

Regulations for research education at the Faculty of Science

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Description:

This document contains local regulations for research education at the Faculty of Science at Stockholm University. This is a translated version of the Swedish document. Should there be any discrepancies between the Swedish version of the document and the English translation, the Swedish version will take precedence.

Inledning

This document contains local regulations for research education at the Faculty of Science at Stockholm University. The regulations complement the governing documents Regulations for third-cycle education and summative assessment (SU FV-0755-23) and Admission regulations for third-cycle study programmes (Dnr SU FV-1.1.2-4212-20). The delegation procedures of the Faculty of Science contain information which complements the present document.

On national level research education is regulated by the Higher Education Ordinance (1993:100). The present regulatory document is thus not comprehensive regarding the rules governing education at third-cycle level. The document must be read in parallel with the above-mentioned governing document.

Announcement of student slots in third-cycle study programmes

Rules at university level

General rules for admission to research education can be found in the admission regulations for third-cycle study programmes at Stockholm University. The admission regulations contain the local rules decided by the university board that apply to admission to research education.

Regulations at the Faculty of Science

Announcement of student slots at research level should normally take place no more than 4 times per year. The advertising of slots in research education should, if possible, be coordinated within the faculty.

Decision on the announcement of student slots in research education must be indicated well in advance on the respective department's website.

Decision about how the application for a doctoral studentship should be designed is delegated to the departmental board at each department. Information on the announcements of doctoral student positions must be available on the respective department's website.

Supervision

Rules at university level

The Presidential decisions regarding supervision can be found in the document Regulations for third-cycle education and summative assessment. The document deals

with rules regarding appointing supervisors, changing supervisors, employment and competence of supervisors, supervisor training, as well as supervision and study conditions.

Regulations at the Faculty of Science

At least two supervisors must be appointed for each doctoral student.¹

An employee in the Area of Science at Stockholm University that gets appointed as supervisor for research students must have completed CeUL's supervisor training, or equivalent. In the case of new hires, the supervisor must complete the training within one year.

The responsibility for supervisors having undergone supervisor training is delegated to the head of the department.²

Re-employed teachers shall not be appointed as principal supervisors.

The subject representative

Rules at university level

There are no university-wide rules regarding the subject representatives, only rules at Faculty level.

Rules at the Faculty of Science

Each subject that provides third-cycle education must have a subject representative.

The subject representative is appointed by the Dean for a three-year period on the proposal of the head of department. The person which is appointed subject representative must be a professor.

The subject representative is responsible for the scientific quality of the education at third-cycle within the subject and that there is an adequate range of courses within the education.

¹ According to the Higher Education Ordinance

² According to the delegation procedures at the Faculty of Science

The subject representative is responsible for the assessed credit values of courses within the subject and decides upon credit transfer.

In consultation with supervisors, the subject representative assesses the quality of doctoral dissertations and licentiate theses and recommends or advises against dissertation defense or seminar.

Director of studies

Rules at university level

There are no university-wide rules regarding directors of studies, only rules at Faculty level.

Rules at the Faculty of Science

All doctoral students in the Area of Science must have access to a director of studies.

The director of studies for research education is appointed by the head of department at each department.

The director of studies must be well acquainted with the regulatory system and conditions for research education.

The director of studies must be able to provide support and advice, as well as be able to answer questions related to the education

Requirements for breadth in research education

Rules at university level

Breadth within research education is not explicitly regulated in rules at university level. However, according to the Higher Education Ordinance, a third-cycle student shall "demonstrate broad knowledge and systematic understanding of the research field" for the Degree of Doctor.

Rules at the Faculty of Science

All third-cycle programmes at the Area of Science must contain one or several compulsory courses totaling at least 10 credits to ensure broad knowledge within the third-cycle subject.

Individual study plan

Rules at university level

The Presidential decisions regarding individual study plan can be found in the document Regulations for third-cycle education and summative assessment. The document deals with rules regarding content, establishment and follow-up procedures of individual study plans.

Rules at the Faculty of Science

In the Area of Science there is an established template for individual study plans. This template, or any other document that meets the content requirements³, must be used for each follow-up of the individual study plan. In addition, there is a template for the supervisor's follow-up of the individual study plan relative to the qualitative targets for the Degree of Doctor in the Higher Education Ordinance that must be attached.

The individual study plan must be drawn up and followed up in consultation between the doctoral student and his/her supervisor. Assistant supervisors must be informed of the study plan during its development and follow-up.

The individual study plan must be followed up at least once annually. If necessary⁴, follow-up should take place more often.

According to *Regulations for third-cycle education and summative assessment* individual study plan must include the following:

- planned study funding (doctoral employment, other study funding to be specified if applicable),
- the names of supervisors and the division of responsibilities among them (expressed as a percentage or in hours, if needed),
- planning and arrangements for supervision,
- access to the workplace and other resources,
- the progression of the doctoral student's education in relation to the qualitative targets,

³ Such as the digital ISP

⁴ Such as if the doctoral student falls short in study performance within the education or neglects his or her commitments according to the individual study plan. Withdrawal of supervision and other resources requires systematic documentation in the individual study plan.

- timetable of activities included in the doctoral student's education (for the coming year or for the entire programme), and
- the scope and content of any departmental duties.

In the Area of Science, the individual study plan must also contain:

- a research plan for the doctoral student's education at doctoral level, including a timetable,
- planning for seminars, literature studies, and courses that are part of the doctoral education,
- the doctoral student's other commitments during the research education,
- information on how the supervision is organized,
- a financing plan for the doctoral student.

Where student financing does not consist of employment as doctoral student, the funding plan must indicate the social security associated with the study funding which will apply in the event of, e.g. illness or parental leave.

Scholarships in research education

Rules at university level

The Presidential decisions regarding scholarships can be found e.g. in the document Regulations for third-cycle education and summative assessment. These documents contain rules regarding study funding, restrictions on scholarships, establishment of scholarships, insurance coverage for scholarship holders and handling of scholarship matters.

Rules at the Faculty of Science

No scholarships may be established to support doctoral students who are registered at the Faculty of Science. The decision covers all funds managed by Stockholm University.⁵

⁵ Also note this Presidential decision: Admission of doctoral students with scholarship funding is not permitted in cases where the funding plan requires repayment if the doctoral student fails to fulfil the qualitative targets and thus cannot obtain his/her degree.

Half-time review

Rules at university level

There are no university-wide rules regarding half-time review, only rules at Faculty level.

Rules at the Faculty of Science

Doctoral students admitted to third-cycle study programmes at the Faculty of Science intended to lead to a doctoral degree shall undergo a half-time review. The half-time review shall be completed no later than three months after the halfway point in the study period (for full-time studies). Half-time reviews should be conducted between 15 August and 15 June. The doctoral student shall present his/her progress in their doctoral project in the form of a research seminar and a written summary that will be assessed by at least one external expert who is not the doctoral student's supervisor. The doctoral student shall be provided with feedback.

All departments and similar bodies at the Faculty of Science shall have written procedures for conducting half-time reviews. The half-time review may be replaced by a licentiate thesis and licentiate seminar, which shall be completed no later than six months after the halfway point in the study period.

Credit transfer within research education

Rules at university level

The Presidential decisions regarding credit transfers can be found in the document Regulations for third-cycle education and summative assessment. The document deals with rules concerning decisions on credit transfer, limitations of what can be credited, assessment in the case of credit and the impact of credit transfer on the doctoral student's study time.

Rules at the Faculty of Science

Decision-making on credit transfers is delegated to the subject representative.

Extension of study and employment period for doctoral students

Rules at university level

The Presidential decisions regarding extension of study and employment period can be found in the document Regulations for third-cycle education and summative assessment. It deals with rules regarding reporting of activity, requests for leave of

absence and service leave, sick leave, parental leave and leave due to elected positions within student organisations etc.

Rules at the Faculty of Science

Proposal for extension of study and employment period with reference to special grounds⁶ is submitted by the head of department and sent to the Office of Science.

A proposal from the head of department must contain the following:

- Short justification and proposed decision regarding the length of the extension.
- The doctoral student's current ISP including attachments. ISP follow-up must recently have taken place.
- The doctoral student's request for an extension with reference to special grounds.

The request for an extension must be sent to the Dean by the head of the department even in cases where he or she does not propose an extension.

Extra costs for employment time, supervision and other resources in case of extension are charged to the department.

Extension of research education and admittance to a later part of the educational programme for doctoral students admitted to studies leading to a licentiate degree

Rules at university level

The Presidential decisions regarding extension of study and employment period can be found in the document Regulations for third-cycle education and summative assessment. It deals with rules regarding reporting of activity, requests for leave of absence and service leave, sick leave, parental leave and leave due to elected positions within student organisations etc.

Rules at the Faculty of Science

If a doctoral student has been admitted to educational studies leading to a licentiate degree and wants to continue towards a doctoral degree, a renewed scientific

⁶ Special grounds may comprise other grounds than leave of absence because of illness, leave of absence for service in the Swedish defence forces or an elected position in a trade union or student organisation, or parental leave. HF 5kap 7§ and 6kap 29§

examination and an analysis of the funding plan must be made before a decision of admission to educational studies leading to a doctoral degree is made. The decision is made according to the delegation procedures at the Faculty of Science.

Summative assessment of doctoral dissertation and licentiate thesis

Rules at university level

The Presidential decisions regarding extension of study and employment period can be found in the document Regulations for third-cycle education and summative assessment. It deals with rules regarding citation, plagiarism and self-plagiarism, grading, language, review prior to defence of the dissertation, dissemination of a dissertation, defence period and location and the composition and working methods of the examining committee.

Rules at the Faculty of Science

Licentiate thesis

A licentiate thesis must have a summary both in Swedish and English. The department is responsible for the thesis's English summary being translated into Swedish.

The department must carry out a review⁷ of the thesis manuscript before a decision is made about the licentiate seminar. This review must be carried out by at least one expert who has not supervised the research student.

No later than four weeks before the licentiate seminar is to take place, the head of department must decide on the time and place for the seminar, as well as appoint an opponent, an examiner, and in cases where an assessment panel is used, the members of the panel⁸. The head of the department can delegate these decisions to the subject representative for research education.

⁷ To avoid accusations of plagiarism, including self-plagiarism, doctoral students who cite other people's research or who reuse their own previously published material must clearly refer to the cited material. If the doctoral student reproduces material and formulations from her/his own previous publications and essays in her/his doctoral dissertation this must be marked with a reference and, where appropriate, quotation marks.

⁸ Anyone appointed as the opponent, examiner or member of the assessment panel may not have a conflict of interest relative to either the respondent or the supervisor. Any circumstance that harms the confidence in impartial action can be considered a disqualifying conflict of interest.

A licentiate seminar must be publicly announced at least three weeks in advance. The licentiate thesis must be available at the department when the announcement is made, and the summary of the thesis must be entered in DiVA. At the public seminar, the research student, opponent, examiner and any other members of the assessment panel must participate.

Opponent, examiner and members of the assessment panel should have decent competence. The opponent must have his/her position or activity located at another academic environment⁹. In the assessment panel, both men and women should be represented.

The examiner, opponent and members of the assessment panel meet privately in connection with the completion of the licentiate seminar. One of the supervisors is initially present at the meeting to answer questions, but may not attend further deliberations. The examiner's decision should be taken in direct connection with the meeting.

Defence of doctoral dissertations

Conflict of interest – overall regulations

Conflict of interest is regulated in the Administrative Procedure Act (Förvaltningslagen (2017:900) 16-18 §§). Any circumstance that harms the confidence in impartial action can be considered a disqualifying conflict of interest. It is therefore important that the question of conflict of interest is taken into account when choosing opponent, member of the examining committee, chairperson for the defence and the contact person. On [Medarbetarwebben](#) the meaning of rules and legislation regarding conflict of interest which apply to people who are involved when decisions are made or prepared are described. Descriptions and examples of disqualification situations are also in the Swedish Research Council's guidelines for the handling of conflicts of interest.

Review and assessment of the doctoral thesis at departmental level

The department shall organise a review of the doctoral dissertation¹⁰. The review shall lead to a decision by the subject representative of whether a defence is recommended

⁹ Academic environment refers to a department, a part of a larger department or a close cooperation between parts of two or more departments or an equivalent grouping.

¹⁰ The examining committee members shall not be involved in the review process, since the examining committee's work shall be independent in its assessment at the defence. To avoid accusations of plagiarism, including self-plagiarism, doctoral students who cite other people's research or who reuse their own previously published material must clearly refer to the cited material. If the doctoral student

or not. The decision must be announced by either the head of the department or the subject representative. If a defence is not recommended, the doctoral student is to be notified in writing.

If the doctoral student chooses to proceed with the defence even though a defence is not recommended and the thesis is then failed, the doctoral student must cover the cost of printing the thesis and costs in connection with the defence, such as remuneration of the opponent, travel expenses for the members of the examining committee, etc.

Opponent and examining committee

The opponent should have the competence of a “docent”, or the equivalent, and may not be active at Stockholm University

The examining committee shall normally consist of three members, all of whom should have the competence of a “docent”, and are to be active in separate academic environments¹¹. A backup member shall be appointed who shall be able to replace any of the ordinary members. Of these four, at least two shall have their activities located outside Stockholm University and no more than one can come from the same department as the respondent. The examining committee may be expanded to five members in the event of special reasons.

The examining committee’s collective expertise shall be such that a careful academic examination of the doctoral thesis can be made. At least one member of the examining committee shall be familiar with the Swedish system for the defence of a doctoral thesis.

Retired teachers and researchers may be appointed as opponents or members of examining committees. The individuals in question should conduct research and the decision to appoint the person needs to be motivated. No more than one retired teacher or researcher should be appointed in the constellation opponent and examining committee for any given defence of a doctoral thesis.

reproduces material and formulations from her/his own previous publications and essays in her/his doctoral dissertation this must be marked with a reference and, where appropriate, quotation marks.

¹¹ Academic environment refers to a department, a part of a larger department or a close cooperation between parts of two or more departments or an equivalent grouping.

Both men and women should be represented on the examining committee. To encourage to more opponents of underrepresented gender¹² and to reduce the burden on individuals of the underrepresented gender, all the members of an examining committee can be of the opposite gender when the opponent is of the underrepresented gender.

The examining committee meets privately in connection with the conclusion of the public defence. The opponent and one of the supervisors can initially attend the meeting to answer questions, but may not attend the examining committee's private deliberations and decision¹³.

Chairperson for the public defence

A teacher employed at Stockholm University who holds qualification required for a "docent" shall be appointed as the chairperson for the defence. The chairperson shall be very familiar with the regulations and procedures surrounding a thesis defence. The chairperson shall not be on the examining committee.

Contact person for the opponent and examining committee members

A permanent employee at Stockholm University shall be appointed as the contact person for the opponent and the examining committee.

Defence form

A completed defence form with proposals on the opponent, examining committee, the chairperson for the defence and the contact person must be sent in to the Office of Science by the head of department or by the person formally appointed as responsible for the third cycle education subject at least seven weeks before the defence and four weeks before the thesis publication. The proposal must reach the Board of Science in sufficient time¹⁴ that the defence can take place at the intended time, even if the board finds it necessary to resubmit the proposal.

The opponent's and examining committee's preparations

The department is responsible for the opponent and examining committee's members being informed well in advance of regulations and procedures regarding the defence

¹² With an underrepresented gender means that the proportion of men/women within the category "teachers and independent researchers" at the department is under 40%.

¹³ Presidential decision. See also the Administrative Procedure Act (Förvaltningslagen (2017:900) 17§.

¹⁴ Ten weeks prior to the defence is recommended.

and that they are given access to a copy of the manuscript at least two weeks before the thesis is printed¹⁵.

If the thesis is based on articles/manuscripts that have multiple authors, the doctoral student's own contribution to the thesis shall be presented to the opponent and examining committee members.

Booking of time and room for the defence

Date and time for the defence are booked by the doctoral student. The department books a room for the defence.

The defence must normally take place in premises at Stockholm University. A defence in premises outside Stockholm University must be approved by the Dean or the Pro-dean.

At the same section, several defences may not be held at the same time. If more than one defence at the same section are to be held at the same time, this must be approved by the section dean.

Printing and distribution of the thesis

At the Faculty of Science, all doctoral theses shall be printed in at least 30 copies distributed as follows:

- 7 legal deposit copies that the printer is obliged to supply pursuant to the Swedish Act (SFS 1993:1392) on legal deposit copies of documents,
- 5 copies to Stockholm University (the Stockholm University Library (3), the President (1), and the faculty (1)),
- 8 copies to the department (archive copy (1), opponent (1), chairperson of the public defence (1), ordinary members of the examining committee (3), and backup members of the examining committee (2)),
- 10 copies to the department to be made available at the public defence.

The decision on the number of additional copies to be printed (e.g. that the respondent and supervisor have at their disposal) and how the cost of these is to be regulated rests with the head of department.

¹⁵ This makes it possible for the opponent and examining committee members to recommend postponement of the defence before it has been officially announced. A recommendation to postpone is conveyed to the appointed contact person



The delivery of printed copies to recipients pursuant to the first two points above (7 + 5 copies) is the responsibility of the printer. The department is responsible for the printed thesis being provided to the chairperson for the public defence, the opponent and the examining committee members no later than the publication date.

The thesis is sent in a suitable form to departments at Swedish universities within whose area of activity the subject of the thesis falls.