

Working Committee of the Faculty Board

Regulations for third-cycle education at the Faculties of Humanities and Theology

Adopted by the Working Committee of the Faculty Board
11 May 2022, item 199

1. INTRODUCTION

The present document constitutes the regulations for third-cycle education at the Faculties of Humanities and Theology. The regulations comply with the Swedish Higher Education Act and the Swedish Higher Education Ordinance (HEO), and are based on the *Lund University Admission Rules for Third-Cycle Education*, the *Regulations for Third-Cycle Education at Lund University*, and the rules of procedure and delegation at the Faculties of Humanities and Theology. The present document replaces all previous versions of the regulations for third-cycle education.

Third-cycle education at national graduate schools is sometimes subject to other provisions that complement these regulations.

2. ORGANISATION

2.1 Faculty Board

Through its Research Programmes Board, the Faculty Board is responsible for third-cycle education at the faculties, and

- is responsible for determining in which subjects the third-cycle education is to be offered, and the number of study places;
- is to regularly investigate the access and need of supervisors;
- is responsible for admission to third-cycle programmes;
- is responsible for general syllabi and individual study plans and courses offered in the third cycle;
- is to provide training for supervisors.

2.2 Responsibilities of the departments

The Faculty Board determines at which department the doctoral student is to have their primary place of work. The head of department is to appoint a principal supervisor and other supervisors¹. The head of department holds the overall financial responsibility for that department, alongside the responsibility for ongoing work environment management, with regard to both physical and mental health.

The principal supervisor, in consultation with the other supervisors, is responsible for regularly monitoring and guiding the doctoral student in their work, and to implement measures if it does not progress as intended. The work and the follow-up of the individual study plan are central in this process. In consultation with other supervisors, the principal supervisor is particularly responsible for making sure that the choice and delimitations of the topic of the thesis are realistic with regard to the allotted time of the study programme.

3. ADMISSION TO THIRD-CYCLE EDUCATION: APPLICATION, PROCESSING AND DECISION

3.1 Qualifications

The requirements for admission to third-cycle courses and study programmes are that the applicant meets the general and specific entry requirements.

¹ The faculties' delegation rules

A person meets the **general entry requirements** if he or she has been awarded a second-cycle qualification, has satisfied the requirements for courses comprising at least 240 credits, of which at least 60 credits were awarded in the second cycle, or has acquired substantially equivalent knowledge in some other way in Sweden or abroad.²

Specific entry requirements are set out in the general syllabus of the respective subjects.³

The **funding requirement** means that a higher education institution may only admit an applicant to third-cycle courses and study programmes who will be offered a doctoral position. The Research Programmes Board (by delegation of the Faculty Board) may, however, admit applicants who have some other form of funding for their studies if it considers that the funding can be guaranteed during the entire period of study.⁴ *Read more in Section 4: Funding for third-cycle studies.*

General: The number of doctoral students admitted to third-cycle courses and study programmes may not exceed the number that can be offered supervision and otherwise acceptable conditions for study.⁵

3.2 Advertisement of available doctoral positions

Doctoral positions that are funded by the faculties are advertised once a year, usually on 1 February, at least four weeks prior to the application deadline. The faculty office is to make sure that the advertisement is written in both Swedish and English. Doctoral positions within externally funded projects are normally to be advertised simultaneously so that the qualifications of the applicants can be assessed in relation to one another. If needed, externally funded doctoral positions are also advertised once a year, on 15 September.

Read more in Section 4: Funding for third-cycle studies.

3.3 Application

The advertisement of the doctoral position is to indicate how and where to submit the application.

The application is to include:

- Documentation of first and second-cycle studies (Ladok transcript or equivalent)
- First and second-cycle degree projects
- List of other relevant teaching or administrative qualifications
- Articles, reports, and lectures of an academic nature, relevant to the subject
- If applicable, language proficiency relevant to the third-cycle programme
- Project plan (max. 1,500 words, not including references).

² HEO, Chapter 7 Section 39.

³ HEO Chapter 7 Section 40 and the Lund University Admission Rules for Third-Cycle Education.

⁴ HEO, Chapter 7 Section 36, and the Lund University Admission Rules for Third-Cycle Education, Chapter 3.

⁵ HEO, Chapter 7 Section 34.

Applicants who have already been admitted to a third-cycle programme, at Lund University or another higher education institution, must also enclose an updated individual study plan for the programme.

3.4 Processing and decision

The decision on admission to third-cycle education and appointment to a doctoral position is made by the pro-dean for third-cycle education. The applications are to be processed at the department by a committee of supervisors or equivalent, by delegation of the respective department boards, and the Research Programmes Board.

The department's assessment of the applicant's ability to benefit from the programme is to be made based on all documents submitted with their application, and based on the criteria of quality, quantity, development and relevance. The department may decide to include an interview for a shortlisted group of applicants, in which case the outcome of the interviews is to be clearly stated in the decision.

The department is to issue a statement in which it ranks a sufficient number of applicants, and provides a justification for the ranking. Applicants who have not previously studied on a third-cycle programme are to take precedence over applicants with a completed third-cycle programme up to a doctoral degree in a related subject. The Research Programmes Board at the Faculties of Humanities and Theology annually establishes additional guidelines on the structure of these statements.

The department is to make sure that the applicants receive the proposed ranking, and have the opportunity to object to it within two weeks.⁶ The ranking and any objections made by the applicants, as well as possible comments from the department, are to be submitted to the Research Programmes Board, which prepares the pro-dean's decision on admission and appointment to a doctoral position. Through the office of the Faculties of Humanities and Theology, all applicants are to be informed within seven days of the decision on admissions/student finance.⁷ Decisions on admission and appointment to doctoral positions cannot be appealed.⁸

When admitting applicants with alternative funding to third-cycle programmes, the Research Programmes Board is responsible for conducting a thorough review of that funding. To facilitate the quality assessment, admissions with alternative funding is generally to take place at the same time as the general admissions to advertised doctoral positions. Only applicants who are ranked highly according to all criteria can be admitted with alternative financing.

Supervision and other resources

The number of doctoral students admitted to third-cycle courses and study programmes may not exceed the number that can be offered supervision and

⁶ Lund University Admission Rules for Third-Cycle Education, Chapter 7 Section 1

⁷ Lund University Admission Rules for Third-Cycle Education, Chapter 7 Section 2

⁸ HEO Chapter 12 Section 2, point 1

otherwise acceptable conditions for study.⁹ Before advertising available doctoral positions, the Research Programmes Board is to make an inquiry with regard to supervision and other available resources together with the departments.

Read more in Section 5.2 Supervision and other resources.

4. FUNDING FOR THIRD-CYCLE EDUCATION AND DOCTORAL POSITIONS

4.1 Funding

The forms of funding at the Faculties of Humanities and Theology are: Doctoral positions and external funding through another employer.¹⁰

Any decision on co-financing is to be made by the pro-dean for third-cycle education before the application for funding of a doctoral position is submitted to an external funder. Co-financing may not be used until after the first 75 per cent of the third-cycle programme has been completed. In addition to the funding for the doctoral position, funds equivalent to 20 per cent of employment are to be transferred to the department to cover overhead costs. The remaining overhead costs are to be paid for by the department through the funds annually allocated in the budget based on received external funding.

An applicant who wishes to be admitted with alternative funding must attach to their application a funding plan for their studies covering four years full-time/eight years part-time, or, for a licentiate degree, two years full-time/four years part-time. The funding plan is to include relevant documentation to demonstrate that the plan is viable, such as a decision from the external funder, employer, etc.

The head of department or, when applicable, other person with administrative responsibility for third-cycle education, is responsible for reviewing the funding plans and obtain any additional information needed to assess the sustainability of the plans. The funding, regardless of its form or origin, shall correspond to at least 28 per cent of the price basic amount.¹¹ The head of department is to provide their assessment of the funding plan, and then forward the matter to the Research Programmes Board. The decision on admission is to refer to the received and assessed funding plans.

4.2 Employment as a doctoral student

Leave of absence

Those appointed to doctoral positions are entitled to take a leave of absence and have their employment extended with the equivalent number of hours, due to parental leave, military service, caring for a sick child under the age of 12 (partial leave of absence, no more than 25 per cent), and for duties as an elected union or student organisation representative.

Those appointed to doctoral positions may be granted a leave of absence and have their employment extended with the equivalent number of hours, but not exceeding

⁹ HEO, Chapter 7 Section 34

¹⁰ Lund University Admission Rules for Third-Cycle Education, Chapter 3

¹¹ Lund University Admission Rules for Third-Cycle Education, Chapter 3.1, 5th paragraph

a total of 12 months, for other activities beneficial to their education, or in the case of a crisis at home or in the workplace.¹²

Those appointed to doctoral positions may be granted a leave of absence and have their employment extended with the equivalent number of hours for other reasons.¹³

The application for a leave of absence is to include a description of the activities and reason for the request. The application shall always be submitted to the head of department who, in consultation with the doctoral student's supervisor, is to make an assessment and then forward the matter to the secretary of the Research Programmes Board.

Illness

Sick leave is always to be reported to the department and the Swedish Social Insurance Agency (Försäkringskassan), as well as through Primula web. The doctor's certificate and Försäkringskassan's decision on sickness compensation are to be sent to the Salary Office at Lund University.

Departmental duties

Those appointed to doctoral positions shall primarily devote themselves to their studies. Those appointed to doctoral positions may, however, work to a limited extent with teaching, research and administration. Duties of this kind may not comprise more than 20 per cent of a full-time post.¹⁴ The departmental duties are paid for by the department or equivalent in charge of the programme as part of the doctoral position. Applications for performing departmental duties are made by the department at which the doctoral student is placed, in consultation with the doctoral student and the department or equivalent in charge of the programme (if different). The application is to include information about the location, percentage, and the start and end date of the employment, the account to be debited, as well as the doctoral student's personal details. The application is to be submitted to the secretary of the Research Programmes Board for a decision.

Salary increase

Those appointed to doctoral positions receive salary increases at two stages – after completing 120 and 180 credits (that is, 50 and 75 per cent of their third-cycle education). The application for a salary increase is to be made by the doctoral student on a separate form, and submitted to the secretary of the Research Programmes Board for a decision.

4.3 Part-time studies on a third-cycle programme

If a third-cycle student so requests, the appointment may be a part-time post but amounting to no less than 50 per cent of a full-time post.¹⁵ This means that the doctoral student can apply to have their full-time post converted into a part-time post, but it does not entitle the doctoral student to a leave of absence. A part-time post may involve a different social insurance coverage compared to a full-time

¹² See ALFA, Chapter 9 Section 2

¹³ Ordinance (1984:111) respecting leave of absence, and Ordinance to amend the Ordinance (1984:111) respecting leave of absence (1994:978).

¹⁴ See also HEO, Chapter 5 Section 2

¹⁵ HEO, Chapter 5 Section 3a

post. The student should always contact Försäkringskassan or their union for more information. A doctoral student who has been granted a part-time post does not automatically have the right to resume full-time studies. Such cases are to be assessed upon receiving an application from the doctoral student and a statement from the department.

4.4 Extension of a doctoral position

Doctoral positions are usually awarded for four years. Employment is granted for one year, followed by another year, and then for the remaining period, usually two years.

In the event of an approved leave of absence, sick leave and parental leave, the doctoral student is entitled to an extension of their employment with the equivalent number of hours, on application. For an extension, the doctoral student must have completed their duties in accordance with the individual study plan and time plan which means that they will complete their third-cycle education within an actual period of study of four years (two years for a licentiate degree).

Accordingly, extensions of doctoral positions are applicable mainly in two types of cases:

- Extensions of one or two years at a time within the standard period of the doctoral position.
- Extensions due to approved departmental duties, leave of absence, sick leave, military service, or duties as a representative within a student organisation or as an official member of a University body.

The employment is to be extended with the total number of hours lost due to approved leave of absence, sick leave, departmental duties, etc. at the end of the period of employment.

Regardless of the type of extension, the application must have reached the faculty office before the final two months of the employment, even if the doctoral student is on a leave of absence or similar at that time.

Separate instructions contain more information about applications for an extension.

5. STRUCTURE AND CONTENT OF THE THIRD-CYCLE PROGRAMME

5.1 Structure

Third-cycle education includes participation in seminars, completion of courses and other credit-earning components and the writing of a licentiate or doctoral thesis under the supervision of two or more supervisors. The period of study is to correspond to four years of full-time study for a doctoral degree, and two years of full-time study for a licentiate degree, and the scope of the thesis is to be adjusted accordingly.

Introduction

After admission, the doctoral student is to participate in the faculty's compulsory introductory course of 5 credits. A presentation and discussion of the supervisor's and the doctoral student's rights and obligations, as well as their expectations on one another, is to take place in connection with drawing up the individual study

plan. An important aspect of establishing the initial individual study plan is to specify the topic of the thesis.

Courses and credit-earning components

Courses and credit-earning components are to comprise 60 credits for a Degree of Doctor and 30 credits for a Degree of Licentiate. The general syllabi for third-cycle programmes are to include which compulsory and optional elements are offered, and whether the credits are aimed towards specific themes or skills.

The following courses are compulsory within third-cycle programmes at the Faculties of Humanities and Theology:

- Faculties of Humanities and Theology introductory course, 5 credits
- Research Ethics, 3 credits
- Higher education teaching and learning course(s) 3 credits

In addition, it is desirable for the doctoral student to participate in several types of courses and credit-earning components

- that prepare the student for the doctoral thesis,
- that provide basic knowledge on the subject,
- that have been developed jointly between different disciplines, faculties and universities, national and international, to enable broad expertise.

Doctoral students will not be granted an extension for course credits earned that exceed the required amount.

Seminars

Seminars are a central and characteristic part of third-cycle education – where the students train their ability to present and critically and constructively highlight and deal with research issues, including research methods. Students are required to actively participate in the seminars, and this is normally stated in the individual study plan.

Theses

At the Faculties of Humanities and Theology there are two types of theses:

1. Monograph thesis – a unified, coherent research study that can be part of a research series or published by a commercial publisher.
2. Article thesis – a number of research articles that have been accepted for publication or are of publishable quality, together with a summary that presents the material and research as a coherent research study. Articles with multiple authors may only be included in a compilation thesis if it is possible to distinguish between the respective contributions of the authors.

5.2 Supervision and other resources

At least two supervisors shall be appointed for each doctoral student. One of them shall be nominated as the principal supervisor.¹⁶ When appointing supervisors, attention is to be paid to the importance of receiving feedback and be inspired by persons of different genders. Each doctoral student is entitled to at least 300 hours of supervision of their thesis work, distributed over the entire four-year period. The

¹⁶ HEO, Chapter 6 Section 28

number of hours spent each year may differ. The hours of supervision are specific to each student and are to be distributed among the supervisors in their duties plans, in accordance with the agreed individual study plan. Licentiate students are similarly entitled to 150 hours over two years. The hours for supervision include time for the supervisors to read the doctoral student's manuscript.

Supervision requires regular contact between the supervisor and doctoral student, regardless of their rate of study. The supervisor is mainly required to deal with the overall issues related to the structure of the thesis and the research, methodology, and choices with regard to form and theory. Although supervisors cannot be required to be experts in all thesis topics, they must devote a reasonable amount of time familiarising themselves with the central literature available on the issue.

The supervisors are responsible for continuously following up and supporting the doctoral student in their work. This includes regular documentation, in the individual study plan, with regard to the student's progress (exams, completed courses within the doctoral programme, presented material etc.), and their own work performed as a supervisor, and verbal agreements. If the work does not proceed according to the individual study plan, measures must be taken. Assessments and discussions on whether the doctoral student's intended and actual achievements correspond to each other are to take place on a regular basis and be documented in writing in the individual study plan, which is to be continuously updated and submitted for approval by 1 October each year (see below).

The principal supervisor must have the qualifications equivalent to at least those of an associate professor and all supervisors must undergo supervisor training.¹⁷

A doctoral student who so requests shall be allowed to change supervisor.¹⁸ Such requests are to be submitted to the department.

All doctoral students have access to certain research promotion funds for purchasing literature, research trips, etc., which are covered either by direct government funding or by external funding, depending on the doctoral student's main source of funding. The entire amount is to be transferred to the department in connection with admission. The funds are to be paid to the doctoral student, subject to approval by the principal supervisor.

5.3 Individual study plan

An individual study plan is to be drawn up immediately after the day of admission for each admitted doctoral student, regardless of how their studies are funded. The faculties' online form is to be used for the purpose. The study plan is to contain both a general plan for the entire programme and a detailed plan for the coming year. This includes the subjects of the courses and credit-earning components and the order in which they will be taken, as well as a plan for the work on the doctoral thesis (thesis plan). The study plan is to be followed up and renewed by 1 October each year during a planning meeting, at which the doctoral student, supervisor and, if needed, head of department participate. If necessary, that is, if the conditions change, the individual study plan is to be updated more frequently.

¹⁷ Vice-Chancellor's decision 21 June 2006 (Reg. no I A 29/5039 2005).

¹⁸ HEO, Chapter 6 Section 28, 2nd paragraph

The individual study plan is to be drawn up by the supervisors and the doctoral student collectively, and to be signed by the doctoral student, principal supervisor, head of department, and the pro-dean for third-cycle education.

5.4 Work environment

The departments are to ensure that all doctoral students are guaranteed a good study environment, including annual performance appraisals at which the supervisor does not participate. The work environment for doctoral students is to comply with the requirements under current legislation with regard to University staff.

6. LICENTIATE DEGREE AND DOCTORAL DEGREE

The requirements for a licentiate degree are that the student has passed the courses and credit-earning components included and defended a thesis consisting of 90 credits at a public seminar. The requirements for a doctoral degree are that the student has passed the courses and credit-earning components included and publicly defended a thesis of at least 180 credits.

Third-cycle programmes at the Faculty of Humanities result in a degree of Doctor of Philosophy or a degree of Licentiate of Philosophy. Third-cycle programmes at the Faculty of Theology end in a degree of Doctor of Theology or a degree of Licentiate of Theology. Doctoral students at the Faculty of Theology can apply to be awarded a degree of Doctor of Philosophy or a degree of Licentiate of Philosophy. Decisions on such applications are made by the pro-dean for third-cycle education no later than in connection with the appointment of an external reviewer and examining committee.

The final seminar is compulsory and is to take place with sufficient time before the planned public defence for the comments from the seminar to be incorporated into the final version of the thesis. The external reviewer at the final seminar should not have been involved in any formal or informal supervision of the doctoral student.

6.1 Licentiate degree and licentiate seminar

The licentiate programme is concluded with a public seminar – a so-called licentiate seminar – at which the licentiate thesis is to be defended. A Pass on the licentiate seminar, together with the completed courses, meets the requirements for a licentiate degree.

The licentiate degree is the final degree for those who have been admitted to a third-cycle programme leading to a licentiate degree (see Section 6.2) and is not a stage in a programme leading to a degree of doctor.

Administrative procedures before the licentiate seminar

Well in advance of the licentiate seminar, the licentiate student is to familiarise themselves with the procedures that apply, and consult with the secretary of the Research Programmes Board and the department on the practical arrangements.

The department is to submit a proposal for an external reviewer, examining committee and chair of the licentiate seminar to the secretary of the Research Programmes Board. The proposal is to be submitted on a special form no later than six weeks prior to the seminar, and include a brief justification. The decision on the external reviewer, examining committee and chair of the licentiate seminar is made by the pro-dean for third-cycle education, and distributed by the faculty office to

all parties concerned. Both the submission of the licentiate thesis to the faculty office and the licentiate seminar are to take place during the semester. The licentiate seminar shall normally take place on the premises of the Faculties of Humanities and Theology.

The licentiate student is to submit eight copies of the licentiate thesis to the secretary of the Research Programmes Board no later than four weeks before the licentiate seminar. The faculty office is to make sure that members of the examining committee and the external reviewer receive the thesis.

Following a meeting of the examining committee, the chair of the seminar is to submit the original copy of the committee report to the secretary of the Research Programmes Board, who is responsible for entering the result in Ladok.

6.2 Transition between a licentiate and a doctoral programme

If a third-cycle student, after completing a licentiate degree, wishes to continue their third-cycle studies to obtain a doctoral degree, they are to apply for a continuation of their studies in competition with other applicants. The same requirements as for new admissions apply with regard to funding, supervision and other resources. The hours used for licentiate studies are normally subtracted from the possible doctoral position.

6.3 Doctoral thesis and public defence

The doctoral thesis refers to the version that is defended and reviewed at the public defence. A thesis written in Swedish, Danish or Norwegian must include a summary in English. A thesis written in English must include a summary in Swedish. A doctoral thesis written in a language other than Swedish, Danish, Norwegian or English must include a summary in Swedish and English. In connection with the notification of the date of the defence, the doctoral student is to submit a brief popular science summary of the thesis to the faculty office for publication on the faculties' and the department's websites.

The external reviewer must have the qualifications of at least an associate professor reader. The examining committee is to consist of three members, at least one of whom does not have a post at Lund University.¹⁹ Both genders are to be represented on the examining committee, unless there are special grounds.

The external reviewer and one member of the examining committee can participate remotely. Other members of the committee are to be present on the specified premises throughout the entire defence of the doctoral thesis.

At least 100 copies of the thesis must be made. This includes copies for executing the public defence, as well as copies to be distributed by the faculty office and University Library. The thesis must clearly state that it was produced as part of a third-cycle programme at Lund University.²⁰

Printing grant

The 100 printed copies of the thesis, and any proofreading, are paid for by the faculty printing grant. Any additional copies are to be paid for by the doctoral student.

¹⁹ HEO, Chapter 6 Section 34

²⁰ Working Committee of the Faculty Board, 7 April 2010, item 245

Administrative procedures before the public defence

Well in advance of the public defence, the doctoral student is to familiarise themselves with the procedures that apply, and consult with the secretary of the Research Programmes Board and the department on the practical arrangements.

The department is to submit a proposal for an external reviewer, examining committee and chair of the public defence to the secretary of the Research Programmes Board. The proposal is to be submitted on an approved form, and include a brief justification.

The proposal and justification must be received by the faculty office no later than six weeks before the public defence. The decision on the external reviewer, examining committee and chair of the public defence is to be made by the pro-dean for third-cycle education, and distributed by the faculty office to all parties concerned. The submission of the doctoral thesis to the faculty office, the notification of the date of the defence and the actual defence are all to take place during the semester. The public defence shall normally take place on the Faculties of Humanities and Theology's premises.

Following a meeting of the examining committee, the chair of the defence is to submit the original copy of the committee report to the secretary of the Research Programmes Board, who is responsible for entering the result in Ladok.

More information about the public defence of a doctoral thesis and the licentiate seminar is available on the web pages of the faculties.