

# Rules and regulations for third-cycle studies – Doktorandreglerna

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Responsible body	Unit of Educational Affairs
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Summary	<p>This document is applicable to all third-cycle studies at the University.</p> <p>On 16 September 2022, a major revision of Rules and regulations for third-cycle studies - Doktorandreglerna (dnr GU 2022/265) was decided, which replaced the previous version of Rules and regulations for third-cycle studies at the University of Gothenburg – Doktorandreglerna (dnr V 2018/603). A minor revision regarding clarification on delegations in the introductory text and a change of rule 16.6 was subsequently decided on 9 February 2023.</p>

# Introduction

This is a translated version of the Swedish original. In case of differences between the Swedish version and the English translation, the Swedish original shall prevail.

These rules and regulations apply to all third-cycle studies at the University of Gothenburg and are designed to safeguard that the University provides its students with high-quality education, full legal security and a good psychosocial work environment. Faculty-specific rules may be added to these central provisions.

These rules are based on the Higher Education Act (HEA 1992:1434) and the Higher Education Ordinance (HEO 1993:100); they constitute an interpretation and application of the general regulations. The rules are also based on the University of Gothenburg's admission regulations for third-cycle studies, rules of procedure and delegation of authority policy. Decision-making authority stated in this document corresponds with the University's rules of procedure and delegation of authority policy. Decision-making authority may be further delegated, provided that further delegation has not been explicitly prohibited. To make it easier to understand the basis of the different rules, each heading is followed by a reference in parentheses to relevant chapters and sections of the higher Education Act and the Higher Education Ordinance. When it comes to disciplinary measures, expulsion of a doctoral student and withdrawal of supervisors and other resources, the text merely refers to relevant chapters and sections of the Higher education Ordinance and the Swedish Ordinance of Expulsion of Students from Higher Education (2007:989). A heading without a reference indicates that the rules are local.

In this document, a 'doctoral student' refers to a student who has been admitted to and is pursuing third-cycle studies regardless which degree (licentiate degree or doctoral degree) is the final goal.

## **1. Responsibility for third-cycle studies (HEO 2:2-3, 6:30-31 and 6:36)**

- 1.1. The University Board and the Vice-Chancellor have the overall responsibility for the University's third-cycle education. The University Board decides on the admission regulations and the Vice-Chancellor on withdrawal of third-cycle resources in cases when doctoral students substantially neglect their obligations according to the individual study plan.
- 1.2. In dealing with third-cycle issues, the Vice-Chancellor is supported by a central board of education, which comprises the permanent Committee for Third-Cycle Education. The Committee, which supports the Board with its preparation, consists of representatives from all faculties and is headed by a chair appointed by the Vice-Chancellor. The purpose of the Committee is to develop and promote University-wide principles for third-cycle studies and contribute to exchanges of experiences across faculty boundaries and overall quality assurance.
- 1.3. The faculty boards are in charge of strategic planning, overall management and quality assurance of the respective faculties' third-cycle education. They also have the overall responsibility for providing information about their respective third-cycle programmes and ensuring compliance with applicable general, University-wide and faculty-specific rules and regulations. The information must be made available in both Swedish and English.
- 1.4. In accordance with the University of Gothenburg's delegation of authority policy, the Head of Department decides on the admission of doctoral students and is responsible for:
  - the provision of third-cycle studies,
  - that individual study plans are drawn up for all doctoral students,
  - that the individual study plans are revised at least once a year for all doctoral students, and

- that information about third-cycle programmes within the domain of the department is made available in both Swedish and English.

## **2. Establishment of subjects in third-cycle education and general study syllabi (HEO 6:25-27)**

- 2.1. The faculty boards are responsible for the establishment and phasing out of subject areas at the third-cycle level within their respective areas of responsibility following consultation with the Committee for Third-Cycle Education.
- 2.2. Consultation will be held in accordance with the administrative procedures decided by the Vice-Chancellor.<sup>1</sup>
- 2.3. There shall be a general course syllabus for every third-cycle subject. The faculty boards draw up new general study syllabi and decide on changes. The general study syllabi must be available in both Swedish and English.
- 2.4. A general course syllabus should contain the following:
  - the name of the subject and date in which the general course syllabus was established,
  - title of qualification (name of the degree that the studies will lead to),
  - the content and disposition of the studies,
  - learning targets according to the Qualifications Ordinance with specifications for the subject,
  - extent of the thesis required, stated in number of credits,
  - extent of compulsory and elective courses, stated in number <sup>2</sup>,
  - specific entry requirements,
  - assessment bases used in the selection between applicants to assess their ability to benefit from the studies, and
  - any transitional provisions in relation to older general study syllabi and a description of students' possibilities to change from an older to a current general course syllabus.

## **3. Calls for applications for third-cycle studies (HEO 7:37-38 and 7:41)**

- 3.1. Calls for applications for third-cycle studies are to facilitate competition among applicants. Calls are to be made in both Swedish and English.<sup>3</sup> The time between an announcement of a call for applications and the application deadline must be at least three weeks.
- 3.2. The calls for applications must include information about:
  - the subject area in question,
  - general and, where applicable, specific entry requirements for the third-cycle subject area,
  - financing of the announced position (doctoral studentship),
  - the assessment criteria used to assess applicants' ability to benefit from the studies, and
  - the degree that the announced position will lead to upon completion of the studies.

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<sup>1</sup> Administrative procedures for consultation prior to decisions on establishing and phasing out third-cycle subjects, dnr V 2026/343

<sup>2</sup> In Ladok stated as an individual undertaking.

<sup>3</sup> Calls for applications should be made in the University's recruitment tool and other suitable channels to reach international applicants.

3.3. A call for applications may not include any entry requirements that are not stated in the Higher Education Act, the Higher Education Ordinance or the applicable general course syllabus.<sup>4</sup>

3.4. The rules on calls for applications for third-cycle studies may be disregarded in the following cases:

- admission of a doctoral student financed within a framework in which the University of Gothenburg does not serve as employer (external positions, so-called samverkansdoktorand),
- admission of a doctoral student financed according to the rules in Section 5.6 below, and
- when a doctoral student changes higher education institution or subject area.

#### **4. Eligibility and admission to third-cycle studies (HEO 7:34-35 and 7:39-41)**

4.1. To be eligible for third-cycle studies, the applicant must meet both the general and, if applicable, specific entry requirements as laid down in the admission regulations for third-cycle studies and the general course syllabus for the subject area in question.

4.2. Selection to third-cycle studies shall be based on the general and specific entry requirements laid down in the general course syllabus and on assessments of the applicants' overall ability to benefit from the studies.

4.3. Only doctoral students who can be offered supervision and acceptable conditions of study in accordance with Section 4.4 together with student finance in accordance with the rules in Section 5 below may be admitted to third-cycle studies.

4.4. The Head of Department is responsible for ensuring that the doctoral student has access to a work area and to the University's premises, and has a personal computer at their disposal from the start of their studies, as well as access to the other equipment necessary for their studies.<sup>5</sup> The Head of Department is also responsible for the doctoral student being provided with a proper introduction and having access to relevant information about both matters relating to the doctoral student's employment and rules and procedures relating to third-cycle studies.

4.5. Doctoral students who are admitted to third-cycle studies should attend the Induction Day for Doctoral Students as a complement to the introduction provided at the faculty/department concerned. The doctoral student is personally responsible for registering to the introduction.

4.6. An applicant may be admitted to third-cycle studies that lead to either a licentiate degree or a doctoral degree.

4.7. Doctoral students admitted to a third-cycle programme that leads to a doctoral degree have the right to conclude their studies with a licentiate degree.

4.8. In cases when a student is admitted to a third-cycle programme that leads to a licentiate degree, the Head of Department shall inform the student, in writing, that in order to pursue a doctoral degree, a new admission procedure will be required. This written information is to be attached to the student's individual study plan. A person with a licentiate degree who applies to third-cycle studies may not be

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<sup>4</sup> For calls for applications for a studentship within Horizon Europe MSCA-DN (Doctoral Network) it shall be stated that the position is a doctoral studentship within a Marie Skłodowska Curie project; see the administrative guidelines for MSCA projects, handled by the Grants and Innovation Office.

<sup>5</sup> Doctoral students with another employer ought, if required, be offered a temporary place of work at the department.

favoured in relation to other applicants due only to the fact that they may be able to apply the licentiate studies towards a doctoral degree.

- 4.9. A decision on admission shall be in writing and must include:
- the student's name and personal identity number/equivalent,
  - an account of basic and specific entry requirements,
  - a funding plan for the entire period of study, and
  - information on the type of degree that the program leads to.
- 4.10. Third-cycle admission decisions are made by the Head of Department. Decisions must be documented promptly in Ladok, and all applicants notified within three weeks. Admission decisions should be attached to the individual study plan.
- 4.11. Admission decisions cannot be appealed.
- 4.12. When changing a third-cycle subject, the doctoral student must apply in writing for a termination of the studies in the previous third-cycle subject.<sup>6</sup>
- 4.13. A doctoral student cannot be admitted to third-cycle studies in more than one third-cycle subject-area.
- 4.14. Only individuals admitted to third-cycle studies may pursue such studies.

## **5. Funding of third-cycle studies (HEO 7:36 and HEO 1:11c)**

- 5.1. Each department is responsible for funding its doctoral students throughout their period of study with the exception of the final paragraph of Sections 5.3 and 5.4.
- 5.2. Third-cycle studies are to be funded primarily through doctoral studentships or within a framework in which the University of Gothenburg does not serve as employer (external position), with the exception of what is described in Section 5.4.
- 5.3. Applicants admitted to third-cycle studies can be funded within a framework of an external position – so called *samverkansdoktorand*.<sup>7</sup>
- For funding within the framework of an external position to be approved, the employer must allow for the student to devote at least 50 % of a full-time position to their third-cycle studies, so that they will be able to finish a licentiate degree/licentiate degree in the fine, applied and performing arts within four years or PhD/doctorate in the fine, applied and performing arts within eight years.
  - Salaries within the framework for an external position shall amount to at least the same level as specified in the University of Gothenburg's salary ladders for doctoral students. In the case that the doctoral student is employed by an employer in another country and has their main residence there, the requirement for the salary level only applies for the time that the applicant

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<sup>6</sup> A change of subjects is handled in accordance with the procedure given in the Administrative Handbook for Doctoral Education.

<sup>7</sup> Includes the Ladok categories *annan anställning utanför högskolan* (AUH) [external position outside the university college], *företagsdoktorand* (FTG) [doctoral student with external position] and *anställning som läkare eller annan sjukvårdspersonal* (USL) [employment as doctor or other healthcare staff].

intends to spend in Sweden.

- Funding within the framework of an external position shall be regulated through a contract between the funding employer and the department taking on the student. The doctoral student should be given an opportunity to review the contract before it is signed by the parties involved.
- Contracts between the funding employer and the department taking on the student shall be formulated according to the University of Gothenburg's contract template for funding of third-cycle studies within the framework of an external position.
- Before the department that is taking on the student concludes a contract on funding within the framework of an external position, it must consult the Dean concerning the content of the contract.
- The contract on funding within the framework of an external position shall be attached to the individual study plan.
- If the external employer fails to comply with a contract regarding funding within the framework of an external position and this circumstance could not reasonably have been foreseen by the department taking on the student, the department is not responsible for taking over the funding responsibility in question. However, if such a situation arises, the department must work actively to find an alternative source of funding in order for the student to complete their studies according to the individual study plan.

5.4. Exceptions from the rules regarding funding through employment – via doctoral studentship or external position – can be made in some cases and based on the following grounds:

- If the admission concerns a doctoral student funded via scholarships provided within the framework of national or intergovernmental development assistance and capacity-building programmes where such scholarships comprise an established form of funding with reasonable terms and the department taking on the student has good insight into these terms and how the scholarship is handled and disbursed.
- If the admission concerns a doctoral student funded via scholarships provided within the framework of an EU-funded programme or other collaborations, where such scholarships with reasonable terms comprise an established form of funding among the other parties involved and where funding through employment would interfere with the participation of the department taking on the student. The department in question must have good insight into how the scholarship is handled and disbursed.
- If the admission concerns a doctoral student whose entire period of study can be funded via a pension. Funding via a pension shall be documented in the individual study plan. When a student is admitted to studies that will be funded via an old-age pension, there must be a clarification regarding supervision and study-related costs.

- 5.5. A decision to admit an applicant to third-cycle studies funded via scholarships according to the exceptions described in Section 5.4 (paragraphs 1 and 2) must be preceded by documented discussions between the funder and the admitting department regarding the possibility of funding the studies via employment. The department is responsible for informing the funder, as well as the doctoral student of the disadvantages of scholarship funding for the doctoral student. The documentation shall be attached to the individual study plan.
- 5.6. Based on the documentation and following consultation with the Dean, the Head of Department may decide to admit an applicant with scholarship funding if the conditions below have been met via a contract between the department and the funder. A doctoral student with scholarship funding shall be given an opportunity to review the contract before it is signed by the parties involved. The contract shall be attached to the individual study plan.
- The scholarship is comparable in value to the salary paid for a doctoral studentship. It should be possible to gradually increase the scholarship funding in line with the respective faculty's salary structure for doctoral studentships.
  - The department has provided an insurance cover through an agreement with the Swedish Legal, Financial and Administrative Service Agency (Kammarkollegiet) for the doctoral student funded via scholarships. The insurance shall apply when the student's scholarship is reduced due to absence from studies in the case of illness or parental leave. The insurance does not confer entitlement to compensation if the doctoral student funded via scholarships is entitled to equivalent compensation under any other insurance cover.
  - The doctoral student funded via scholarships has been informed in writing about their funding and insurance cover that apply during the period of education. The written information shall be attached to the individual study plan.
- 5.7. Doctoral students funded via scholarships are to be given access to the University's occupational health services.
- 5.8. Scholarships to fund third-cycle studies may not be established within the University.

## **6. Doctoral studentship (HEO Ch. 5)**

- 6.1. The University of Gothenburg's salary ladders for doctoral students<sup>8</sup> are applied<sup>9</sup> for doctoral studentships.
- 6.2. A doctoral studentship shall be a full-time post. If a doctoral student so requests, the Head of Department may approve a part-time post but not for less than 50 % of a full-time post.
- 6.3. The Head of Department may grant leave of absence up to a maximum of 50 % of full time. The doctoral student may however be given the right to a higher proportion according to law, special agreement or because of work carried out for a student union.

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<sup>8</sup> Lokalt avtal om lönesättning av doktorander, dnr P 2014/80, and Revidering av doktorandstegar vid Göteborgs universitet as of 1 October 2021, dnr PA 2021/4042 (in Swedish).

<sup>9</sup> Also applies to so-called EU doctoral students (funding via MSCA 'Marie Curie doctoral student'). Handling of an EU doctoral position is distinguished by the employment contract being linked to a supplementary contract; see Hanteringsordning för Marie Sklodowska Curie Actions (in Swedish).

- 6.4. The salary for doctoral students changes in accordance with the University of Gothenburg's salary ladders<sup>10 11</sup> for doctoral students when the doctoral student has fulfilled half or 80 % of the requirements for a doctoral degree according to the individual study plan. The Head of Department, in consultation with the principal supervisor and doctoral examiner, will decide whether the doctoral student has fulfilled half or 80 % of the requirements.

## **7. Individual study plan (HEO 6:29)**

- 7.1. The Head of Department has the main responsibility for an individual study plan being drawn up for each doctoral student and subsequently revised at least once a year on the University of Gothenburg's online system for individual study plans (the ISP system)<sup>12</sup>. The individual study plan shall be drawn up by the Head of Department no later than two months after the start of the studies.
- 7.2. The principal supervisor is responsible for drawing up the individual study plan in the ISP system. The individual study plan is a tool to ensure continual progression during the period of study and that the parties comply with their respective undertakings. The planning of future components are to be documented in the individual study plan as well as information on the components of the studies completed.
- 7.3. The principal supervisor is responsible, together with the doctoral student, for working actively on the individual study plan throughout the period of study.
- 7.4. Individual study plans shall be revised at least once a year. Revisions shall also be made when necessary, such as in the event of changes made to the doctoral student's studies or at the doctoral student's request. The work associated with revisions shall be led by the principal supervisor and made in consultation with the doctoral student. The individual study plan shall be approved by the doctoral examiner before being established by the Head of Department.

## **8. Supervision (HEO 6:28)**

- 8.1. The doctoral student is entitled to supervision throughout their period of study.
- 8.2. The faculty board decides on the minimum extent of supervision during the studies and clarify what constitutes supervision within the area of the faculty.
- 8.3. Two or more supervisors are to be appointed by the Head of Department by no later than the start of the studies and they shall be named in the individual study plan. One of them is to be appointed principal supervisor and the other(s) assistant supervisor(s). When the supervisors are appointed, the doctoral student's preferences are to be taken into consideration. Additional assistant supervisors may be appointed at any time during the period of study if deemed appropriate. All supervisors should be named in the individual study programme.
- 8.4. There must be no family or other close relationships between the doctoral student and the supervisor or between the supervisors.

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<sup>10</sup> Lokalt avtal om lönesättningsprinciper mm för doktorander, dnr P 2016/121 (in Swedish)

<sup>11</sup> Does not apply to external positions.

<sup>12</sup> Exception: For doctoral students admitted before 1 July 2014, revision/follow-up of the individual study plan can be done in paper format unless the faculty board has decided otherwise.



- 8.5. Supervisors may be recruited from other higher education institutions or outside the academic community. The principal supervisor ought to be employed by the University of Gothenburg. All supervisors are to be affiliated to the University by employment or service contract.
- 8.6. At least one of the supervisors must have completed the University's training in supervision of doctoral students (PIL201) or an equivalent programme at another higher education institution.<sup>13</sup> At least one of the supervisors must be at the level of docent (reader) or professor.
- 8.7. A doctoral student has the right to change the principal supervisor as well as assistant supervisor(s). The request should be made in writing and made to the Head of Department. When a request is made, the Head of Department is to facilitate a swift and convenient change of supervisors in consultation with the doctoral examiner.
- 8.8. In cases of change of supervisors, the individual study plan must be revised. As far as possible, the doctoral student shall be given the opportunity to continue the programme with the same specialisations as stated in the previous individual study plan. Revisions are to be made in accordance with Section 7.4.
- 8.9. The doctoral student is to be given the opportunity to have regular contact with the supervisors for discussion and feedback during the progression of the thesis work. The doctoral student and supervisor(s) shall jointly agree on forms for communication and supervision and also document this in the individual study plan. The supervisors' commitments and roles in the third-cycle project shall also be identified in the individual study plan.
- 8.10. The supervisors are to ensure that the doctoral student is introduced into the national and international research community.

## **9. Doctoral examiner**

- 9.1. The doctoral examiner has special responsibility for regularly following the doctoral student's progression and ensuring that the doctoral student's studies as a whole (courses and doctoral thesis/licentiate thesis) meet the Higher Education Ordinance's qualitative targets.
- 9.2. The Dean decides who may be doctoral examiners following recommendations by the Head of Department. The doctoral examiner must be a docent (reader) or professor and employed at the University of Gothenburg.<sup>14</sup> The Dean may grant an exemption from the requirement for the doctoral examiner to be a docent or professor.
- 9.3. The Head of Department shall assign each doctoral student a doctoral examiner no later than at the start of the studies. Neither the principal supervisor nor the assistant supervisor may serve as a doctoral examiner for the same doctoral student. The doctoral student's doctoral examiner must be identified in the individual study plan.

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<sup>13</sup> An equivalence assessment shall be made according to Handläggningsordning för prövning och erkännande av högskolepedagogiska meriter, dnr GU 2021/1868 (in Swedish)

<sup>14</sup> A docent (reader) or professor at Chalmers at one of the departments integrated with the University of Gothenburg may be appointed a doctoral examiner for doctoral students at the University of Gothenburg. In this case, a service contract must be drawn up.

- 9.4. The doctoral examiner shall participate in the drawing up of the individual study plan, following up of studies and when the individual study plan is revised.
- 9.5. The doctoral examiner decides if the doctoral student meets the course requirement in accordance with the general course syllabus for the subject<sup>15</sup> and certifies the document in Ladok.

## **10. Course examiner (HEO 6:32)**

- 10.1. The Dean decides who may be course examiners following recommendations by the Head of Department.<sup>16</sup> A course examiner must be a professor or a docent (reader) in a teaching position at the University of Gothenburg. The Dean may grant an exemption from the requirement for the course examiner to be a professor or a docent in teaching position.
- 10.2. The Head of Department appoints a course examiner for third-cycle courses. There should be a minimum of one and a maximum of five appointed examiners for each course.

## **11. Courses and seminars in third-cycle programmes (HEO 6:32 and 1:14)**

- 11.1. Third-cycle courses should be free of charge to all doctoral students.
- 11.2. Only students admitted to doctoral studies and those who have been awarded a third-cycle qualification are qualified for admission to a third cycle course. Entry requirements should be specified in the course syllabus.
- 11.3. A course syllabus shall be made available for each course in a third-cycle programme. The course syllabi shall be drawn up on the University's central support system for course syllabi at third cycle (Fubas).<sup>17</sup> Exceptions may be made for individual credit-bearing elements<sup>18</sup> and courses offered on an occasional basis following written approval by the Head of Department.
- 11.4. Course syllabi for third-cycle studies are confirmed by the Head of Department. In the event that a course has been developed jointly by two or several departments, a responsible department shall be appointed, and the course syllabus confirmed by the Head of Department at the responsible department. Course syllabi must be made available in both Swedish and English at the time of confirmation.  
A booklist should be attached to the course syllabus and confirmed no later than two weeks before the commencement of the course.
- 11.5. Selection rules for admission to the course should be specified in the course information.
- 11.6. Courses that are part of third-cycle programmes shall be assessed with a grade of pass (G) or fail (U). The grade shall be determined by from the Head of Department specially appointed teacher (course examiner<sup>19</sup>).

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<sup>15</sup> In Ladok, it is called "alla-kurser-klara" (all courses finished)

<sup>16</sup> Can be delegated from the Dean to the Head of Department.

<sup>17</sup> Decision about University's central template for course syllabi, dnr U 2016/568

<sup>18</sup> In Ladok entered as an individual undertaking.

<sup>19</sup> See Section 10.

- 11.7. A doctoral student who has taken two examinations in a course without obtaining a pass grade is entitled to nomination of another examiner, unless there are special reasons to the contrary.
- 11.8. Upon completion of a third-cycle course, each doctoral student is to be given an opportunity to voice their opinions about the course via a course evaluation. The results of the evaluation are to be summarised and made available at the department within a reasonable time after the end of a course and the affected doctoral students informed.
- 11.9. Throughout the period of study, the doctoral student is expected to repeatedly present their thesis work, for example manuscripts and research results at seminars/equivalent according to the faculty board's and/or the department's rules. In the event that seminars are mandatory elements (for example half-time seminar) of the third-cycle programme, this shall be specified in the general course syllabus.
- 11.10. The Head of Department decides about credit transfers for a third-cycle course or parts thereof.

## **12. Departmental duties (HEO 5:2)**

- 12.1. A doctoral student with a doctoral studentship may have departmental duties during their third-cycle programme. In the event that the department and the doctoral student agree on departmental duties, these must be structured so as not to have a detrimental effect on the studies and may constitute a maximum of 20 % of full time distributed over the period of study. The departmental duties should provide for a corresponding extension of the period of study.
- 12.2. The extent and content of any departmental duties must be specified in the individual study plan. Departmental duties may comprise teaching, research, artistic development work and administration.
- 12.3. In addition to the 20 % of departmental duties, the doctoral student can carry out representative duties and student union work that grant an extension in accordance with Section 15.

## **13. Training in teaching and learning in higher education**

- 13.1. Doctoral students who teach at first- or second-cycle level must have completed the course Teaching and Learning in Higher Education 1: Basic course (PIL101) or, alternatively, an equivalent faculty-specific course, no later than one year after admission. For doctoral students with other training in teaching and learning or other higher education qualifications in teaching and learning, an equivalent assessment can be made.<sup>20</sup>
- 13.2. Training in teaching and learning in higher education shall also be offered to doctoral students who are not going to teach at first- or second-cycle level.
- 13.3. The faculty board is to decide whether the training in teaching and learning in higher education shall be completed within the framework of the student's departmental duties or as a credit-bearing activity within the study programme.<sup>21</sup>

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<sup>20</sup> Handläggningsordning för prövning och erkännande av högskolepedagogiska meriter, dnr GU 2021/1868 (in Swedish).

<sup>21</sup> In the event that the training in teaching and learning in higher education is to form a credit-bearing part of the programme, it is recommended that 5 credits are credited for the course.

## **14. Extension of period of study due to illness, parental leaves, etc (HEO 5:7)**

- 14.1. A doctoral student with a doctoral studentship is entitled to have their period of study extended if there are special reasons to do so. 'Special reasons' may be illness, parental leave, service in the total defence forces as well as elected positions within union organisations and student organisations (see below in Section 15). Any extensions shall correspond to the number of days that the student has been absent for these reasons.
- 14.2. The Head of Department is to ensure that extensions due to illness, parental leave and service in the total defence forces are accounted for in the individual study plan regardless of the student's source of funding.

## **15. Student influence and extension of studies due to representative duties and student union work (HEA 2:7, HEO 1:7, 2:14 and 5:7)**

- 15.1. Doctoral students have the right to carry out representative duties and be represented in all of the University's decision-making and preparatory bodies that deal with third-cycle education and the education situation.
- 15.2. The Head of Department is to ensure that doctoral students with representative duties are assigned extensions of their doctoral studentships corresponding to the extent of their duties. A doctoral student who has an external position but lacks an agreement with their external employer on extensions for representatives at first and second cycle.<sup>22</sup>
- 15.3. Upon completion of a representative duty, the extension shall amount to at least the number of days indicated in Appendix 1. In addition to the types of assignments listed here, students may serve on temporary working groups and other bodies/committees. In these cases, the extent of the assignment shall be assessed prior to its start and a minimum number of days established. The final number of extension days shall then be specified upon completion of the assignment.
- 15.4. The individual doctoral student is personally responsible for submitting a written request to have their period of study extended as a result of a representative duty. The request shall be made and processed in accordance with Appendix 1.
- 15.5. The Head of Department decides on extensions and is responsible for ensuring that the decisions on extensions are included in the individual study plan.

## **16. Licentiate theses and licentiate seminars**

- 16.1. A licentiate thesis comprises a minimum of 60 and shall be written in accordance with good research practice.<sup>23</sup>
- 16.2. If a thesis contains contributions from several authors, the individual doctoral student's contribution shall be indicated in writing and certified by the principal supervisor.

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<sup>22</sup> Regler gällande ekonomisk ersättning för studentrepresentanter på grund- och avancerad nivå vid Göteborgs universitet, dnr GU 2019/1908 (in Swedish).

<sup>23</sup> Act on responsibility for good research practice and the examination of research misconduct (2019:504).

- 16.3. The licentiate thesis is to be presented and defended at a public seminar. A faculty opponent must be present at the seminar. The opponent may not have a post at the faculty where the thesis is being presented unless there are special reasons.  
The department at which the doctoral student has been admitted shall cover the printing cost of the thesis.
- 16.4. The Head of Department decides on the date and time of the seminar and appoints the opponent. The Administrative Procedure Act's rules on disqualification must be taken into account when appointing an opponent.<sup>24</sup>  
The licentiate seminar is to take place on a weekday during the periods 1 September to 22 December and 7 January to the Friday one week before midsummer. If there are special circumstances, the Head of Department can schedule a seminar at other times of the year.
- 16.5. The licentiate seminars must be announced at least three weeks in advance in the manner decided by the faculty board. The periods 16 June to 15 August and 23 December to 6 January may not be included in the period for notification.
- 16.6. The Dean appoints either an examining committee according to the rules for doctoral theses or a specially appointed examiner to assess the thesis. The examiner must be a professor or a docent (reader) in a teaching position at the University of Gothenburg. When appointing an examining committee/examiner, the Administrative Procedure Act's rules on disqualification shall be applied and the Swedish Research Council's guidelines for dealing with disqualification should serve as guidance.
- 16.7. The grading scale for licentiate theses comprises pass (G) and fail (U). The grade assigned shall reflect both the content and defence of the thesis. A grade of U (fail) must be justified in writing.
- 16.8. An English summary is to be included if the thesis is in Swedish. A Swedish summary is to be included in cases where a licentiate thesis is written in a language other than Swedish.

## **17. Doctoral thesis and public defences (HEO 6:33-35)**

- 17.1. A doctoral thesis comprises a minimum of 120 credits and should be written in accordance with good research practise.<sup>25</sup>
- 17.2. If a doctoral thesis includes contributions from several authors, the individual doctoral student's contribution shall be indicated in writing and certified by the principal supervisor.
- 17.3. The doctoral thesis may include previously examined licentiate theses, parts thereof or revised parts of the licentiate thesis. In the event that parts of the licentiate thesis are part of the doctoral thesis work, this should be clearly indicated in the doctoral thesis and these parts shall form part of the doctoral thesis and be defended at its public defence.
- 17.4. An English summary is to be included if the doctoral thesis is in Swedish. A Swedish summary is to be included in cases where a doctoral thesis is written in a language other than Swedish.

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<sup>24</sup> The Administrative Procedure Act (2017:900) §§ 16-18

<sup>25</sup> Act on responsibility for good research practice and the examination of research misconduct (2019:504).

- 17.5. The number of copies of a doctoral thesis is decided on a case-to-case basis or according to the rules of the faculty board. When deciding on the number of copies, the University Library's requirement for mandatory copies and the doctoral student's right to at least 20 copies of the doctoral thesis for their own use have to be taken into account.
- 17.6. A public defence is to take place on a weekday during the periods 1 September to 22 December and 7 January to Friday one week before midsummer. If there are special circumstances, the defence may be arranged at other times of the year, as decided by the Dean.
- 17.7. A doctoral thesis shall be made public through 'nailing' at the designated place in the University's main building in Vasaparken on a working day no later than three weeks before the public defence of the doctoral thesis. The periods 16 June to 15 August and 23 December to 6 January may not be counted in the so-called 'nailing' period. 'Nailing' makes the content of the thesis publicly available. Exceptions from the three-week rule may be granted by the Dean. Electronic 'nailing' of the thesis must be in accordance with the University Library's rules on electronic 'nailing'.
- 17.8. After the 'nailing', no changes may be made to the doctoral thesis. An errata list may be attached.
- 17.9. The Dean appoints an examining committee, opponent and chair for the defence following a request from the department. The request shall include the title of the doctoral thesis as well as the time and place of the public defence. The Administrative Procedure Act's rules on disqualification shall be applied and the Swedish Research Council's guidelines for dealing with disqualification should serve as guidance.<sup>26</sup> The opponent may not have a post at the faculty where the doctoral thesis is presented unless there are special reasons.
- 17.10. The examining committee which should comprise three or five members, has the task to assess whether the doctoral thesis and its defence meet the scientific or artistic requirements stipulated in the qualitative targets. The examining committee shall consist of at least one person who does not have a post at the University of Gothenburg. Examining committees consisting of five members must include at least two such persons. No more than one member of an examining committee may be from the doctoral student's department/equivalent where the doctoral student has studied/been admitted at third cycle. The examining committee members shall meet the requirements for docent (reader) competence or equivalent, alternatively the requirements for artistic competence. Persons who have served as the student's supervisor may not be included on the examining committee. Within the examination committee, an even gender distribution should be sought.
- 17.11. After the public defence has been completed, the examining committee shall meet to decide on a grade for the doctoral thesis. The examining committee is only competent to make decisions when all members are present. Decisions made by the examining committee shall be entered in the minutes.  
In addition to the members of the examining committee, the opponent and supervisor may be present at the meeting and participate in the discussions, but not in the decision.
- 17.12. The grading scale for doctoral theses comprises pass (G) and fail (U). Consideration shall be given to the content and defence of the doctoral thesis when setting the grade. Decisions of the examining committee shall be based on the consensus of most members. An individual member has the right to

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<sup>26</sup> The Administrative Procedure Act (2017:900) §§16-18

register a difference of opinion in the official transcript. A grade of U (fail) must be justified in writing.

## **18. Degree of certificates (HEO 6:9-10a)**

18.1. A doctoral student who fulfils the requirements<sup>27</sup> for the award of qualification shall, on request by the doctoral student, be provided with a degree certificate.

## **19. Notification of non-compliance with the rules and regulations for third-cycle studies**

19.1. Doctoral students who wish to report a complaint about deviations from the Rules and Regulations for Third-cycle Studies should first contact their Head of Department and then the Dean in accordance with the administrative procedures<sup>28</sup> decided by the vice-chancellor.

## **20. Non-completion**

20.1. A doctoral student may submit a written notification for non-completion of their studies. In the event of such non-completion, the doctoral student is no longer admitted to third-cycle studies for the third-cycle subject in question. Notice of non-completion of third-cycle studies can only be given personally by the student.

## **21. Disciplinary measures (HEO 10:1-14)**

21.1. Disciplinary action may be taken against doctoral students according to the Higher Education Ordinance Chapter 10.

## **22. Withdrawal of supervisors and other resources (HEO 6:30-31)**

22.1. A doctoral student who substantially neglects their obligations according to the individual study plan may forfeit the right to supervision and other third-cycle resources according to the stipulations given in the Higher Education Ordinance 6:30. Such a decision can only be made by the vice-chancellor.<sup>29</sup>

22.2. Following an application to the vice-chancellor, a doctoral student who has had resources withdrawn as referred to in Section 22.1 can recover their entitlement to supervision and other resources in accordance with the Higher Education Ordinance 6:31.

## **23. Expulsion (Ordinance on the Expulsion of Students from Higher Education, 2007:989)**

23.1. Expulsion of a doctoral student may occur according to the Swedish Ordinance on the Expulsion of Students from Higher Education (2007:989)

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<sup>27</sup> Fulfilment of the course requirements in accordance with the general course syllabus for the subject and a pass in a public defence of the doctoral thesis.

<sup>28</sup> Handlägningsordning för hantering av klagomål från studenter, GU 2020/2807 (in Swedish)

<sup>29</sup> Information on withdrawal of supervision and other resources is available in the Administrative Handbook for Doctoral Education.

**24. Ethics and good research practice** (Act on responsibility for good research practice and the examination of research misconduct, 2019:504)

- 24.1. The faculty board is responsible for the inclusion of ethics studies in the third-cycle studies.<sup>30</sup>
- 24.2. The principal supervisor is responsible for<sup>31</sup> ethical permission for research concerning people and animal experimental required for the third-cycle project.<sup>32</sup>
- 24.3. In the event of suspected deviations from good research practice, this should be reported in accordance with the Act on responsibility for good research practice and the examination of research misconduct.<sup>33</sup> Reports are handled in accordance with the University's administrative procedures.<sup>34</sup>

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<sup>30</sup> Rektorsbeslut om Obligatorisk utbildning om forskningsetik i utbildning på forskarnivå, dnr U 2018/513 (in Swedish)

<sup>31</sup> Swedish Research Council's report Good Research Practice, ISBN 978-91-7307-354-7

<sup>32</sup> Act on the Ethical Review of Research Involving Humans (2003:460) *and* the Animal Welfare Act (1988:534)

<sup>33</sup> Act on responsibility for good research practice and the examination of research misconduct (2019:504)

<sup>34</sup> Handläggningsordning vid misstanke om avvikelser från god forskningssed, dnr 2021/468 (in Swedish)



# Appendix 1 – Doktorandreglerna

## Minimum levels for number of extension days per year due to completed representative duties and student union work by doctoral students

The number of extension days referred to in the tables is a minimum level provided the doctoral student has participated fully in each body and ought to be reduced if the doctoral student has not fully completed their assignment. In the event that the doctoral student has had an extended assignment for a body, the number of days may be increased in relation to the scope of the assignment. Decisions on the number of days are made by each cost unit.

**Table 1. Assignments at national and University level**

Type of assignment	Number of extension days/year	Cost unit
<i>SFS Doctoral Students Committee (or equivalent)</i>		
- Chair	50	Vice-Chancellor
- Vice-chair	20	Vice-Chancellor
- Board member	10	Vice-Chancellor
<i>Doctoral Student Committee of the University of Gothenburg (GUDK)</i>		
- Chair	50	Vice-Chancellor
- Vice-chair	20	Vice-Chancellor
- Secretary	15	Vice-Chancellor
- Board member	10	Vice-Chancellor
<i>University bodies</i>		
- Board member of the University Board	15	Vice-Chancellor
- Board member of the University Board of Education	15	Vice-Chancellor
- Board member of the Quality Committee	10	Vice-Chancellor
- Board member of the Committee for Doctoral Education	10	Vice-Chancellor
- Board member of the Research Board	10	Vice-Chancellor
- Board member of University Disciplinary Board	10	Vice-Chancellor
- Board member of University Health and Safety Committee	10	Vice-Chancellor
- Board member of the Library Board	8	Library Director
- Board member of the council for Examining deviations from Good Research Practice	1 day/2 meetings*	Vice-Chancellor
- Board member of the International Council	1 day/2 meetings*	Vice-Chancellor

<i>University bodies</i>		
- Board member of the Unit Council for ASK	1 day/2 meetings*	Vice-Chancellor
- Board member of the Unit Council for PIL	1 day/2 meetings*	Vice-Chancellor
- Member of Consultative Assembly for election of Vice-Chancellor and Pro-Vice-Chancellor	5	Vice-Chancellor
- Member of reference group for the ISP system	4	Vice-Chancellor
- Member of reference group for the Fubas system	4	Vice-Chancellor
- Member of the Eutopia Work Packages	1 day/2 meetings*	Vice-Chancellor

\* Half days are rounded up.

For University-wide assignments not included in the above-mentioned list, the application for extended days is to be presented to the Committee for Third-Cycle Education. The Committee will then assess the scope of the assignment to establish the number of extension days.

**Table 2. Assignment at faculty level**

Type of assignment	Number of extension days/year	Cost unit
<i>Doctoral Student Committee at Faculty level (equivalent)</i>		
- Chair	30	Dean
- Vice-chair (or equivalent)	15	Dean
- Secretary	10	Dean
- Cashier	10	Dean
- Board member (or equivalent)	7	Dean
<i>Faculty bodies</i>		
- Board member of a Faculty Board or Board of a Degree Programme	15	Dean
- Board member of the Dean's Heads of Departments' Council	10	Dean
- Board member of Academic Appointments Board	15	Dean
- Board member of Health and Safety Committee	10	Dean
- Member in other drafting bodies for the Faculty Board	10	Dean

**Table 3. Assignment at department level**

Type of assignment	Number of extension days/year	Cost unit
<i>Doctoral Student Committee at department level (equivalent)</i>		
- Chair	15	Head of Department
- Board member	5	Head of Department
<i>Department bodies</i>		
- Board member of Department Council	10	Head of Department
- Member in other drafting bodies for the Department Council	10	Head of Department

The doctoral student shall submit a request for an extended term of employment to their Head of Department in accordance with Section 15.4 of the Rules and Regulation for Third-cycle Studies. This request must be addressed to the head of the department where the doctoral student is admitted, regardless of the level within the university at which the assignment was performed. This request should be made using the template *Forskarstuderandes tidsanvändning – inrapportering* (Doctoral students' time use – reporting).

For external positions, in accordance with Section 15.2 of the Rules and Regulations for Third-cycle Studies, doctoral students can receive financial compensation corresponding to the terms for student representatives at first and second cycle. In line with the rules on financial compensation for student representatives at first and second cycle (dnr GU 2019/1908), compensation is only payable for meetings that are scheduled for a minimum of one hour. Attendance of a meeting must be documented through the minutes or memorandum. For alternates, meeting compensation is only payable when they take the place of a permanent board member.

The compensation (extension days or remuneration) for assignments as a board member or representative in different bodies and groups includes both preparatory and supplementary work, for example support and feedback within the student organisations.

For external assignments for which remuneration is payable, there are no extension day, other than in exceptional cases.

A doctoral student's request shall include the following appendices:

- A certificate confirming the assignment
- Attendance lists for meetings attended by the doctoral student, for which the wish to receive compensation

If the request for extension days applies to assignments at a central university or faculty level, the vice-chancellor will then receive financial compensation from the cost unit concerned (vice-chancellor or Dean) in accordance with the routine described in the Administrative Handbook for Doctoral Education.

The size of the doctoral committee should be proportionate to the number of doctoral students at the faculty and department respectively.