



LUND UNIVERSITY
Faculty of Social Sciences

Faculty Board

Regulations for third cycle education at the Faculty of Social Sciences

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Regulations for third cycle education at the Faculty of Social Sciences

These regulations cover research studies at the faculty's departments, and in Sustainability Studies at LUCSUS (Lund University Centre for Sustainability Studies). However, the provisions on the grant for the public defence of a doctoral thesis (see 10.2) only apply to the departments of the Faculty of Social Sciences.

1 General provisions governing research studies

These regulations are based to a large extent on the provisions for research studies set out in the following documents:

- Higher Education Ordinance (HF), SFS 1993:100, Chapters 5, 6 and 7
- Higher Education Act (HL), SFS 1992:1434
- Regulations for doctoral education at Lund University, 13 June 2013, Reg. no LS 2012/718
- Admission rules for doctoral programmes (Third-cycle Education) 16 June 2017, reg. no. STYR 2017/409
- Policy and regulations on scholarship funding for maintenance during studies or for professional development after the completion of a doctoral degree, 27 June 2013, Reg. no PE 2013/356

The faculty board has overall responsibility for research studies.

The delegation of authority from the Vice-Chancellor to the faculty board is set out in the following document:

- Regulations on the allocation of decision-making powers and the authority to sign agreements at Lund University, 3 November 2016, Reg. no STYR 2016/1277.

2 Delegations for the faculty board

The delegation of authority to the faculty board is set out in the faculty's *Delegation rules and forms of procedure for the Faculty of Social Sciences*, 23 November 2017, Reg. no STYR 2017/1480. Some excerpts relevant to research studies are listed below.

Decisions on the following are delegated to the Dean:

- The appointment of an external reviewer, a chair and an examining committee for the public defence of a doctoral thesis
- The appointment of a reviewer, chair and examining committee for the defence of a licentiate thesis
- Permission to deviate from the standard titles of doctoral and licentiate degrees
- Special permission to participate in third-cycle courses for students who have not been admitted to research studies at Lund University
- Employment of a doctoral student after preparation of the matter at the department

- Granting of authorised leave of absence from a doctoral studentship if the leave depends on circumstances other than parenthood or military service
- Extension of a doctoral studentship for reasons other than departmental duties, illness, parental leave, military service or elected office in employee or student organisations

Decision on the following is delegated to the Dean with special responsibility for education:

- The award of degrees in the first, second and third cycles with the exception of degrees in Social Work.

Decisions on the following are delegated to the human resources manager at the faculty office:

- Salary increases for doctoral students holding a doctoral studentship, following the approval of the head of department/equivalent
- Call for applications to a doctoral studentship after preparation of the matter at the departmental level

Decisions on the following are delegated to the Research Studies Council:

- Approval of course syllabi, revisions to course syllabi, and reading lists for faculty-wide third-cycle courses
- Range of faculty-wide third-cycle courses on offer, within the financial framework of the funding agreement targets
- Appointment of examiners for faculty-wide third-cycle courses

Decisions on the following are delegated to the departmental boards:

- Establishment of courses
- Approval of course syllabi, revisions to course syllabi, and reading lists
- Whether training in teaching and learning in higher education is to be a credit-earning part of the degree programme or part of the doctoral student's departmental duties
- Credit transfer of previous studies or professional activity at the research level
- The number of members in the examining committee, three or five.

Decisions on the following are delegated to the heads of department:

- Admission to research studies after preparation of the matter at the departmental level. This authority may not be delegated to another individual official at the department level. If the head of department is considered for the position of supervisor, the decision is to be made by the assistant/deputy head of department.
- Appointment of principal supervisors and other supervisors. This authority may not be delegated to another official. If the head of department is considered for the position of supervisor, the decision is to be made by the assistant/deputy head of department.
- Approval and annual follow-up of the individual study plan. This authority may not be delegated to another official. If the head of department is supervisor, the decision is to be made by the assistant/deputy head of department.
- Appointment of examiners
- Appointment of directors of studies with responsibility for research studies

- Extension of a doctoral studentship due to departmental duties, illness, parental leave, military service or elected office in employee or student organisations.

The Research Studies Council of the Faculty of Social Sciences has the task of monitoring and promoting research studies. The Research Studies Council is to prepare decisions on research studies for the faculty board, be an active party in issues concerning the training of supervisors, monitor internationalisation and discuss and follow up completed evaluations of research studies. The council is to initiate faculty-wide research studies courses.

The Research Studies Council is comprised of ten department representatives (director of studies with responsibility for research studies) and three student representatives. The dean, pro dean or vice-dean is the chair.

3 Research studies subjects

The research studies subjects at the Faculty of Social Sciences are:

- Gender Studies
- Human Ecology
- Sustainability Studies
- Human Geography
- Communication and Media Studies
- Education
- Psychology
- Sociology of Law
- Social Anthropology
- Social Work
- Sociology
- Political Science
- Service Studies

A doctoral degree or a licentiate degree can be obtained in all the subjects above.

3.1 General syllabus

There is to be a general syllabus for each degree to which research studies can lead. The faculty board approves *general syllabi* for all programmes leading to a doctoral degree or a licentiate degree. The faculty board has an established template for general syllabi.

4 Admission requirements for research studies

In order to be admitted to research studies (HF Chapter 7 Section 35) the applicant must

1. meet the general and specific entry requirements that the higher education institution may have laid down, and
2. be considered in other respects to have the ability required to benefit from the course or study programme.(SFS 2010:1064).

A person meets the *general entry requirements* for third-cycle courses and study programmes (HF Chapter 7 Section 39) if he or she:

1. has been awarded a second-cycle qualification
2. has satisfied the requirements for courses comprising at least 240 credits of which at least 60 credits were awarded in the second cycle, or
3. has acquired substantially equivalent knowledge in some other way in Sweden or abroad.

Specific entry requirements

The specific entry requirements for admission to research studies are determined separately for each subject and set out in the relevant general syllabus.

5 Admission and study finance

The procedures below apply to admission and study finance for doctoral students.

5.1 Call for applications

The departments are to announce the application period for research studies in good time. If possible, the application period should be the same from one year to another, in order to guarantee competition among applicants. The announcement is to be made through suitable national and international channels. The application period is to be at least three weeks long. Applications are submitted online via Lund University's website.

5.2 Study finance

Only as many research students as can be offered supervision and acceptable general study conditions may be admitted. Research students must have funding in the form of employment under a doctoral studentship or alternative funding in compliance with the University's regulations on admission. Study finance is reviewed in connection with the drafting of the individual study plan for each doctoral student. Research studies are to be full time, but can, at the doctoral student's request, be reduced to a minimum of 50 per cent.

Doctoral students may be admitted to research studies with an external scholarship. The decision allowing a person's research studies to be funded by an external scholarship is taken by the Dean.

5.3 Processing and selection

The decision on admission to research studies is to be prepared by an admissions committee appointed by the head of department. This committee is to include:

- the director of research studies (or equivalent),
- at least two representatives of the supervisors' committee (or equivalent), and
- at least one doctoral student representative as an observer.

The selection among the applicants who meet the admission requirements is to be made with reference to their ability to profit from the study programme. The quality of the submitted papers and project plan, as well as grades from previous study programmes are important assessment criteria. Personal suitability is also an important aspect which can be assessed through methods such as interviews and

reference checking. Other criteria, for example professional experience and assignments, can also be taken into account.

As a rule, the admissions committee's top-ranked applicants are to be interviewed.

In cases where the applicants are otherwise equally qualified for third cycle studies, the under-represented gender is to be given precedence unless there are particular reasons not to do so.

5.4 Decision on admission

At least two weeks before the decision on admission, the applicants are to be notified of their ranking and sent the justified proposal for admission. The applicants are to be informed of the opportunity to address objections to the proposal to the head of department, within a set deadline. The head of department is to consider objections and respond with a justification.

The decision on admission is taken by the head of department after a proposal from the admissions committee and after a discussion in the supervisors' committee.

Before the decision on admission, the following are to be in place:

- a plan for study finance for the entire period of study,
- available supervisors within the subject, and
- a plan for a workplace and other resources.

All applicants are to have been notified within seven days of the decision.

6 Individual study plan

An individual study plan is to be drawn up for each research student. The study plan is to include the commitments undertaken by the University and the doctoral student and a timetable for the doctoral student's education.

The study plan is to be drawn up by the principal supervisor and approved by the head of department, following a consultation with the doctoral student and the principal supervisor. The plan is to be signed by all parties. The head of department is responsible for the follow-up of the individual study plans. The plans are to be followed up annually. All parties concerned can separately request a review of the plan if there are particular reasons to do so.

The head of department is responsible for ensuring that individual study plans are set up for all research students.

7 Course syllabi

There is to be a course syllabus for all courses offered within research studies. The course syllabus is to be written in Swedish and, unless exceptional circumstances prevail, translated into English. Syllabi for faculty-wide courses are to be approved by the Research Studies Council, while subject-specific course syllabi are to be approved by the relevant department board.

8 Supervision

Each doctoral student is to have a principal supervisor with the qualifications of an associate professor/reader and at least one other supervisor. Completed introductory training for supervisors in research studies is a requirement for appointment as a principal supervisor or a supervisor for newly admitted research students.

The doctoral student is entitled to supervision for a period corresponding to four years of full time study. The departments are to offer sufficient supervision resources to enable students to complete the research studies programme within the net study time. The total supervision time is distributed over the study period according to the nature of the studies, which normally means that the intensity of supervision varies from one semester to another.

The supervisor is to be appointed by the head of department in consultation with the director of research studies (or equivalent) and after a discussion with the doctoral student, whose wishes are taken into account as far as possible. The doctoral student has the right to change supervisors. The request to change supervisors is to be submitted to the director of research studies. The decision is to be taken by the head of department. In cases where the director of research studies is the supervisor, the request to change is to be addressed to the head of department. In cases where the head of department is the supervisor, the decision is to be taken by the assistant head of department (or equivalent). The decision on a change of supervisor is to be taken promptly so as to avoid delays in the doctoral student's progress on the programme. The doctoral student is to be able to continue his or her thesis work with the same principal focus as was specified at the time of admission. The change of supervisor is to be documented in the individual study plan and followed up in subsequent revisions.

The supervisor should

- assist in the choice of a thesis topic and ensure that the proposed topic is realistic and feasible
- review and comment on the manuscript and other material
- recommend courses and interesting and relevant reading
- assist in the establishment of contacts with other departments within Sweden and abroad
- contribute to enabling the doctoral student to visit and take part in national and international conferences and meetings
- assist in the preparations for the public defence of the thesis.

The supervisor and the doctoral student share responsibility for following up the individual study plan and for taking initiatives for continuous supervision. At the latest in connection with the annual follow-up of the individual study plan, the parties are to draw attention to any problems in the study programme or funding and take measures to rectify them.

In order to prevent conflicts between the doctoral student and the supervisor, any potentially contentious issues should be discussed in the supervisors' committee. The head of department and/or director of research studies should be promptly informed of potentially contentious issues, before these issues result in conflict. In case of conflict between the doctoral student and the supervisor, the head of department is to be informed. In consultation with the director of studies, the head

of department has a responsibility for managing and resolving the conflict. In cases where the head of department is the supervisor, the director of research studies is responsible for taking the matter to the faculty level. If the conflict cannot be resolved at the department level, the Pro Dean, supported by the faculty's research studies manager, takes over responsibility for managing and resolving the conflict.

8.1 Withdrawal of the right to supervision and other resources

If a doctoral student significantly neglects the commitments he or she has undertaken in the individual study plan, a decision can be taken to withdraw the doctoral student's right to supervision and other educational resources. A supervisor who observes such neglect of a doctoral student's commitments in the individual study plan is to report the matter in writing to the head of department, if it is not possible to resolve it in any other way. The doctoral student is to be offered the opportunity to make a statement, after which the head of department determines whether the faculty board will take a decision on the withdrawal of resources. The faculty board is to review whether the department has fulfilled its duties to the doctoral student. The decision on withdrawal of resources is taken by the Vice-Chancellor after a proposal from the faculty board. The doctoral student can appeal to the faculty board to regain the right to supervision and other resources.

8.2 Extension of a doctoral studentship

Extension of a doctoral studentship for reasons other than departmental duties, illness, parental leave, military service or elected office in employee organisations or student organisations is decided by the Dean.

Extension of a doctoral studentship on the grounds of elected office is regulated in *Guidelines on the extension of employment as a doctoral student due to duties as an elected student representative at Lund University, 16 June 2016, reg. no STYR 2014/776*.

9 Departmental duties

A doctoral student can take on departmental work for up to 20 per cent of full working hours. This work is to be distributed in such a way as to support the development of the doctoral student's research studies. The doctoral student is to be compensated with a corresponding extension of the total study period. Departmental duties are to be included in the individual study plan.

A doctoral student teaching on first or second cycle study programmes must have undergone two weeks' introductory training in teaching and learning in higher education. All doctoral students are to be offered the opportunity to take courses in teaching and learning in higher education of at least two weeks. The decision on whether the teacher training is to be a credit-earning component of the study programme or part of the doctoral student's departmental duties is taken by the departmental board.

10 Doctoral degree

A doctoral degree from the Faculty of Social Sciences is normally a degree of Doctor of Philosophy (PhD).

To obtain a doctoral degree, the doctoral student must have passed the courses included in the research studies programme and obtained a pass grade on a doctoral thesis.

A doctoral student has the right to request a review of the credit transfer of previous third cycle studies from other faculties or other higher education institutions within the Sweden or abroad. The review is conducted by the departmental board after preparation by the director of research studies.

Grades awarded for research studies within the Faculty of Social Sciences are pass or fail.

The head of department is to appoint an examiner for the courses included in research studies.

10.1 Doctoral thesis

The doctoral thesis can take the form of a unified, cohesive research report (monograph) or a compilation of research papers with a summary situating the parts in a holistic context (compilation thesis).

If there are several authors to a thesis (monograph or compilation thesis), their individual contributions are to be distinguished by a presentation in the introduction to the thesis or foreword.

A doctoral thesis can be written in Swedish, Danish, Norwegian or English. The Dean can, after a recommendation by the departmental board, decide that the thesis may be written in another language. A thesis in a language other than English is to be supplied with an abstract in English.

10.2 Reproduction and distribution of the doctoral thesis

The Faculty of Social Sciences recommends full text publication in the Lund University's research information system. An electronic version of the thesis is to be sent to Media-Tryck to enable the *print-on-demand* service and to guarantee access to printed copies of the thesis.

The thesis is to be produced in a paper edition of at least 33 copies and must be made available at least three weeks before the date of its public defence. Three printed copies of the thesis are to be handed in to the University Library. All copies, including those of compilation theses, are to be complete. Information on the notification of the public defence of a thesis and the distribution of thesis copies is available on the faculty's website in the document *Information for doctoral students and departments for the public defence of a doctoral thesis*.

The following exceptions apply to full text publication in Lund University's research information system:

- When the text is covered by legislation on secrecy.
- In the case of compilation theses, the summarising introduction should be published in full text. Full text publication of the articles included in the thesis or the article manuscripts is recommended but voluntary and depends, among other things, on the rules stated in the contract with each publisher. A form for requesting permission to publish an article in full text

as part of a compilation thesis is available for download. Following the defence, the student can complete the publication by uploading the articles after the end of the embargo period, usually 6 or 12 months.

- Doctoral students who intend to publish their monograph thesis in book form through a publishing house should contact the publisher for permission to publish in full text in Lund University's research information system. Some publishers allow parallel publication.

The department is responsible for procurement, production and distribution of the thesis. The faculty pays out a grant for the public defence of a thesis, which is set in the annual budget. The grant for the public defence of a thesis is transferred to the department when the thesis is handed in to the faculty office.

10.3 Public defence

The following rules apply:

- The public defence of a thesis is to take place during the semester.
- Only one public defence at a time may be held at the faculty.
- The public defence is to be announced at least three weeks in advance of the event
- The announcement is to contain information on the doctoral student's name, the research studies subject, the title of the thesis in the original language, the name of the external reviewer and details on where and when the defence will be held.
- The thesis is to be printed and distributed in advance of the announcement.
- In conjunction with the announcement, an abstract and a popular science summary in Swedish are to be published electronically in accordance with instructions from the faculty office.
- The external reviewer is to be a PhD holder or equivalent and cannot be working at the Faculty of Social Sciences.
- One of the supervisors or the examiner of third-cycle education is to be appointed chair of the public defence.
- The chair is to give the audience reasonable opportunity to ask questions and present opinions at the public defence of the thesis.

In particular circumstances, the Dean can decide on deviations from the rules above for the doctoral thesis and its public defence.

10.4 Examining committee

For a doctoral degree, the examining committee is to consist of five or three members, in accordance with the decision taken by the departmental board. The members have to have the qualifications of an associate professor/reader as a minimum standard. The examining committee is to include at least one member who is not working at Lund University. The Faculty of Social Sciences should be represented in the examining committee.

If the committee consists of three members, normally one of the members at most can represent the student's own department and only one of the other two members can be part of the Faculty of Social Sciences in Lund.

If the examining committee consists of five members, at most two of them may be working at the department where the public defence is taking place. Of the other three members, one at most can belong to the Faculty of Social Sciences in Lund.

More than one gender is to be represented on the examining committee. Requests for an exception to this rule must be justified and submitted in writing to the dean of the Faculty of Social Sciences at least six weeks before the planned date of the thesis defence.

The examining committee is quorate when all members are present.

The external reviewer and the supervisor have the right to attend the meeting(s) of the examining committee and to take part in deliberations but not in decisions. The examining committee can summon another person to contribute to the basis for the decision.

No fee is paid to the members of the examining committee. A fee for the external reviewer is set in separate regulations.

At the latest five weeks before the date of the public defence of the thesis, after a proposal from the department concerned, the Dean is to appoint an external reviewer, the members of the examining committee and a chair for the public defence.

10.5 Examining committee's report

The examining committee is to produce a report from its meetings, recording:

- The date of the public defence of the thesis
- The name of the doctoral student
- The title of the thesis in the original language and the research studies subject
- The name of the chair of the examining committee and its members, the external reviewer and the supervisor (principal supervisor) as well as whether the thesis received a pass or fail grade after its public defence.

If the thesis is awarded a pass grade, the decision is not to be justified. A member has the right to record a dissenting view in the report, but with no justification. If the thesis is given a fail grade, the decision is to be justified in writing.

10.6 Guidelines for when an external reviewer/examining committee member cancels at short notice

In the event that an external reviewer or examining committee member is unable to participate at the public defence or presentation of a thesis due to acute illness or force majeure, the following procedure applies (in case of ample notice, the public defence/licentiate seminar is to be moved to another date):

If the external reviewer cancels at short notice:

- The dean is to be notified immediately, before the public defence/licentiate seminar begins
- The examining committee is to act as the external reviewer
- The examining committee is to convene and make a decision as usual
- A brief account on the execution of the defence is to be included in the minutes

If an examining committee member cancels with short notice:

- If a substitute has been appointed, this person is to serve in the original committee member's place
- The dean is to be notified immediately, before the public defence begins
- An external reviewer may be appointed (by the dean) as an examining committee member if he/she has the qualifications of an associate professor/reader

11 Licentiate degree

A licentiate degree at the Faculty of Social Sciences is normally a degree of Licentiate of Philosophy.

A person admitted to doctoral studies has the right to obtain a licentiate degree. The study programme leading to a licentiate degree constitutes a separate course of study. A licentiate degree student who wishes to continue studying towards a doctoral degree must make a new application.

For a licentiate degree, the research student must have passed the courses included in the study programme and obtained a pass grade on the licentiate thesis.

The rules in sections 1–9 above also apply to research studies leading to a licentiate degree. However the following rules apply specifically for a licentiate degree:

- The licentiate thesis is to be discussed at a public seminar.
- A summary of the thesis is to be published on the faculty's calendar at the latest three weeks in advance. The announcement is to specify the time and place for the public seminar, as well as information on where the thesis is accessible.
- The licentiate thesis is to be reviewed by a reviewer and an examining committee.
- The Dean is to appoint a reviewer, the members of the examining committee and a chair, after a proposal from the department. The examining committee is to consist of three members who have to have the qualifications of an associate professor/reader as a minimum requirement. More than one gender is to be represented on the examining committee. Requests for an exception to this rule must be justified and submitted in writing to the dean of the Faculty of Social Sciences at least six weeks before the planned date of the public seminar.
- The proposal on the examining committee is to be submitted to the faculty office at least five weeks before the date of the public seminar.
- There is no printing grant for licentiate theses.

12 Transitional provisions

A research student who was admitted under older provisions can obtain a degree according to the general syllabus for research studies applicable at the time of admission to research studies, on condition that the syllabus does not breach the current higher education ordinance.