



## **Guidelines and practices for doctoral studies at the Department of Historical, Philosophical and Religious Studies**

Updated version, spring semester 2023

This document<sup>1</sup> combines local guidelines and practices regarding doctoral studies at the Department of Historical, Philosophical and Religious Studies. It aims to create a common structure and the same basic conditions for all doctoral students in the department. The established guidelines can also be regarded as a quality system for developing doctoral education.

This document is not comprehensive, covering everything regarding doctoral education and hiring doctoral students. For a more detailed description of various regulations, policy decisions and practices, refer to:

Swedish Higher Education Act (1992:1434):

<http://rkrattsbaser.gov.se/sfst?bet=1992:1434>

Swedish Higher Education Ordinance (1993:100):

<http://rkrattsbaser.gov.se/sfst?bet=1993:100>

Umeå University's rules and guidelines for doctoral education, which you can find here:

<https://www.umu.se/en/legal-framework/third-cycle-education/>

Other references include:

The Faculty's website for doctoral education:

<https://www.aurora.umu.se/organisation-och-styrning/organisation/fakultetssidor/humanistisk-fakultet/forskarutbildning/>

Refer to the general syllabuses in each doctoral subject area for information on the content, objectives, design and examination of the doctoral education:

<https://www.umu.se/humanistisk-fakultet/utbildning/utbildning-pa-forskarniva/allmanna-studieplaner/>

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<sup>1</sup> This document has been translated from Swedish into English. If the English version differs from the original, the Swedish version takes precedence.

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## **Division of responsibilities within the doctoral programme**

The Faculty Board at the Faculty of Arts and Humanities has overall responsibility for doctoral education. In practice, the department conducts much of the practical work of implementing the Faculty Board's responsibilities, while the Faculty is more involved in initiating, supervising and follow-up. Some of the tasks of the Faculty Board, such as the admission of students to doctoral education, the appointment of supervisors and the establishment of individual study plans, are delegated to the department. The overall division of responsibilities at the Faculty of Arts and Humanities is listed below.

*The Faculty is responsible for:*

- fulfilling the requirements for supervision
- approving at least two supervisors, one of whom is the principal supervisor, at the beginning of education
- investigating and taking measures as needed if the doctoral student and supervisor do not agree that they are fulfilling their obligations
- approving individual study plans
- ensuring that the individual study plans are followed up
- taking measures when the follow-up of individual study plans shows the need for changes
- withdrawing the right to supervision in cases when the doctoral student disregards their obligations
- ensuring that a change of supervisor is considered and implemented when requested by the doctoral student
- drawing up overall agreements regarding the organisation of doctoral programme with other higher education institutions

*The departments are responsible for:*

- allocating working hours for principal supervisors and assistant supervisors
- agreements on external supervision
- ensuring that supervisors participate in educational training for supervision
- providing doctoral students an opportunity for career planning

*The supervisors are responsible for:*

- establishing an individual study plan in consultation with the doctoral student (principal supervisor)
- ensuring that courses and course components are carried out as specified in both the general syllabus and individual study plan (principal supervisor)
- following up and revising the individual study plan together with the doctoral student and the reference group (principal and assistant supervisor)
- ensuring that course credits are reported in Ladok as the intermediate goals of the individual study and financing plan with follow-up are achieved (principal supervisor)
- arranging national and international contacts and working on behalf of the doctoral student to provide opportunities for study visits and participation at conferences (principal and assistant supervisors)
- providing continuous feedback on the texts produced by the doctoral student (principal and assistant supervisor)

- initiating the various control milestones. At the Department of Historical, Philosophical and Religious Studies, this means carrying out the mid-way review (*mittseminarium*) with assessment meeting, the before-the-last-year meeting, the final seminar/final reading group and a final overall reading before printing.

*The reference group is responsible for:*

- providing feedback in connection with the annual revision of the individual study plan before it is approved by the director of studies.

*The doctoral student is responsible for:*

- drawing up the individual study plan together with the principal supervisor,
- completing courses and course components as specified in both the general syllabus and individual study plan,
- following up and revising the individual study plan together with the principal supervisor and reference group,
- participating in reporting credit sin Ladok as the intermediate goals of the individual study and financing plan with follow-up are achieved,
- actively participating in the relevant seminar series,
- completing a doctoral thesis.

## **Organisation of doctoral education at the Department of Historical, Philosophical and Religious Studies**

At the department all overall matters concerning doctoral education are decided by the head of department at the meeting where decisions are made. However, several different authorities within the department take part in preparing and managing doctoral education. They include:

### *Council for Research and Doctoral Education (FoFou)*

The FoFou Council is a preparatory body and referral body for questions relating to doctoral education, among other things. This may concern issues such as calls for proposals and admissions, review of doctoral subject areas, programme syllabuses, follow-up of individual study plans (one-year follow-up), employability of doctoral students, overall supervisor questions and interaction with doctoral student councils. All employees of the department may raise questions in the FoFou Council by either directly sending a letter to the Council or by contacting one of the council members. For questions regarding doctoral education, the director of doctoral studies can be contacted.

### *Director of doctoral studies*

The main task of the director of doctoral studies is to initiate, prepare and implement the activities for which the FoFou Council is responsible regarding doctoral education. The director of studies serves as Chair of the FoFou Council along with the deputy head of department. The director of studies also answers both internal and external questions about doctoral education. As a member of the management team of the department, the director of studies brings up matters from the FoFou Council at the decision meeting and refers questions from the department management to the Council for preparation.

### *Administrator of doctoral education*

The administrator registers the activities of individual doctoral students in Ladok. Supervisors and course coordinators report completed credits/grades to the administrator, and doctoral students report progress and any study interruptions to the administrator and request print outs from Ladok from the administrator. The administrator is a member of the FoFou Council.

### *Examiners*

The examiners for doctoral education in each subject have the primary responsibility for approving grades in doctoral education. The examiner also handles credit transfer of doctoral studies. And at the end of the course, the examiner evaluates the courses a doctoral student has taken within the framework of doctoral education and determines whether all (especially compulsory) courses have been completed. The department has at least one examiner per doctoral subject area, usually the professors.

### *Supervisor committees*

The Faculty of Arts and Humanities Doctoral College (FADC) and faculty research coordinators regularly organise supervisor committees for the entire faculty. The committees are a forum for discussing current issues concerning doctoral education at the Faculty. The supervisor committee at the department convenes if specific reasons exist. The task of the committee at both faculty and department levels is primarily to informally discuss and exchange experiences and advice regarding supervisor educational training and emerging supervisory situations. If issues arise in the supervisor committee of more generally concern to doctoral education or that need to be dealt with more formally, this is to be presented to the FoFou Council. Within each subject, the head of academic discipline may also convene a supervisor committee.

### *Doctoral student councils*

Doctoral students at the department organise themselves into a doctoral student council to discuss common concerns. The council appoints representatives to the various councils of the department, such as the FoFou Council. All overall questions and suggestions for change concerning doctoral education are to be sent to the doctoral student council for comments from doctoral students.

### *Head of academic discipline*

The department has a head of academic discipline (usually a professor) for the main field of study, in this case for each subject where there is a doctoral education plan. The head of academic discipline answers requests for the subject's opinion in terms of research and doctoral education. This may involve hearing doctoral students' views of supervisors, ensuring that doctoral courses are provided, assessing incoming doctoral theses manuscripts and documents and serving as a contact person for the subject when evaluating the doctoral education. The head of academic discipline convenes the supervisor committee on the subject as needed. The heads of academic discipline and supervisors also share responsibility for ensuring that there is a final overall reading of doctoral thesis manuscripts before they are sent to print.

### *Research schools*

Doctoral education primarily takes place at the department and within the respective main fields of study. However, for all doctoral students at the Faculty, participation in a research school (such as the FADC) is compulsory. The goal of the research schools is to develop skills in research work and employability, both within and outside academia. Research schools often fulfil an important function by empowering doctoral students in gaining the more generic knowledge described in the general syllabuses.

### **Admissions**

At the Faculty of Arts and Humanities, only doctoral students may be admitted to doctoral education who:

- meet the basic and specific entry requirements,
- are judged to have the ability to complete the education,
- can be offered relevant supervision and acceptable conditions in other respects,
- have funding throughout the education.

Meeting general entry requirements means that the student has:

1. completed a master's degree,
2. completed course requirements for at least 240 credits, including at least 60 credits at master's level; or
3. acquired essentially equivalent knowledge in some other way, within or outside the country.

The Faculty Board may, for an individual applicant, grant exceptions to the general entry requirements if there are specific reasons for doing so. (Higher Education Ordinance [HEO] Chapter 7 Section 39)

Each general syllabus of the main field of study for doctoral education also regulates the specific entry requirements.

### *The department's admission guidelines*

At the department, the head of department, as delegated by the Faculty Board, admits students to doctoral education.

The department ensures that the planned doctoral thesis project is reasonably delimited and feasible and that the research material needed for the thesis work is available.

For a doctoral student to be admitted, relevant supervision at the department needs to be available.

The intended principal supervisor will normally be employed at the department. Exceptions may be made if specific reasons exist. However, the principal supervisor must be employed at Umeå University. An external assistant supervisor may be considered if a specific competence is

lacking at the department or if a supervisor leaves the department and it is desirable that they continue as supervisor. Agreements are always to be drawn up when hiring an external supervisor, and the contract is to be approved and signed by the head of department.

The department requires that doctoral students be present in the educational environment and can be on site in the department in accordance with the department's applicable guidelines.

The department strives to mainly admit doctoral students who can be employed in a doctoral position with full funding. Regardless of funding, full funding of the doctoral position, including funding for supervisory costs and other attendant costs, is to be guaranteed prior to admission. If necessary, written agreements will be drawn up with the funding party to ensure the position is fully funded.

#### *Procedures for preparing for doctoral appointments*

1. Researchers with a doctoral degree and who intend to apply for projects involving doctoral positions should always inform the head of department and director of doctoral studies in ample time before the application. Normally, the department can only accept externally funded doctoral projects if they are fully financed. It is important to consider whether the project entails costs for supervision, travel for the doctoral student, rooms and other operating costs according to the fully financed principle. Discuss this with the administrative coordinator of the department.
2. All doctoral positions and admissions to doctoral education are to first be prepared by the FoFou Council. The Council appoints external experts and provides instructions to these experts. In projects, it may appear that the intended doctoral student has already been designated. Before accepting this type of doctoral student, however, representatives of the relevant main field of study at the department and the Doctoral Student Council need to be given the opportunity to state their opinion on the matter.
3. The external experts consist of three to five qualified individuals from the relevant main field of study at the department or a mixture of the relevant main fields of study. Consideration should be given to the group's gender balance. Student representatives (doctoral students) are co-opted (for remuneration) to address student interests and to contribute a doctoral student perspective, such as during interviews. If an externally funded project is involved, external experts should be included. The external experts' task is to examine whether applicants meet basic and specific eligibility requirements and other criteria. The external experts then assess which of the eligible applicants is most suitable for the doctoral position. Interviews are to be conducted either on site or online. The work of the experts results in a written report in which applicants are ranked with a qualitative line of reasoning for the ranking, with the top candidates in particular.
4. A representative of the external experts presents the assessment and ranking to the FoFou Council, which may ask questions and make comments. The Council verifies that the assessment has taken into account the formal admission criteria.
5. The head of department decides who is admitted to doctoral education after presentation by the director of doctoral studies with written documentation from the external experts

and possibly from the FoFou Council in cases where the Council considers that something needs to be added to the experts' supporting documentation. Decisions on appointment as a doctoral student cannot be appealed (HEO Chapter 12 Section 2).

## **Establishment and follow-up of individual study plans**

### *Establishment of individual study plan*

The Higher Education Ordinance stipulates that each doctoral student is to have an individual study plan. The pre-printed form specifies what should be included in the study plan. Initially, supervisors have an important task in helping doctoral students narrow their project and begin work on the doctoral thesis. The study plan is drawn up in collaboration with the principal supervisor and submitted to the director of doctoral studies for approval no later than two months after the doctoral student begins their studies. Before establishing the individual study plan, the doctoral student and supervisor meet with the director of doctoral studies to discuss the study plan. Immediately after admission, doctoral students also meet with the director of doctoral studies and the head of department. At this meeting, the doctoral student is informed of the framework for doctoral education, local procedures and the rights and obligations of a doctoral student. The discussion also includes the doctoral student's objectives and views of doctoral studies and the structure of the department as a whole.

### *Follow-up of individual study plans for doctoral students*

The doctoral student initiates the writing and revision of the individual study plan, and later this is done together with the supervisor. But it is the principal supervisor's responsibility to ensure that the plan is submitted at the appointed time, normally in October, unless the revision takes place in conjunction with one of the compulsory follow-up milestones (see below). Since doctoral students normally are accepted for autumn semesters, the individual study plan should apply to the academic year. The study plan is to describe what form and frequency supervision takes and the intended learning outcomes of each doctoral student. If the doctoral student does not achieve all the objectives set out in the study plan despite full-time work and the presentation of results, this should be addressed at the annual revision by making the individual study plan more rigorous. Since the course component is specified in the general syllabus, it is important that the doctoral thesis be focused and adapted, and that the supervisor and doctoral student are in agreement on this. Doctoral students are required to regularly report their actual work and research findings in written form (both during preparation and in finished form) to their supervisors. In connection with the establishment and follow-up of the individual study plan, the doctoral student and supervisor should also reflect on roles and expectations – what the doctoral student expects from the supervisor and what the supervisor expects from the doctoral student.

### *Follow-up system for the individual study plan*

The annual revision of the individual study plan takes place in consultation with a specific reference group linked to the doctoral student (for doctoral students admitted **before 2015**, however, there is no reference group). At the Department of Historical, Philosophical and Religious Studies, the reference group currently consists of the supervisors and the director of doctoral studies. When the plan is revised after about one year of study, it is to be reviewed by the FoFou Council, with the main supervisor reporting and with the doctoral student as co-



opted. The Council is to especially examine the feasibility of delimitations and timetables. The study plan can then be approved with possible revisions.

During the third year of education, a compulsory mid-way review takes place well before the start of the last year of education (normally around 60 per cent and no more than 70 per cent of the education). This refers to a seminar with an external, remunerated reviewer. At the seminar the doctoral student reports on the progress of the doctoral thesis so far. After the seminar, an assessment meeting assesses what has been done and what remains to be done regarding the doctoral studies and, in particular, work on the doctoral thesis. In addition to the doctoral student, the meeting is attended by supervisors, the external reviewer, the director of doctoral studies and an additional assessor. The additional assessor should be a researcher with a doctoral degree who is not directly involved in the research of the doctoral student, but the individual can work in the same department. When the director of studies cannot attend, the head of academic discipline serves as leader of the assessment meeting. If the head of academic discipline is a supervisor or for other reasons cannot chair the meeting, the director of studies, in consultation with the principal supervisor, arranges a replacement. A revised individual study plan is submitted to the director of doctoral studies, no more than three weeks after the mid-way review. The principal supervisor is responsible, in consultation with the director of doctoral studies, for conducting the mid-way review and the assessment meeting.

At the start of the final year, a meeting is held with the supervisors, the doctoral student and the director of doctoral studies. The principal supervisor initiates this meeting by contacting the director of doctoral studies. This meeting discusses the final phase of writing the doctoral thesis, the supervisory situation, final review of the thesis, the last overall reading, publication, the external reviewer and budget for defence of the doctoral thesis. A detailed timetable is drawn up with a completion date. As a basis for the meeting, a revised individual study plan is developed. The study plan is then adjusted as soon as possible after the meeting and submitted to the director of doctoral studies (within two weeks). An external, remunerated reviewer and additional hired co-assessors of any number normally conduct the final review of manuscripts. The final review can either occur in conjunction with a public seminar (known as the final review) or conclude with only the final reader group (external and internal readers, doctoral student, and principal and co-supervisor) present. The director of doctoral studies does not normally attend these occasions.

The department ensures that funds are allocated for both mid-way review and final review (currently a total of SEK 25,000 for both occasions). These funds cover the fees (currently SEK 5,000, excluding social security contributions) for an external reviewer on both occasions and the external reviewer's travel and hotel costs.

This follow-up model is intended to allow doctoral students to have control over their research studies and complete them within the allotted time. Discussing and reviewing the delimitations and focus throughout the education should also ensure quality. This model also supports both the supervisors and the doctoral student.

During education, the director of doctoral studies is to be notified if problems with the studies arise, such as substantial neglect of obligations under the individual study plan by doctoral students, conflict between the doctoral student and supervisor or anything else that inhibits completion of the education. Both supervisor and doctoral student can report this. In turn, the director of studies is to refer the matter to the FoFou Council for investigation (unless the problem can be resolved quickly). If the problem cannot be resolved, it should be passed on to the Faculty or to the Vice-Chancellor if withdrawal of resources comes into question.

## **Supervision**

The delegation of authority stipulates that the head of department appoints supervisors. Appointing supervisors involves staffing aspects and scholarly, subject and supervisory competence. As a result, it is handled by the director of doctoral studies, the head of academic discipline for the respective doctoral subject area and the department jointly.

The most important criterion for becoming a supervisor is scholarly subject expertise in a broad sense.

The department requires all supervisors, both principal and assistant supervisors, to have supervisor training. If prospective supervisors lack this training, they can be appointed provided they complete the training as soon as possible and within one year after appointment. If this requirement is not met after one year, the supervisor situation is reassessed. Exceptions to the requirement of supervisor training can be made for supervisors with extensive experience who have guided four students to their defence of theses, including at least three in the capacity of principal supervisor. However, it is recommended that they also undergo supervisor training.

The staffing criteria are that the principal supervisor is to be employed by the department and is able to provide supervision (it needs to fit into the job description). Exceptions can be made for special reasons, such as a doctoral student associated with one of the University's research centres. However, the principal supervisor is to be employed at Umeå University. When this is the case, the assistant supervisor should be employed at the department. In certain cases, external assistant supervisors may be hired if the department lacks the specific expertise required. When an external supervisor is appointed, an agreement is drawn up regulating the supervision's scope, content and financial remuneration for the work and possibly other costs. Only the head of department can approve this type of agreement, and supervision may not begin before such an agreement is in place.

The doctoral student should always be included in discussions about supervisors, but doctoral students have no right to appoint their own supervisors.

### *Replacement of supervisors*

The Higher Education Ordinance specifies that: A doctoral student who so requests is permitted to change supervisor. In other words, a doctoral student has the right to change supervisors. A doctoral student contacts the director of doctoral studies, who then arranges the supervisor change together with the head of department and the head of academic discipline. When the

director of studies is the supervisor, the doctoral student contacts the head of department. A new supervisor is appointed according to the same criteria mentioned above. When a doctoral student requests a change of supervisor, the standard form for this is to be used. The Dean is responsible for assessing the request and taking any action in cases where the doctoral student and supervisor do not agree that they are fulfilling their obligations under the individual study plan. When changing supervisor, the individual study plan needs to be revised immediately. The revision takes place together with the incoming supervisor and is submitted to the director of doctoral studies no later than three weeks after the change in supervisors.

In connection with the revision of the individual study plan, the focus of the supervision should be routinely discussed. If a supervisor retires, begins sick leave, leaves to become a visiting research fellow somewhere else or changes workplaces, the department management is to ensure that the supervisor situation is re-assessed. This is done in consultation among the doctoral student, supervisor and director of doctoral studies. In all cases of supervisor changes, the head of department needs to approve the change before the change can take effect.

Funded supervision will cease at the end of the education. When a student's doctoral studentship and/or education ends, the director of doctoral studies convenes a meeting with the doctoral student, supervisors and a doctoral trade union representative (if desired) to discuss the situation. If a date for defence of the doctoral thesis can be determined (a maximum of six months in advance), the supervision can continue until then and be funded with 50 extra clock hours. Otherwise, the funded supervision will cease. To regain access to funded supervision, the doctoral student needs to submit a manuscript to the director of doctoral studies. The manuscript is forwarded to the head of academic discipline in the subject for assessment. If it is determined that the manuscript can be ready for printing within a maximum of six months, a supervisor can be appointed to assist the doctoral student with the final work. The supervision will not be as comprehensive as during the education. The department can also employ an additional person on an hourly basis to review the final manuscript. If the manuscript still cannot be finished within the allotted time, the funded supervision is retracted until a print-ready manuscript is submitted. If this manuscript meets a standard corresponding to a doctoral thesis, the department will assist in arranging the defence of the thesis,

### **Doctoral courses**

The supervisors of the respective subject and the heads of academic discipline have main responsibility for initiating and designing courses. The director of doctoral studies is responsible for coordinating the range of courses offered, providing information about the courses and transdisciplinary courses within the department. Doctoral students can also initiate courses, but this should be done in consultation with a researcher with a doctoral degree at the department, the examiner for the subject in question and the director of doctoral studies.

The department annually allocates at least 12 clock hours per doctoral subject area to ensure that the compulsory courses can be offered regularly with some funding. The department may also provide financial support in the form of hours to teachers for other doctoral courses if the financial situation permits. To coordinate this with the department's regular staffing process,

courses scheduled for the autumn semester will be reported to the director of doctoral studies by April 15 of the previous semester and by October 15 for courses scheduled for the spring semester. To allow calculation of the number of hours and possibly other resources that need to be allocated, information should be appended on intended design, teachers involved, any visiting lecturers, other possible costs and any other funding. The documentation should also make clear how many doctoral students are expected to take the course and the context in which the course is included (subject area, compulsory course, faculty or university-wide course, national doctoral course, international elements, etc). The head of department decides on support for courses.

#### *Rules, course syllabuses and course certificates*

The same rules that apply to lower level courses apply to doctoral courses. This includes the requirement that syllabuses and schedules be completed and available at least one month before the start of the course, that certificates of enrolment be issued after the course has been completed, that correction and reporting occur within the allotted time and that students are allowed to evaluate the course. Teachers who have been responsible for the course are to ensure issuance of course certificates, which doctoral students can use after graduation to demonstrate what their education in practice involved.

All doctoral courses, including individual literature courses, are to have a syllabus with a list of literature reviewed and approved by the director of doctoral studies.

### **Expense allowance and travel funds**

#### *Faculty-funded doctoral students*

Faculty-funded doctoral students receive SEK 25,000 in expense allowance per year from the Faculty. The funds are tied to the specific faculty-funded doctoral student and are to be used for conference trips, archive trips, book purchases and other materials related to doctoral theses that cannot be funded within the department's regular framework. The funds should primarily be used for internationalisation, such as international conference and contact trips and/or archive trips and for proofreading. The funds can also be used to cover the costs of courses at other institutions, nationally or internationally. The funds are not to be used for the purchase of computers, which are to be provided by the department.

The use of an expense allowance is to be planned as much as possible in preparing the individual study plan. The supervisor and doctoral student should agree on how the funds are used. In case of disagreement, the supervisor and/or doctoral student notifies the director of doctoral studies, and the matter is subsequently handled by the department's FoFou Council.

The funds should primarily be used within one year. If the funds are to be saved over several years, a long-term plan for this is to be attached to the individual study plan.

#### *Externally funded doctoral students*

Externally funded doctoral students are to primarily use the expense allowance associated with the research project through which they are employed. Project managers are to apply for this in the application to the external funders in accordance with the full cost principle. If such funds

are not allotted in full or at all, the doctoral student should first apply for funds from the Faculty. Otherwise, the project managers and/or the doctoral student can apply for funds from the department. The contribution of the department depends on the amount of funds the externally funded project can contribute to it. The head of department decides this.

#### *Doctoral students not funded through projects or the Faculty*

Doctoral students who are not funded by projects or the Faculty are to bear the costs of travel to the department and for travel included in the work on the doctoral thesis. If the financial situation permits, the department may grant travel allowances for active participation in conferences and doctoral courses.

#### **Evaluation of doctoral education**

As part of the quality assurance procedures within doctoral education at the department, routine evaluations are conducted. All doctoral students who participate in or have completed training at the doctoral level are to have an opportunity to share their experiences and views on the instruction. In addition to minor evaluations related to individual doctoral courses, for which the teachers involved are responsible, each doctoral student is to be provided an opportunity to regularly evaluate doctoral education. The director of doctoral studies is responsible for these evaluations. The director of doctoral studies is responsible for providing opportunities for separate conversations each year, when each doctoral student has the opportunity to express their views on the education. After defence of the doctoral thesis, students are to be invited to give a comprehensive evaluation of the entire doctoral programme. The evaluation should include the following points:

- The framework of the doctoral education environment: questions concerning the establishment and follow-up of individual study plans; the organisation of doctoral education; information, administrative support and relation to the research school and its importance.
- Content of the doctoral education: questions about work on the doctoral thesis and courses.
- Support and guidance: questions on supervision, seminar activities and other intellectual and methodological support in the work on the doctoral thesis and during the education.
- Knowledge and competencies: questions about perceived intellectual development during doctoral studies, the skills the education has imparted and perceived benefits of doctoral studies.
- External factors: issues related to internationalisation and networking within and outside the university world and employability.
- Doctoral satisfaction: overall assessment of the doctoral studies.

Issues raised in the context of evaluations and which the director of doctoral studies considers generally important are addressed for further preparation in the FoFou Council.

## **Checklist prior to the defence of a doctoral thesis at the Department of Historical, Philosophical and Religious Studies**

The Faculty of Arts and Humanities has a pre-defence of doctoral thesis checklist on Aurora: <https://www.aurora.umu.se/en/organisation-and-management/organisation/faculties/faculty-of-arts/forskarutbildning/checklist-public-defence/>

The faculty page has more links to regulations and documents, but much of the information is the same here as there. However, some things are specific to the department and it is useful if all doctoral students use the following checklist and consult the Faculty checklist only if the rules and regulations need to be consulted or specific links to documents need to be accessed. The doctoral student (alternatively, the supervisor) is responsible for addressing most of the items in the checklist in a reasonable amount of time.

### *Planning meeting before the final year*

One year before the scheduled defence of a doctoral thesis, the doctoral student, supervisor and the department's director of doctoral studies will review the schedule and the financial plan for the printing of the doctoral thesis and defence of the thesis. At this meeting the external reviewer and members of the examining committee should also be discussed. This meeting is described in this document on page 9. At some point during the last seven months, a final review should also take place (described in this document on page 9).

### *Reimbursement*

Departments of the Faculty of Arts and Humanities receive a defence of dissertation grant for doctoral students whose employment has been funded by the Faculty. The defence of dissertation grant, which currently amounts to SEK 55,000, is awarded to doctoral students with ongoing doctoral studentships and doctoral students whose doctoral studentships have ended. Doctoral studentships co-financed with others receive half of the amount. The departments do not receive defence of dissertation grants for externally funded doctoral students. This applies to doctoral students with ongoing doctoral studentships and doctoral students whose doctoral employment has ended. The defence of dissertation grant covers costs for printing the doctoral thesis (at least 20 copies); fees to the reviewer (SEK 10,000 + LKP [additional social insurance contribution]); and travel and accommodation for the reviewer and external examining committee members.

### *Request for time and place of defence of doctoral thesis and licentiate seminar*

No later than four months before defence of the doctoral thesis, the doctoral student and supervisor are to contact the director of doctoral studies and clarify their intentions to defend the doctoral thesis and indicate an intended date for this. It may be useful to make this contact even earlier because time may be needed to decide who will be the external reviewer and ensure that person can travel to Umeå on the date in question. In addition, the last extension of the position needs to be made before the request for the time and place of defence of doctoral thesis is submitted. When the request has been submitted, the position cannot be extended beyond the booked date of defence of the doctoral thesis.

No later than 12 weeks before defence of the doctoral thesis, the doctoral student is to contact Kathrine Flyborg at the Faculty Office of Arts and Humanities (the Dean's Office) to provisionally book the desired time for defence of the doctoral thesis. This should be done as soon as a date has been discussed with possible reviewers. The more formal application for defence of the doctoral thesis is submitted by the doctoral student no later than 10 weeks before the defence of the doctoral thesis. (The doctoral student is responsible for doing this because a doctoral student has the right to apply for defence of the doctoral thesis even if the supervisor expressly opposes this). There is a special form for the licentiate seminar and for defence of the doctoral thesis in the Faculty checklist in the link above. *Please note that according to the Faculty checklist, it is sufficient to request defence of a doctoral thesis eight weeks prior to the intended event, but to enable the department to nominate an examining committee, this request must be received 10 weeks prior to defence of a doctoral thesis.*

#### *Chair, external reviewer and examining committee*

The Dean of the Faculty of Arts and Humanities selects the chair, external reviewer and examining committee, based on suggestions from the department. According to the existing rules, all examining committee members need to have at least the qualifications of a docent (associate professor); at least one of the examining committee members needs to come from another university; a maximum of one examining committee member may come from the doctoral student's department; and all members of the examining committee may not be the same gender.

Normally, at least one examining committee member works at Umeå University (if for no other reason, to keep costs down). The reserve member should also work at Umeå University, and the designated reserve should also be able to replace any member of the examining committee without the result being a committee where all members are the same gender.

A proposal for an examining committee, external reviewer and chair (normally the head of academic discipline serves as the chair) is drawn up by the head of academic discipline and/or supervisors. A template – specifying the opponent, three regular examining committee members, a reserve on the examining committee, and the chair of the doctoral thesis defence – is filled in by the head of academic discipline or supervisor. The director of doctoral studies at the Department of Historical, Philosophical and Religious Studies furnishes the template. The proposal is sent to the director of studies as early as possible in the process, but no later than 10 weeks before the defence of the doctoral thesis. After the head of department approves the proposal, it is sent (by the director of studies) to the Dean for a decision.

Since the defence of doctoral theses budget is limited, it is also good to inform the financial administrator at an early stage, especially if the defence is expected to require many external reviewers (reviewer and examining committee) with long travel itineraries.

#### *Booking premises*

Please note that booking time for defence of a doctoral thesis does NOT mean that the premises for the event are booked. The doctoral student or supervisor books the premises, and this should be done well before the defence of the doctoral thesis (12 weeks). The premises should be an auditorium and be booked for at least three hours.

The premises for the meeting of the examining committee also need to be booked. The study administrator for doctoral education books the premises after the date and time is announced by the supervisor or doctoral student. The premises for the examining committee should be booked for three hours beginning two hours after defence has started. There should be an overlap of one hour in the booking of premises for defence of a doctoral thesis and the room for the meeting of the examining committee because it is impossible to know how long a defence will continue.

### *Guidelines on publication, public posting and delivery of doctoral thesis*

Since 1 September 2003, a regulation has specified that all doctoral theses at Umeå University that are not issued by publishers are to be published online according to Umeå University Library guidelines.

Umeå University Library provides information about what applies before the thesis is submitted for printing, electronic publication and delivery.

Traditionally at Umeå University, the author of the thesis posts the thesis at least three weeks before the public defence of the doctoral thesis, by literally nailing it to a wall in the library (*spikning*). Since 2010 public posting electronically in the university's DiVA publishing database has been compulsory (no later than three weeks before public defence of the doctoral thesis), while the traditional public posting (*spikning*) is optional.

Umeå University Library and its special websites for doctoral theses provide details about public posting, registration, delivery of the thesis, ISBN numbers, etc. ISBN numbers can also be ordered there. A link to the library's theses pages can be found in the Faculty checklist in the link above.

Be sure to contact the printing company well in advance (at least four months before defence of the doctoral thesis) so that the thesis can be printed and delivered to the doctoral student no later than three weeks before defence of the thesis (preferably with some time to spare). Also keep in mind that you need to allow time for a final overall reading before the thesis is printed (sometimes referred to as "green reading"). The head of academic discipline is responsible for this happening at the initiative of the supervisor.

A doctoral thesis written in Swedish should have a summary in English or another internationally practicable language. In some cases, another language may also be relevant for the summary of the thesis (such as a minority language), but there still needs to be a summary in an internationally practicable language (preferably English). Theses written in English should have a summary in Swedish.

For licentiate theses, a few other rules apply. See the Faculty checklist in the link above.

### *Public posting sheet and abstract*

The public posting or doctoral thesis sheet may be loose-leaf or be bound in the doctoral thesis. The front page of the public posting sheet shows the complete title of the doctoral thesis; the name of the series and the number of the book if it is part of a series (information about series should be between the Umeå University logo and the title of the thesis); author's name; and, at the bottom, the external reviewer's name, title, department and higher education institution.



The back of the sheet shows the printed title of the thesis, author's name, department from which the thesis originates, ISSN and ISBN numbers, number of pages and a 250-to-500-word abstract, usually in English. The faculty checklist (see above link) has a link to the public posting sheet template.

The abstract summarises the content of the thesis and contains keywords and other information relevant for the search function in computerised information systems.

If the public posting sheet is loose-leaf, the abstract is to also be included in the thesis – for example, on the back of the title sheet or on the following right-hand page.

### *All courses completed*

Before notification of the date of the defence of a doctoral thesis (or at the latest in connection with the public posting), the principal supervisor is to request a Ladok extract from the study administrator for doctoral education and send it along with the form “All courses completed” to the head of academic discipline. The head verifies that all courses (especially compulsory courses) are reported, signs the form and returns it to the study administrator. If there is any doubt about whether all courses have been completed, it is of course a good idea to do this much sooner.

### *Press release and posters*

Prior to the defence, the doctoral student writes a press release providing information about research findings and the defence of the doctoral thesis. Guidelines on how the doctoral student writes a press release can be found in the Faculty checklist (link above). The press release is sent out through faculty communications officers. The department's communications officer prints the posters. The doctoral student needs to contact the communications officer to ensure that this happens and also to provide the appropriate images for the posters (for example, a version of the doctoral thesis cover).

*Checklist in table form*

<b>Things to do</b>	<b>Remaining time to the defence of doctoral thesis (preferable)</b>	<b>Remaining time to the defence of doctoral thesis (latest date)</b>	<b>Primary responsibility</b>
Last-year meeting	One year	One year	Supervisor/doctoral student
Final review (final seminar/reading group)	Seven months	Four months	Supervisor/doctoral student
Contact with director of studies about the preliminary date	Six months	Four months	Supervisor/doctoral student
Contact with intended external reviewer	Six months	Four months	Supervisors
Contact with printer	Five months	Four months	Doctoral student
Check the defence of doctoral thesis budget	Four months	14 weeks	Doctoral student
Last extension of position	Four months	12 weeks	Doctoral student
Preliminary booking of date with the Faculty	Four months	12 weeks	Doctoral student
Last overall reading (“green reading”)	12 weeks	10 weeks	Doctoral student/ supervisor/head of academic discipline
Request for defence of doctoral thesis	12 weeks	10 weeks	Doctoral student
Proposal for examining committee	12 weeks	10 weeks	Supervisors
Book premises (defence of doctoral thesis and examining committee)	12 weeks	10 weeks	Doctoral student
Order ISBN number from Umeå University Library	10 weeks	Before printing	Doctoral student
Send to printer	9 weeks	Depends on quote	Doctoral student
Write and send press release	5 weeks	3 weeks	Doctoral student
“All courses completed” form	5 weeks	3 weeks	Supervisor/head of academic discipline
Contact with department’s communications officer about posters	4 weeks	3 weeks	Doctoral student
Public posting of doctoral thesis	3 weeks	3 weeks	Doctoral student

There are three clusters of information to be processed before the doctoral thesis is defended.

*With about half a year remaining until defence of doctoral thesis*

- Final review (seminar or reading group)
- Contact the external reviewer and the director of studies about the preliminary date
- Contact print shop for quotation

*With three to four months remaining until defence of doctoral thesis*

- Check the defence of doctoral thesis budget
- Arrange a final extension of the doctoral studentship
- Preliminary booking with the Faculty
- Final overall reading
- Request for defence of doctoral thesis
- Proposal for examining committee
- Book premises

*In the last ten weeks before defence of doctoral thesis*

- Order ISBN number
- Send to printer
- Write press release
- Fill in the “All courses completed” form
- Contact with communications officer regarding posters for defence of the doctoral thesis
- Public posting of doctoral thesis
- Prepare the defence