the public defence and on working days during the period 15 August until 15 June.
- The notification is made in accordance with instructions from the Umeå University Library.
- The notification is made when the doctoral thesis has been published in Umeå University's publication database.

## 7.4. Chairperson

- The Dean appoints the chairperson of the defence of a doctoral thesis. If the Dean is supervisor, the Deputy Dean appoints the chairperson.
- The person appointed as chairperson for the public defence must be a teacher at Umeå University holding a doctoral degree. The supervisor is normally not appointed.



- The chairperson has the right to attend and participate in the examining committee's deliberations, but not to have a say in its decisions.

## 7.5. External reviewer

- The Dean appoints the external reviewer. If the Dean is supervisor, the Deputy Dean appoints the external reviewer.
- The external reviewer must be a scientifically qualified person, normally at least equivalent to a Docent.
- The external reviewer must not have a post at Umeå University.
- The external reviewer has the right to attend and participate in the examining committee's deliberations, but not to have a say in its decisions.

## 7.6. Examining committee

- The Dean appoints the examining committee. Normally a deputy member is also appointed. If the Dean is supervisor, the Deputy Dean appoints the examining committee and deputy member.
- The examining committee must consist of three or five scientifically qualified members, normally at least equivalent to a Docent.
- At least one member of the examining committee must not have a post at Umeå University.
- If the examining committee consists of three members, a maximum of one member may be from the department at which the doctoral student has been primarily registered. If the examining committee consists of five members, a maximum of two members may be from the department at which the doctoral student has been primarily registered.
- The examining committee must normally comprise both men and women members. Any deviations must always be justified.
- The examining committee reaches a quorum when all members are present.
- The examining committee appoints a chairperson within the group.
- The examining committee decides on the grade for each individual doctoral thesis.
- The supervisor has the right to attend and participate in the examining committee's deliberations, but not to have a say in its decisions.

## 7.7. Grade

- The grade for a doctoral thesis is decided by the examining committee.



- The doctoral thesis is to be awarded the grade of Pass or Fail.
- When grading, both the content and the public defence of the doctoral thesis must be considered.
- The examining committee's decision with regard to the grade is to reflect the majority opinion among the members.
- The examining committee decides if the grade must be justified. If the examining committee is not in agreement in terms of the grade, the grade must always be justified. If the thesis is graded a Fail, this must always be justified.

## 8. Licentiate seminar

### **Vice-Chancellor's delegation of authority**

Cases decided by the Vice-Chancellor

Chapter 3.1.10.1 Decisions regarding defence of doctoral thesis or licentiate seminar at a university or research institute other than Umeå University.

Vice-Chancellor's delegation to the Dean

Chapter 3.3.6.6 Appointing a chairperson, examining committee and external reviewer for each licentiate seminar.

In addition to the Vice-Chancellor's delegation of authority, the following applies to the time and place of the licentiate seminar, announcement and publication of the licentiate thesis, chairperson, external reviewer and examining committee for the licentiate seminar as well as grade and defence of the licentiate thesis.

### 8.1. Time and place for the licentiate seminar

- No later than twelve weeks prior to the licentiate seminar, a preliminary booking and proposals for the chairperson, possible external reviewer and the members of the examining committee must be made.
- The preliminary booking, conducted following the routines of the respective faculty, is forwarded to other concerned parties where necessary.
- Under normal circumstances, the licentiate seminar is to take place during office hours and during term time. In exceptional cases it may take place between 15 August and the start of the autumn semester or between the end of the spring semester and 15 June.
- If the Dean is supervisor, the Deputy Dean makes the decision on time and place.

### 8.2. Publication and archiving of licentiate thesis

- Licentiate theses are registered and published in Umeå University's publication database (DiVA) in accordance with instructions from the Umeå University Library.





- Licentiate theses are to be published in full text form in the publication database unless copyright issues exist (refer to Open access policy for scientific publishing at Umeå University).
- If the licentiate thesis is printed, one copy must be provided to the Umeå University Library.
- Archiving licentiate theses is to follow the routines described in the retention and deletion plan for doctoral studies.

### 8.3. Notification

- The licentiate thesis must be available at the department in which the doctoral student has been registered no later than two weeks before the defence. Time and place for the licentiate seminar is announced no later than one week prior to the event.

### 8.4. Licentiate seminar and chairperson

- The licentiate thesis is to be defended at a public seminar at the department in which the doctoral student is registered.
- The chairperson must be a scientifically qualified teacher at Umeå University holding a doctoral degree. An external reviewer can also be appointed. If no external reviewer is appointed and the chairperson leads the discussion, the chairperson must under normal circumstances not have a post at the department at which the doctoral student has been registered.
- If the Dean is supervisor, the Deputy Dean appoints the chairperson.
- The chairperson has the right to attend and participate in the examining committee's deliberations, but not to have a say in its decisions.

### 8.5. External reviewer and examining committee

- If an external reviewer is appointed, the external reviewer must be a scientifically qualified person holding a doctoral degree.
- If the Dean is supervisor, the Deputy Dean appoints the external reviewer.
- If an external reviewer is appointed, the external reviewer must under normal circumstances not have a post at the department at which the doctoral student is registered. The external reviewer has the right to attend and participate in the examining committee's deliberations, but not to have a say in its decisions.
- If the Dean is supervisor, the Deputy Dean appoints the examining committee.
- The examining committee must consist of three scientifically qualified members holding doctoral degrees. Under normal circumstances, a deputy member is also appointed among the staff at Umeå University.



- A maximum of one person may be from the department at which the doctoral student is registered.
- The examining committee must comprise both men and women members.
- The examining committee reaches a quorum when all members are present.
- The examining committee appoints a chairperson within the group.
- The supervisor has the right to attend the examining committee's deliberations, but not to have a say in its decisions.

## 8.6. Grade

- The grade for the licentiate thesis is suggested by the examining committee.
- The licentiate thesis is to be awarded the grade of Pass or Fail.
- When grading, both the content and the public defence of the licentiate thesis must be considered.
- If the examining committee is divided in its decision on the grade or if the licentiate thesis is failed, this must always be justified.
- The grade will be determined by the appointed examiner.



## 9. Degree certificate

### National regulations

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

Chapter 6, Section 10 of the Higher Education Ordinance: In the certificate, the higher education institution shall indicate

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

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

Chapter 6, Section 10a of the Higher Education Ordinance: A certificate shall be accompanied by

1. a diploma supplement that describes the study programme and its place in the educational system
2. in the case of a Higher Education Diploma in Vocational Education a diploma supplement that lists the qualified and relevant vocational expertise that formed the special entry requirements pursuant to Section 4 of the Ordinance on admission to programmes leading to the award of a Higher Education Diploma in Vocational Education (2010:2021) and the regulations issued in conjunction with that provision.

The Swedish Council for Higher Education may issue more detailed specifications of the contents of a diploma supplement as laid down in the first item above. Ordinance (2012:712).

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

### Vice-Chancellor's delegation of authority

Vice-Chancellor's delegation to the University Director

Chapter 3.4.3.1 Decisions regarding and issuing of degree certificates for first-cycle, second-cycle and third-cycle programmes, establishing templates for such certificates and decisions on whether an applicant meets the requirements for such a degree.

Chapter 3.4.3.3 Issuing statements in appeals cases relating to rejected applications for degree certificates for first-cycle, second-cycle and third-cycle programmes.

In addition to national regulations and the Vice-Chancellor's delegation of authority, the following applies to degree certificates.

- Doctoral students apply for a degree certificate at the Degree Evaluation Office at the Student Services Office. The certificate can be obtained after requirements for Degree of Doctor or Degree of Licentiate have been fulfilled.
- The degree certificate includes the student's name and personal identity number, name of the degree, faculty, subject, thesis title, completed courses or other examinations registered in Ladok and the date of completion of studies.



- Appendices to the degree certificate include an English-language Diploma Supplement that describes the education, how the Swedish Higher Education system is organised and the national intended learning outcomes for a Degree of Doctor and Degree of Licentiate.

## 10. Joint and double degrees

### National regulations

Chapter 1, Section 17 of the Higher Education Act:

A higher education institution listed in the annex to this Act may award a joint degree together with

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

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. These courses and programmes must be offered through the educational cooperation of the institutions referred to in the first paragraph above.

The Government issues additional regulations on joint degrees. Ordinance (2009:695).

Chapter 1, Section 18 of the Higher Education Act:

A higher education institution referred to in Section 17 may within the framework of educational cooperation pursuant to the second paragraph of the same section decide to delegate administrative tasks relating to admission to and the transfer of credits from courses and programmes to

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

The administrative tasks delegated may only mean that

1. students admitted to one component of the programme by another higher education institution offering this component shall be regarded as students who have been admitted to the higher education institution while they are pursuing their studies there, and
2. students will be given credit for successful completion of a component of the programme at another higher education institution within a programme at the higher education institution without any additional review. Ordinance (2009:695).

Chapter 6, Section 11 of the Higher Education Ordinance:

If a certificate is awarded for a study programme undertaken at more than one higher education institution, it shall be awarded by the institution at which it was completed by the student. This does not apply, however, if the higher education institutions involved have reached some other agreement or the higher education institutions shall jointly issue a joint degree pursuant to Chapter 1, Section 17 of the Higher Education Act (1992:1434). Ordinance (2009:1068).

Chapter 6, Section 11a of the Higher Education Ordinance:

A higher education institution may take part in educational cooperation only if this cooperation is based on a written agreement pursuant to Chapter 1, Section 17, second paragraph of the Higher Education Act (1992:1434). An agreement of this kind may only be entered into by a higher education institution listed in the annex to the Higher Education Act with

1. another higher education institution subject to the Higher Education Act,
2. an independent course provider entitled to award a qualification pursuant to the Act Concerning Authority to Award Certain Qualifications (1993:792), or
3. a higher education institution outside Sweden that is not a physical individual. Ordinance (2009:1068).



Chapter 6, Section 11b of the Higher Education Ordinance:

A higher education institution referred to in Section 11a may enter into an agreement as provided in the same section only if the conditions stipulated in the second and third paragraphs are fulfilled. In the agreement the higher education institution shall ensure that

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

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 pursuant to Section 11c,
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 review,
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. Ordinance (2009:1068).

Chapter 6, Section 11c of the Higher Education Ordinance:

A student who has been admitted at another higher education institution to a component of the programme subject to an agreement of the kind stipulated in Section 11a shall be considered to be a student admitted to a higher education institution party to such an agreement when he or she is pursuing studies within the framework of the programme at that higher education institution. This applies only if

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

Chapter 6, Section 11d of the Higher Education Ordinance:

Credits for a component of a programme subject to an agreement of the kind laid down in Section 11a successfully completed by a student at another higher education institution shall be transferred to a programme at a higher education institution party to the agreement without special review. Ordinance (2009:1068).

Chapter 6, Section 11e of the Higher Education Ordinance:

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

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

Chapter 6, Section 11f of the Higher Education Ordinance:

When a higher education institution as laid down in Section 11a awards a joint degree together with another higher education institution, it may use the same document for its award as the other higher education institution. Ordinance (2009:1068).



#### **Vice-Chancellor's delegation of authority**

Vice-Chancellor's delegation to the University Director

Chapter 3.4.3.1. Decisions regarding and issuing of degree certificates for first-cycle, second-cycle and third-cycle programmes, establishing templates for such certificates and decisions on whether an applicant meets the requirements for such a degree.

Chapter 3.4.3.3. Issuing statements in appeals cases relating to rejected applications for degree certificates for first-cycle, second-cycle and third-cycle programmes.

In addition to national regulations and the Vice-Chancellor's delegation of authority, the following applies to joint and double degrees for third-cycle qualifications.

- The Vice-Chancellor will decide on a written agreement for educational cooperation which leads to joint degree for third-cycle qualifications.
- The Vice-Chancellor will decide on a written agreement for educational cooperation which leads to double degree for third-cycle qualifications.

## 11. Credit transfer and selection

#### **National regulations**

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

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

1. at a university or higher education institution in Denmark, Finland, Iceland or Norway or 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 (Swedish Treaty Series 2001:46), or
2. at Nordiska högskolan för folkhälsovetenskap (NHV – The Nordic School of Public Health). Ordinance (2006:1053).

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

Chapter 6, Section 8 of the Higher Education Ordinance: The higher education institution shall assess whether credits can be awarded for the prior course or study programme or professional or vocational experience. Credits may only be awarded to those who are students unless otherwise provided by statute or ordinance. Ordinance (2010:1064).

#### **Vice-Chancellor's delegation of authority**

Vice-Chancellor's delegation to the Dean

3.3.6.18 Decisions regarding credit transfer during third-cycle studies.

3.3.6.19 Issuing statements in appeals cases relating to third-cycle credit transfers. MAY NOT BE FURTHER DELEGATED.

3.3.6.20 Decisions regarding credit transfers from the second year of a Master's degree in the admission to third-cycle studies. MAY NOT BE FURTHER DELEGATED.

In addition to national regulations and the Vice-Chancellor's delegation of authority, the following applies to credit transfers.



- An application for credit transfer must take place through the intended application form.
- Every credit transfer that a doctoral student applies for must be made after a dated individual evaluation of the doctoral student's knowledge and skills in relation to the education which the doctoral student is applying for credit transfer. Routine credit transfers may thus not be made on the basis of prior education.
- Credit transfer of courses that have been examined must be justified in the individual study plan.
- The examiner will decide in writing on credit transfer based on the written support which an application for credit transfer is based on. Denials must be justified.
- The application and decisional documents must be registered.
- Decisions on credit transfer can be appealed to the Higher Education Appeals Board.
- What is true in terms of selection and assessment criteria to be followed in relation to the applicant's ability to benefit from the programme. The fact that an applicant is deemed to receive credits from previous education or professional experience may not give the applicant priority over other applicants.



## 12. Documentation in Ladok for third-cycle studies

### **National regulations**

Chapter 2, Section 1 of the Ordinance on the reporting of studies in higher education:

Every higher education institution must document information on its students. Every higher education institution must keep a student registry containing individual information on each student. The registry may be kept with the help of automated data processing.

If a higher education institution wishes to introduce a new system for the student registry or make substantial changes to an existing system, the higher education institution must consult the Swedish National Financial Management Authority to ensure that the registry data forming basis for allocation of resources are reliable, and the Swedish Higher Education Authority and the Swedish Council for Higher Education to ensure that registry data fulfil the requirements regarding quality and comparability to other higher education institutions. Ordinance (2018:1361).

Chapter 3, Section 7 of the Ordinance on the reporting of studies in higher education:

The registry must contain information on all doctoral students. The information may be obtained from the student registry at the higher education institution and must cover the following:

1. identity information,
  2. the date of admission and the term for the start of studies,
  3. subject and higher education institution and, where appropriate, such graduate schools that the Government has determined,
  4. registration by term and activity,
  5. type of student finance,
  6. prior education which has provided qualifications for the doctoral education,
  7. credit transfers or other included activity in credits at the higher education institution and, where appropriate, if the credit transfer relates to first-cycle or second-cycle level of education,
  8. institution of higher education in Sweden or in the country where the doctoral student has undergone such education as is referred to in item 6 or 7, and
  9. for degrees awarded: the name of the degree, the degree subject and the date for issuing of the degree certificate.
- Ordinance (2012:501).

In addition to national regulations, the following applies to documentation in Ladok for third-cycle studies.

*Procedures for documenting information in Ladok – third-cycle at Umeå University* governs the working process, division of responsibilities and what to be documented.





## 13. Extension of a doctoral studentship

### National regulations

Chapter 5, Section 7 of the Higher Education Ordinance: Appointment to a doctoral studentship shall apply for an indefinite period, however for no longer than until a specified date and never for a period extending more than one year after the award of a PhD or a doctorate in the fine, applied and performing arts.

The total period of employment may, however, exceed that stated in the third paragraph if special grounds exist. Such grounds 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. Ordinance (2009:933).

### Vice-Chancellor's delegation of authority

Vice-Chancellor's delegation to the Dean

Chapter 3.3.6.10 Decisions regarding special grounds in accordance with Chapter 5, Section 7, third paragraph of the Higher Education Ordinance (1993:100) on extensions of doctoral student appointments as a result of elected positions in trade unions or student organisations at central or faculty level. **MAY NOT BE FURTHER DELEGATED.**

Chapter 3.3.6.11 Decisions regarding special grounds in accordance with Chapter 5, Section 7, third paragraph of the Higher Education Ordinance (1993:100) on extensions of doctoral student appointments as a result of elected positions in trade unions or student organisations at the department level.

Chapter 3.3.6.12 Decisions regarding special grounds in accordance with Chapter 5, Section 7, third paragraph of the Higher Education Ordinance (1993:100) on extensions of doctoral student appointments due to illness, leave of absence for service in the defence forces and parental leave or other special grounds.

Chapter 3.3.6.13 Decisions regarding extension of appointments as doctoral student due to care of a sick child.

In addition to national regulations and the Vice-Chancellor's delegation of authority, the following applies to extension of doctoral studentships.

The head of department decides on such extensions as a consequence of illness, service in the defence forces, elected positions in trade organisations or student organisations and parental leave to care for a child. The head of department is also responsible for documenting the decided extension in the individual study plan. The extension may only be granted for a period until the defence of the doctoral thesis, regardless of which special ground has been cited. The extension must be financed by the department or faculty. Decisions are made in accordance with the delegation of authority.

### 13.1. Illness

- Doctoral students must report sickness absence to the employer according to applicable legislation and agreements.
- If absence due to illness is cited as a special ground for extension of a doctoral studentship, this should be conveyed annually to the head of department at the review of the individual study plan, and the time decided upon is to be documented in the individual study plan.
- A doctoral studentship must be extended in the case of illness with the same number of days as was registered in PASS (part-time sick leave is converted to full days). The extension is only made if the doctoral student requests an extension in accordance with the item above and under consideration that extensions are only permitted up until the defence of the doctoral thesis.



## 13.2. Service in the defence forces

- When service in the defence forces is cited as a special ground for extension of a doctoral studentship, the extension must be approved by the Dean. Extensions may be approved for a maximum of one year at a time, unless otherwise agreed.

## 13.3. Elected position in trade unions or student organisations

- As stated in headline 13.3, a doctoral student can under normal circumstances be granted an extension of their doctoral studentship for a maximum of 40 working days per year, not exceeding 120 working days for the entire study period for an elected position in trade unions or student organisations. Where an individual assignment demands more time, this must be approved by the Dean.
- When an elected position in a trade union is cited as a special ground for extension of a doctoral studentship, the extension may be approved for the time leave of absence was taken, within the scope of the above.
- When an elected position in a student organisation is cited as a special ground for extension of doctoral studentship, the scope of the position, to the extent it involves presence in councils, committees and working groups or the like, must be confirmed by the convenor or chairperson of these organs in writing.
- When an elected position in a trade union or student organisation is cited as a special ground for extension of a doctoral studentship, the assignment, the scope of the assignment and the length of the extension must annually be reported in the individual study plan for the extension to be granted.

### *University level*

When an elected position in a student organisation with assignments at university-wide level is cited as a special ground for extension of a doctoral studentship, the assignments are counted as maximum one year at a time, or as the actual period of the assignment, where this is shorter, within the following stipulations:

- The University Board, strategic councils, the University Management Council – under normal circumstances 10 working days.
- Other councils, committees, working groups or similar – under normal circumstances 5 working days.

For deputy members that actively participate in the work, the time in which the doctoral student has been active is counted, but under normal circumstances not to a greater extent than what applies to a regular member.

In cases where the extension is counted as more than the minimum number of days in accordance with the above, this must be arranged before the doctoral student takes on the assignment and before it begins.



### *Faculty level*

When an elected position in a student organisation with assignments at faculty level is cited as a special ground for extension of a doctoral studentship, the assignments are counted as maximum one year at a time, or as the actual period of the assignment, where this is shorter, within the following stipulations:

- Faculty boards and research programme boards – under normal circumstances 10 working days.
- Boards, committees, working groups or similar – under normal circumstances 5 working days.
- Chairperson/board member in a student union – under normal circumstances 30 working days.
- Other post in a student union – under normal circumstances 10 working days.
- Chairperson in a doctoral student association – under normal circumstances 25 working days.
- Other post in a doctoral student association – under normal circumstances 10 working days.

For deputy members that actively participate in the work, the time in which the doctoral student has been active is counted, but under normal circumstances not to a greater extent than what applies to a regular member.

In cases where the extension is counted as more than the minimum number of days in accordance with the above, this must be arranged before the doctoral student takes on the assignment and before it begins.

### *Department level*

When an elected position in a student organisation with assignments at department level is cited as a special ground for extension of a doctoral studentship, the assignments are counted as maximum one year at a time, or as the actual period of the assignment, where this is shorter, within the following stipulations:

- Committees, collaboration groups, working groups or similar – under normal circumstances 5 working days.

For deputy members that actively participate in the work, the time in which the doctoral student has been active is counted, but under normal circumstances not to a greater extent than what applies to a regular member.

In cases where the extension is counted as more than the minimum number of days in accordance with the above, this must be arranged before the doctoral student takes on the assignment and before it begins.

## 13.4. Parental leave

- Doctoral students must report parental leave to the employer according to applicable legislation and agreements.



- When parental leave is cited as a special ground for extension of a doctoral studentship, the parental leave time is counted at the earliest from the day when the leave starts.
- When parental leave is cited as a special ground for extension of a doctoral studentship, the extension should be equivalent to the extent of the leave.
- When partial leave of absence to care for a child is cited as a special ground for extension of a doctoral studentship, compensation must correspond to the leave that was granted.
- When parental leave is cited as a special ground for extension, the approved time for this must be annually documented in the individual study plan.

### 13.5. Leave of absence to care for a sick child

- Doctoral students must report leave of absence to care for a sick child to the employer according to applicable legislation and agreements.
- When a period of temporary parental benefit to care for a sick child is cited as a special ground for extension of a doctoral studentship, persons who are entitled to parental benefit can include all the days that they are absent for this reason and that are registered with the Swedish Social Insurance Agency.
- When caring for a sick child is cited as a special ground for extension of a doctoral studentship, an extension can be granted for the corresponding working days.
- When extension as a result of caring for a sick child is cited as a special ground for extension of a doctoral studentship, the approved time for this must be annually documented in the individual study plan.

### 13.6. Other reasons for extending a doctoral studentship

- If other reasons are cited as grounds for extension of a doctoral studentship, the Dean can decide on such an extension if the reasons cited have affected the doctoral student's possibility to complete their studies on time. Such a request for an extension of the doctoral studentship must be conveyed annually to the head of department at the time of the review of the individual study plan. Decisions regarding an extension must be documented in the individual study plan.

## 14. Teaching in higher education for doctoral students

- All doctoral students who teach or will teach at first- or second-cycle courses or study programmes must have relevant higher education teaching qualifications.
- All doctoral students are to be offered training to achieve relevant higher education teaching qualifications.



- When doctoral students are teaching, the higher education teaching training is to be conducted and financed within the framework of employment at the department.
- When the higher education teaching training is conducted as part of the doctoral education, it must be documented with the corresponding credits according to the individual study plan.

## 15. Doctoral student coordinator

The role as a university-wide doctoral student coordinator forms a part of the quality work of doctoral education and comprises providing information and coordination.

The doctoral student coordinator's assignment to inform involves building knowledge from a preventive perspective on all levels of the organisations and to individuals by providing information about laws, ordinances, regulations and policies, as well as to communicate how various parts of doctoral education are processed at the University. This part of the coordinator's assignment also involves building networks of contacts and providing information on current topics regarding doctoral education.

The doctoral student coordinator's assignment to coordinate involves informing individual doctoral students or others about laws, ordinances, regulations and policies in specific issues raised by the student or other party to better handle problematic situations. Depending on the problem, it may also be necessary to provide contacts within or outside the University.

The information and coordination assignments both require, whenever necessary, to keep in contact with offices in the University Administration, faculty managements, faculty offices and departments, and, in some cases, also with external stakeholders and organisations. Both assignments also include dialogue with the University Management, faculty managements and/or affected offices, units or departments in matters of principle.



## 16. Conflict of interest

### National regulations

Section 11 of the Administrative Procedure Act: A person who processes a matter is disqualified due to conflict of interest if:

1. the matter relates to the person itself or their spouse, parent, child, brother or sister, or another closely related person, or if someone closely related can expect extraordinary advantage or detriment from the outcome of the matter,
2. the person itself or any closely related person is the legal representative (e.g., guardian) of someone that the matter relates to or of anyone that can expect extraordinary advantage or detriment from the outcome of the matter,
3. the matter has been brought before the authority by an appeal against or the subordination of the decision of another authority or by reason of the supervision of another authority and the person has previously participated at the other authority in the final handling of a matter concerning the same issue,
4. the person was a representative or, for remuneration, has provided counsel to a person involved in the matter, or
5. there is some other special circumstance that is likely to undermine confidence in the person's impartiality in the matter.

Conflict of interest is disregarded if the question of impartiality is clearly of no importance.

Section 12 of the Administrative Procedure Act: A person who is disqualified due to conflict of interest may not handle the matter. However, the person may take those steps that cannot be made by someone else without an inconvenient delay.

Anyone who is aware of a circumstance that could constitute a conflict of interest is obliged to disclose it of their own accord.

If a conflict of interest has been raised and the person in question has not been replaced, the authority must decide on the issue of conflict of interest as soon as possible. The challenged person may not take part in the consideration of the issue of their conflict of interest unless the authority cannot reach a quorum without the person and there is no available replacement without an inconvenient delay.

A decision concerning a conflict of interest may be appealed only in conjunction with an appeal against the decision by which the authority determines the matter. Administrative Procedure Act (1986:223).

- Doctoral education must be characterised by objectivity and impartiality. Everyone who performs tasks with the education or examination must therefore observe objectivity and impartiality.
- In the performance of such tasks, the provisions on conflict of interest in the Administrative Procedure Act apply.
- Anyone who is aware of a circumstance which may be taken to constitute a conflict of interest must make it known of their own accord.
- Special attention must be paid to conflict of interest in connection with the defence of a doctoral thesis or licentiate seminar and other instances which entail exercise of official authority towards an individual.
- No conflict of interest may exist in the relationship between an external reviewer or a member of an examining committee and the doctoral student and supervisor.
- An external reviewer or a member of an examining committee is obliged to report any conflict of interest in relation to a doctoral student or supervisor in good time before a defence of a doctoral thesis or licentiate seminar.



- In the event of an instance which entails exercise of official authority towards an individual, attention should be directed to the question whether public confidence in that authority's objectivity and impartiality may be questioned in situations where the supervisor and doctoral student, or persons who are involved in the same supervisory or reference group, have a close private relationship.
- Kinship conflict of interest may not exist between a supervisor and a doctoral student and should consequently also be avoided between the supervisors who are part of a doctoral student's supervisory group.
- If a kinship conflict of interest between supervisors cannot be avoided, an official note with a justification must be made in the individual study plan.



## Annex: The Higher Education Ordinance, Annex 2: System of Qualifications

<b>DEGREE OF DOCTOR</b>	<b>DEGREE OF LICENTIATE [LICENTIATEXAMEN]</b>
<p><b>Scope</b></p> <p>A Degree of Doctor is awarded after the third-cycle student has completed a study programme of 240 credits in a subject in which third-cycle teaching is offered.</p> <p><b>Outcomes</b></p> <p><i>Knowledge and understanding</i></p> <p>For the Degree of Doctor the third-cycle student shall</p> <ul style="list-style-type: none"> <li>• demonstrate broad knowledge and systematic understanding of the research field as well as advanced and up-to-date specialised knowledge in a limited area of this field, and</li> <li>• demonstrate familiarity with research methodology in general and the methods of the specific field of research in particular.</li> </ul> <p><i>Competence and skills</i></p> <p>For the Degree of Doctor the third-cycle student shall</p> <ul style="list-style-type: none"> <li>• demonstrate the capacity for scholarly analysis and synthesis as well as to review and assess new and complex phenomena, issues and situations autonomously and critically,</li> <li>• demonstrate the ability to identify and formulate issues with scholarly precision critically, autonomously and creatively, and to plan and use appropriate methods to undertake research and other qualified tasks within predetermined time frames and to review and evaluate such work,</li> <li>• demonstrate through a thesis the ability to make a significant contribution to the formation of knowledge through their own research,</li> <li>• demonstrate the ability in both national and international contexts to present and discuss research and research findings authoritatively in speech and writing and in dialogue with the academic community and society in general,</li> <li>• demonstrate the ability to identify the need for further knowledge, and</li> <li>• demonstrate the capacity to contribute to social development and support the learning of others both through research and education and in some other qualified professional capacity.</li> </ul> <p><i>Judgement and approach</i></p> <p>For the Degree of Doctor the third-cycle student shall</p> <ul style="list-style-type: none"> <li>• demonstrate intellectual autonomy and disciplinary rectitude as well as the ability to make assessments of research ethics, and</li> <li>• demonstrate specialised insight into the possibilities and limitations of research, its role in society and the responsibility of the individual for how it is used.</li> </ul>	<p><b>Scope</b></p> <p>A Licentiate is awarded <i>either</i> after a third-cycle student has completed a study programme of at least 120 credits in a subject in which third-cycle teaching is offered, <i>or</i> after a third-cycle student has completed one part comprising at least 120 credits of a study programme intended to conclude with the award of a PhD, if a higher education institution decides that a Degree of Licentiate of this kind may be awarded at the institution.</p> <p><b>Outcomes</b></p> <p><i>Knowledge and understanding</i></p> <p>For a Degree of Licentiate the third-cycle student shall</p> <ul style="list-style-type: none"> <li>• demonstrate knowledge and understanding in the field of research including current specialist knowledge in a limited area of this field as well as specialised knowledge of research methodology in general and the methods of the specific field of research in particular.</li> </ul> <p><i>Competence and skills</i></p> <p>For a Degree of Licentiate the third-cycle student shall</p> <ul style="list-style-type: none"> <li>• demonstrate the ability to identify and formulate issues with scholarly precision critically, autonomously and creatively, and to plan and use appropriate methods to undertake a limited piece of research and other qualified tasks within predetermined time frames in order to contribute to the formation of knowledge as well as to evaluate this work,</li> <li>• demonstrate the ability in both national and international contexts to present and discuss research and research findings in speech and writing and in dialogue with the academic community and society in general, and</li> <li>• demonstrate the skills required to participate autonomously in research and development work and to work autonomously in some other qualified capacity.</li> </ul> <p><i>Judgement and approach</i></p> <p>For a Degree of Licentiate the third-cycle student shall</p> <ul style="list-style-type: none"> <li>• demonstrate the ability to make assessments of ethical aspects of their own research,</li> <li>• demonstrate insight into the possibilities and limitations of research, its role in society and the responsibility of the individual for how it is used, and</li> <li>• demonstrate the ability to identify the personal need for further knowledge and take responsibility for their ongoing learning.</li> </ul> <p><b>Thesis</b></p> <p>For a Degree of Licentiate the third-cycle student shall have been awarded a pass grade for a research thesis of at least 60 credits.</p>





<p><b>Research thesis (doctoral thesis)</b></p> <p>For the Degree of Doctor the third-cycle student shall have been awarded a pass grade for a research thesis (doctoral thesis) of at least 120 credits.</p> <p><b>Miscellaneous</b></p> <p>Specific requirements determined by each higher education institution itself within the parameters of the requirements laid down in this qualification descriptor shall also apply for a Degree of Doctor with a defined specialisation.</p>	<p><b>Miscellaneous</b></p> <p>Specific requirements determined by each higher education institution itself within the parameters of the requirements laid down in this qualification descriptor shall also apply for a Degree of Licentiate with a defined specialisation.</p>
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