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Rules for studying at postgraduate level at HU – doctorate degree

Resolved 12-06-2007 by the Board of the Faculty of Health Sciences (FSM) d no. LiU 1215/06-50.

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Linköpings universitet

Hälsouniversitetet

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Rules for studying at postgraduate level at the Faculty of Health Sciences – doctorate degree

These rules for studying at postgraduate level are based on the Higher Education Ordinance (HF), the rules laid down by Linköping University (LiU) and the delegation from the Board of the Faculty of Health Sciences (FSM) to the Research and postgraduate studies committee (FUN). The Higher Education Ordinance is available at www.hsv.se, LiU related documents are available at <http://regelverk.liu.se>.

The Higher Education Ordinance stipulates that the Faculty Board (FSM) has the primary decision-making rights on virtually all issues concerning postgraduate studies. At the Faculty of Health Sciences (HU), FSM has delegated most of this responsibility to FUN, which in its turn, delegates a number of duties to the boards of the respective departments, in certain cases with the right to further delegate to other groups or individuals such as the head of department, subject representative or Postgraduate degree vice chancellor (FUS). Every person or constellation that has received a delegation has the opportunity and right in specific cases to refer the delegation to the immediately higher level the delegation is received from, e.g. when the case entails important principle stance taking. FUS for the respective department plays a key role in the practical aspects of postgraduate studies at HU. FUS shall appoint a deputy.

Wording originating from HF is indicated by a box round the text.

Wording originating from LiU resolutions is indicated by a footnote.

Wording originating from the delegation from FSM to FUN is indicated by a footnote.

Higher Education Ordinance Appendix 2, Degree Ordinance

Contents

This appendix contains what is set out in 6 ch 3 and 4 §§

1. which degrees can be taken at foundation level, advanced level and research level, and
2. what requirements are to be satisfied for the respective degrees (degree description)

Common directives

Name of degree

A degree name consists of the degree as set out in the degree ordinance and, where appropriate, a first or last element or both, giving the field of study of the degree. The university or higher education establishment determines which first or last element is to be used. The university shall determine a field of study for certain degrees in accordance with the degree descriptions.

Translation

A translation of a degree name is to reflect the scope and content of the degree and, where appropriate, the field of study and level of the degree.

The Swedish National Agency for Higher Education is to provide directions on translating a degree into English. The university resolves on the translation of the degree certificate into languages other than English following consultation with the Swedish National Agency for Higher Education concerning the legal status a translation of a degree can have in other countries.

The university resolves on translation of the first and last elements used by the university. The university is to report to the Swedish National Agency for Higher Education the first and last elements in Swedish that the university has resolved are to be used for every degree and the translation of such into English.

The university is also to report to the Swedish National Agency for Higher Education the translation of the degree name into languages other than English.

1 The Faculty of Health Science goals for postgraduate level study

PhD

Higher Education Ordinance Appendix 2, Degree Ordinance

Scope

A doctorate degree is reached when the postgraduate student has completed 240 credits within a subject for study at research level.

Goals

Knowledge and understanding

To be awarded a doctorate, postgraduate students must

- demonstrate a broad knowledge in and a systematic understanding of their research area and deep and current specialist knowledge within a limited part of the research area, and
- demonstrate familiarity with scientific methodology in general and with the methods of their specific research area in particular.

Proficiency and capacity

To be awarded a doctorate, postgraduate students must

- demonstrate the capacity for scientific analysis and synthesis, and independent critical inspection and evaluation of new and complex phenomena, questions and situations,
- demonstrate the capacity to critically, independently, creatively, and with scientific precision, identify and formulate questions, and plan and employ adequate methods to pursue research and other qualified tasks within given time frames and to assess and evaluate such work,
- demonstrate via a dissertation their capacity to make a substantial contribution to the development of knowledge via their own research,
- demonstrate the capacity in both national and international contexts, to present and discuss with authority, orally and in writing, research and research findings in dialogues with the scientific community and society in general,
- demonstrate the capacity to identify the need for further knowledge, and
- demonstrate the ability within research and education and in other qualified professional contexts to contribute to social development and support for the training of others.

Appraisal and attitude

To be awarded a doctorate, postgraduate students must

- demonstrate intellectual independence and scientific clarity and the capability to perform ethical research assessments, and
- demonstrate a deeper insight into the possibilities and limitations of science, its role in society and human responsibility for how it is applied.

Scientific dissertation (postgraduate dissertation)

For a PhD, the postgraduate student is to have had a scientific dissertation (postgraduate dissertation) of not less than 120 credits approved.

Other

In the case of PhDs within certain fields of study, specific requirements shall also apply as individually resolved by each university within the parameters for the requirements in this degree description.

A number of points in the Higher Education Ordinance have been changed with effect from 2007 as part of the process to bring the Swedish education system in line with the Bologna Process. All university education is divided into three levels: foundation, advanced and research level.

The goals for research level study at HU are:

Postgraduate students at HU are trained in research, development work and other problem solving within the higher education, private and public sectors. Research programmes (PhD) entail four years of full-time study after completing a degree at advanced level or on completion of course requirements of at least 240 credits, including at least 60 credits at advanced level.

HU offers qualitatively excellent masters and postgraduate courses designed to produce graduates and PhDs of a very high international standard.¹

2 Conflict of interest policy

According to Section 11 of the Administrative Procedure Act (1986:223), conflict of interest is a situation where a person in a decision making body involved in handling a matter or a report can be assumed to lack objectivity in taking a stance. There can be various types of conflict of interest, e.g.:

- **Private interest, personal involvement or family ties** (including husband, wife, cohabitee or relative)

- **Delicacy or special circumstances**

A risk of conflict of interest due to **delicacy or special circumstances** arises if anyone is in the position to make a decision affecting a postgraduate candidate and is clearly a friend or has had a previous working relationship with the postgraduate candidate or any of the tutors. This possible conflict of interest also goes under the name of general clause and illuminates specific circumstances that could cast doubt on the impartiality of the person concerned in a case.²

In the case of postgraduate study the above specifically entail:

- Conflict of interest can arise in the case of scientific cooperation (including working on a common project, joint application or receiving joint funding for a common research project) and co-production over the most recent five-year period. A joint article is sufficient grounds to be counted as co-production. The exception to this is co-writing in publications on healthcare programmes etc. which include contributions from several clinical centres in Sweden or abroad. In the case of close cooperation, conflict of interest can span a period longer than five years.
- Previous postgraduate candidate – tutor relationships entail a lifelong conflict of interests.
- Conflict of interest arises if a tutor has acted as the faculty opponent to somebody for whom the proposed faculty opponent has been a tutor or assistant tutor during the most recent five year period.

Conflict of interest can arise for the postgraduate candidate and/or the tutors:

A In terms of a number of different functionaries/persons:

1. On admission/exchange of tutor:

- a. principal tutor and assistant tutor (family ties conflict)
 - b. admission committee board members (family ties and delicacy conflict)
-

¹ From the Faculty of Health Sciences' strategic targets (resolved by the Faculty Board 30-08-2006).

² Falk J and Wedel B, "Rättsliga regler i högskolan", Seventh edition, Nordstedts juridik, Stockholm 2002.

2. At the midpoint review:
 - a. specialists at the midpoint seminar (family ties and delicacy conflict); however, refer to 6.2 Midpoint review
3. At the public defence:
 - a. Faculty opponent (family ties and delicacy conflict)
 - b. Grade board members (ordinary or substitute) (family ties and delicacy conflict)

B. When dealing with postgraduate study cases at departmental or faculty level:

- a. examiner/(FUS)
- b. member of the departmental board including the head of department
- c. subject representative
- d. member of FUN

Both family ties and delicacy conflict apply to a-d.

The Administrative Procedure Act § 12, states among other things that “anyone who feels that a circumstance that can be assumed to be a conflict of interest for him/her, shall, of their own accord, make it known”. To avoid time consuming extra work when dealing with a public defence application, all tutors, subject representatives and respondents are to confirm with their signature that conflict of interest does not arise; this shall then be countersigned by FUS.

The academic public defence marks the high point of the immense efforts of the respondent, tutor and research group, and is steeped in academic tradition. At the same time it is the major examination opportunity for postgraduate study, which often evokes questions of conflict.

It can therefore be beneficial to follow these guidelines:

- The opponent and grade board examine the postgraduate studies on behalf of the faculty. The initial contact for the purpose of identifying two possible grade board members and the opponent takes place via the principal tutor. From the point at which FUN appoints these persons and the grade board members from the teaching staff, and the preview assessment is begun, it is in principle FUN, or in some cases, FUS, that is responsible for the contact with the grade board and the opponent. Neither the tutor nor the respondent should have contact with grade board members or the opponent concerning the dissertation work, including the preview assessment.
- The tutor traditionally hosts the visiting faculty opponent during the evening or lunch prior to the public defence. There is no objection to this, nor to an external grade board member who has travelled some distance for the occasion from being hosted in the same manner.
- In accordance with academic tradition, the faculty opponent is usually invited to join the dissertation defence party, if such is arranged. There is no objection to the respondent forwarding this invitation. The grade board members shall, on the other hand, not be invited to the dissertation defence party.

3 Research subjects

Higher Education Ordinance ch 6

§ 29 The Faculty Board is to determine which courses at research level are to be offered within its area of responsibility.

From 1 July 2007, students admitted to HU will be offered one postgraduate studies discipline only: Medical Science. All postgraduate students accepted from this date onwards will therefore follow the same General Study Plan. Postgraduates who were admitted to HU before 1 July 2007 can complete their studies in this original subject. New admissions can only be within the subject of Medical Science. The degree certificate will only state the official research subject, i.e. Medical Science. The title of the dissertation and Supplementary Diploma will give further detail as to the field of study for the research. Postgraduates wishing to transfer from their current research subject to Medical Science are able to do so. See also Transition directives.

☞ **Form 1. Transfer from current research subject to Medical Science**

☞ **Appendix 1. General study plan for Medical Science**

4 Admission, qualification requirements and selection for postgraduate level courses

Higher Education Ordinance ch 7 Entry to study

§ 34 The number of postgraduate students admitted **may not exceed** the tutor resources and other educational conditions in general available for them. Such students are to have funding in place in accordance with § 36.

§ 35 To be admitted as a postgraduate student, applicants must:

1. have the basic qualifications and specific qualifications laid down by the Faculty Board, and
2. be assessed to be capable of completing the studies successfully.

§ 36 The Faculty Board may only accept applicants who are approved as postgraduate candidates by their employer or who have been granted funding for a PhD. However the Faculty Board may accept applicants with some other form of funding if the board deems the funding can be guaranteed for the entire length of study and that the applicant can dedicate sufficient time to their studies such that these can be completed within four years in the case of a licentiate and eight years for a doctorate.

Admission process

§ 37 Questions related to admission are to be resolved by the university. Anyone wishing to be admitted onto a postgraduate level course is to apply within the time and by the method specified by the university.

When a university resolves to accept one or several postgraduate candidates, the university shall publicise this through advertising or equivalent. However specific information need not be provided:

1. on acceptance of a postgraduate student who is to undertake their studies while an employee of an employer other than the university,
2. on acceptance of a postgraduate student who has previously started their studies at research level at another seat of learning, or
3. if there are similar specific grounds.

§ 38 The Faculty Board at a higher education establishment that has been designated a university may, without new admission, accept that a postgraduate student that has been admitted to another

university or other higher education establishment can transfer to the new university and continue their studies and be examined there. However this only applies in the case of postgraduate students who have undertaken the majority of their studies at the higher education establishment which has been given the designation of university.

That set out in the first paragraph shall have the corresponding application at a higher education establishment where there is a science area.

Higher Education Ordinance ch 6 Directions for all programmes

§ 7 A student has the right to gain credits for studies other than that covered by § 6, if the knowledge and proficiencies claimed by the student are of such a nature and scale that they largely correspond to the studies they seek to be credited towards. A student may also credit corresponding knowledge and skills acquired from work-related activities. Ordinance (2006:1053).

§ 8 The higher education establishment is to evaluate whether earlier studies or activities can be accepted towards credits. Students themselves can be referred to for crediting. Someone who has completed commissioned education as set out in §§ 6 and 7 Ordinance (2002:760) on commissioned education at universities or colleges can be considered for crediting towards studies at foundation level or advanced level. Ordinance (2006:1053).

Higher Education Ordinance Adoption and interim regulations To SFS 2006:1053

11. Applicants who meet the basic requirements for postgraduate studies prior to 1 July 2007 shall also thereafter be considered to possess the basic requirements to take up study at research level; this condition applies up to the end of June 2015.

4.1 Admission

According to the Higher Education Ordinance, the Faculty Board is responsible for admissions to courses at postgraduate level. At HU this task is delegated to FUN,³ which, in its turn, delegates admission preparation to the boards of the respective departments. FUN is the deciding body regarding admission, which it bases on the decision of the institution's board.

Acceptance to a postgraduate course at HU requires the following:

- basic and specific qualifications
- the applicant is assessed to be capable of completing the course successfully
- an individual study plan (where appropriate⁴ approved by an operations manager or equivalent) including a funding plan
- at least two proposed tutors, of which one is named as the principal tutor
- completion of an admissions seminar

In evaluating an application, the board of the department has to decide if candidates are able to dedicate sufficient time to their studies such that these can be completed within eight years in the case of a doctorate.⁵ As a postgraduate student, employment must not exceed the corresponding time required for a full-time postgraduate level course of four years for a doctorate.⁶ This is affirmed by the

³ See Delegation from FSM to FUN d no: LiU 132/06-10

⁴ When the postgraduate course is taken with the framework of employment within e.g. a county authority, local authority or company.

⁵ HF 7 kap 36 §

⁶ HF 5 kap 7 §

tutors and where appropriated the operations manager or equivalent on adoption and annual follow-up of the individual study plan. A postgraduate student admitted onto a PhD course can conclude their postgraduate studies with a licentiate degree on completion of not less than 120 credits of a course that leads to a doctorate.⁷

4.2 Funding

Higher Education Ordinance ch 5

§ 4 A person who is in receipt of a student grant to take a PhD shall, following application, be registered as a postgraduate student no later than when the equivalent of two years full time study for a PhD according to the study plan remains. However this does not apply if the Faculty Board or any such specific body as set out in ch. § 5a paragraph two, sentences three and four of the Universities and College Act (1992:1434) has resolved to withdraw postgraduate student resources in line with ch 6. § 37 of this ordinance or special education grant in line with § 14 ordinance (1995:938) on special education grant for postgraduate students.

§ 5 When a postgraduate student is to be employed in cases other than as set out in § 4, the capacity to complete their studies at research level is to be considered. Paragraphs two and three shall also apply.

If a postgraduate student is to be employed in association with admission to study, the regulations in ch 7 § 41 paragraphs two and three on determining grounds for admission and obstacles to precedence are to be applied.

The higher education establishment shall, through advertising or equivalent measures, publish the vacant post, such that anyone interested in the position can apply to the education establishment within the time limit specified. Such information need not however be provided simply if a postgraduate student is to be employed in association with acceptance onto a course of study and if it follows from ch 7. § 37 that the information is to be provided on admission.

§ 6 Employment as a postgraduate student is decided upon by the vice chancellor. Ordinance (1998:80)

§ 7 Employment as a postgraduate student shall be until further notice, however such notice shall be for a certain point in time and never longer than one year after completion of a PhD.

The initial employment may be for a maximum of one year. Employment can be renewed for up to two years at a time.

A person may be employed as a postgraduate student for a combined total of a maximum of eight years. However, this total period of employment may not be for longer than the equivalent of four year's full-time research level study. In the case of studies leading to a licentiate degree, the combined employment period may not exceed the equivalent of two year's full-time research level studies. The study time when a postgraduate student was not employed as a postgraduate student is to be deducted from these times.

The combined employment period may, however, be longer than that set out in paragraph three, if there are specific grounds for this. Such grounds can be absence due to sickness, leave for national service or for commissions of trust within union organisations and student organisations or for parental leave.

§ 10 Only persons in receipt of special education grant for postgraduate students may be employed as assistants.

Only persons accepted on foundation or advanced level courses may be employed as a teaching assistant.

⁷ HF Appendix 2 Degree Ordinance

Only persons who have completed a medical or dentist degree or are being admitted or have already been admitted as a research level student within a medical science area may be employed as a clinical assistant.

Studies can be funded via a special education allowance in combination with assistant duties, employment as a postgraduate student or if the postgraduate has some form of income that is guaranteed for the entire length of the study period.

Linköping University⁸ has resolved that from 1 July 2007 a special education grant is to be linked with employment as a part time assistant working at least 20 per cent of a full-time post. LiU has further resolved that from 1 July 2007 anyone employed as an assistant in combination with an education grant will be offered a position as a postgraduate student after two years employment. It is the aim of Linköping University that within three years (from 2 April 2007) employment as a postgraduate student is to be the only form of study support for postgraduates. This decision also means that any undergraduate programme taken in preparation for research where LiU has arranged a scholarship may not be counted towards postgraduate education.

Education grants are regulated in “Ordinance on special education grant for postgraduate students (SFS 1995:938)”. This sets out, among other things, that such grants may be provided for a combined total of maximum four years and ten months. However it may not be provided for longer than the equivalent of a full grant for two years and five months. Only persons in receipt of education grants may be employed as assistants (Higher Education Ordinance 5 § 10).

Many postgraduate students combine their postgraduate education with some form of employment with an employer other than the university, for instance, county councils, local authorities or companies. This is permitted provided postgraduate students can dedicate sufficient time to their studies such that these can be completed within eight years in the case of a PhD,⁹ and that other rules pertaining to postgraduate education at Linköping University and HU are complied with.

It can similarly be the case that foreign postgraduate students can have some type of funding (e.g. a scholarship). Before accepting an application, the departmental board is to assess whether funding can be secured for the entire period of study.

4.3 Qualification requirements

To be admitted to HU as a postgraduate student, candidates must possess basic and specific qualifications and be assessed to be capable of completing the course successfully.

Basic qualifications

Higher Education Ordinance ch 7 Basic qualification requirements

§ 39 The basic qualifications for studying at research level are:

1. completion of a degree at advanced level,
2. completion of course requirements of at least 240 credits, of which at least 60 credits are at advanced level, or
3. the acquisition, by some means, in Sweden or abroad of largely equivalent knowledge.

⁸ Resolution of the board of governors of Linköping University 02-04-2007 (D no LiU 455/07-50)

⁹ HF ch 7 § 36

The Faculty Board may grant exceptions from these basic qualifications for individual applicants, if there are specific grounds for so doing.

Specific qualifications

Higher Education Ordinance ch 7 Specific requirements

§ 40 The specific qualifications are requirements that are absolutely necessary for students to be able to successfully complete their studies. Such requirements can concern

1. knowledge from university education or equivalent,
2. specific work-related experience, and
3. requisite language skills or other conditions required by the studies.

Specific qualifications for postgraduate level admission to HU include proficiency in English equivalent to an approved TOEFL test¹⁰ or having completed an admissions seminar in English.

4.4 Selection and admission

Higher Education Ordinance ch 7 Selection

§ 41 The selection of applications who satisfy the requirements according to §§ 35 and 36 is to take into account their ability to successfully complete their studies. The Faculty Board is to determine the grounds for such as assessment when evaluating the ability to successfully complete studies.

However, circumstances where an applicant is judged to be able to credit previous studies or work-related experience towards studies may not, on their own, give an applicant priority over other applicants.

Establishment of a postgraduate studies place

Admission to postgraduate studies should, as much as possible, take place collectively following the issuing of information on the number of places available.¹¹ A principal tutor (project manager) wishing to take on a postgraduate student shall notify this to the Postgraduate degree vice chancellor (FUS) at the respective department. Such notification is to include details on the intended principal tutor, one or more assistant tutors, proposed funding, plus a project description. The subject representative is to sign this notification. The tutor's qualifications for this, including previous tutoring assignments and tutor courses taken, are to be listed. Whether such study is to be full-time or part-time (however not less than 50 percent of full-time) is also to be stated.

The board of the department is responsible for ensuring that all the postgraduate studies places that are established are advertised on the departmental website for at least three weeks. FUN is always to be notified as soon as a postgraduate studies place is ready to be advertised, so that the place can also be advertised on the FUN website. Adverts are to include a project description, names of intended tutors, whether it concerns full-time or part-time study, in which department (or equivalent) the research will be done, plus information on the final date for applications and how applications are to be submitted.

All proposals for new postgraduate studies places shall be quality controlled by the department. FUS prefers to receive applications for establishing postgraduate studies places for FUN before IS makes its decision on the establishment.

When the postgraduate student shall study within the framework of employment for an organisation outside the university, for example, county council, municipality or company, the following applies:

¹⁰ See <http://www.blueberrysprak.nu/examensguiden/examen.asp?exam=toefl>

¹¹ See d no: LiU 779/07-10

1. No advertisement is required
2. The postgraduate studies place shall be quality controlled by FUS, bearing in mind FUN's standpoint.
3. The head of department establishes the postgraduate studies place.

Application for admission to postgraduate studies at HU

In accordance with instructions in the advertisement on the department website.

Selection criteria for applicants are:

- capacity to complete a course at postgraduate level successfully

Admissions committee

Each department shall appoint an admissions committee charged with selecting from among the applicants, and organising an admissions seminar for the individual ranked first amongst the applicants. The admissions committee submits the basis for the decision on admission to the board of the department. The admissions committee comprises:

- the department postgraduate degree vice chancellor (FUS, chair)
- two teaching staff representatives
- a postgraduate student representative
- the principal tutor for the respective postgraduate student project, co-opted
- if there is a conflict of interest, the chair is replaced by his/her deputy and other members as decided upon by the head of department

Admissions seminar

The admissions committee invites the applicant ranked first in order for the postgraduate studies place to an open admissions seminar. The admissions seminar is carried out in Swedish or English (see Specific qualifications) by the applicant. Before the seminar, information is to be compiled in writing and sent to the members at least one week in advance. The content of this is to be as below, which also forms the basis for the oral presentation at the admissions seminar:

- background, structure and purpose of the research project
- timetable and the courses that should be completed by the midway review point of the respective PhD/licentiate degree.
- description of the contribution the tutors are expected to make to the postgraduate studies
- plan for a possible exchange of principal tutor and assistant tutor during the study period
- description of the funding plan (principal tutor and where applicable operations manager or equivalent, in appendix)
- possible crediting of knowledge and skills the applicant has acquired during earlier studies or work-related activities and wishes to credit towards postgraduate studies.¹²
- description of tests that require an ethical approval licence and details of existing ethical licences and those for which applications must be made to perform the planned research project

Decision on acceptance as a postgraduate student at HU

On completion of the admissions seminar and provision of the individual study plan (see Individual study plan), the board of the department decides to support or not supporting admission to the postgraduate studies place.

FUN then decides upon admission.

¹² See HF ch 6 § 7: A student may also credit corresponding knowledge and skills acquired from work-related activities. Ordinance (2006:1053).

For postgraduate students whose application for a postgraduate studies place has occurred since and including 1 January 2009, the following applies:

1. At least half of the sub works included in the postgraduate dissertation must be published/accepted for publication following admission for postgraduate study;
2. The sub works that shall be included in the postgraduate dissertation may be published, at the most, five years prior to admission for postgraduate study.
3. Postgraduate students shall, at the latest, during the term of their public defence have been registered postgraduate students with a degree of activity corresponding to three years full-time study.

Please note however the following cases:

1. Anyone wishing to be admitted to study for a PhD in accordance with their individual study plan that includes credits from earlier postgraduate studies done in Sweden or elsewhere must have been a registered and active postgraduate student at HU for a period corresponding to not less than two years full-time study before applying to defend their dissertation. A postgraduate studies place is established by the department, but no advertisement is required.¹³
2. Postgraduate students admitted onto a licentiate degree course will complete their studies with this degree. On completion of a licentiate degree, the individual concerned can apply for admission to subsequent postgraduate studies leading to a PhD. However, in such cases the same terms and conditions apply as for new applications for postgraduate studies places for a PhD. In these cases, though, the admissions seminar will be in the form of a midpoint review (see Midpoint review).

See Rules for studying at postgraduate level – licentiate degree.

Registration and reporting in LADOK

Ladok is the database for e.g. data required by the Ministry of Education, statistics produced by the Swedish National Agency for Higher Education and SCB on postgraduate students in Sweden, as well as the statistics presented by Linköping University in its annual report to the Ministry of Education.

When the department admits a postgraduate student for postgraduate studies this is registered in Ladok. During the education, the study credits obtained in course and theory sections plus the degree of activity and type of income are also reported annually. This is done by the department.

The examiner for each respective postgraduate course is responsible for ensuring that approved postgraduate courses organised at HU are reported in Ladok.

Courses taken at other seats of learning are to be approved by the Postgraduate degree vice chancellor and reported in Ladok. It should be clear that these courses are at postgraduate level.

- ☞ **Form 1. Application for admission to postgraduate studies at HU**
- ☞ **Form 3. Individual study plan**

¹³ See HF CH 7 § 37

5 Courses and other elements in postgraduate studies at the Faculty of Health Sciences

Higher Education Ordinance ch 6 General Study Plan

34 § A General Study Plan, determined by the Faculty Board is to be in place for every subject in which studies are organised.

§ 35 Each general study plan for postgraduate level education in a subject is to state the following:

1. the main content of the education, and, where appropriate, the mandatory reading matter on the subject,
2. the main structure of the education,
3. the necessary academic qualifications and other conditions required in addition to the basic requirements specified to be admitted as a student (specific qualifications),
4. that which on admission for a place applies to selection with respect to the grounds for assessment that shall be applied for testing the applicant's capacity to successfully complete the education,
5. the tests that are included in the education, and
6. where applicable, the opportunity to conclude one part of the education with a licentiate degree.

5.1 Courses at postgraduate level/postgraduate courses

All courses at postgraduate level at HU shall have a set syllabus. The syllabus is set and the examiners are appointed by the Research and Doctoral Studies Committee (FUN).

Courses can be organised with the support of FUN or organised by the departments. Postgraduate courses at HU are advertised on the HU website.

The general study plan for Medical Science at HU lays down the following requirements for taking a PhD:

Elements of postgraduate study	Min credits (cr)
Basic general science courses (see 5.2) The following three courses are mandatory: <ul style="list-style-type: none">- Scientific Methodology, 5 cr- Bioethics and research ethics, 3 cr- Scientific communication and information retrieval, 3 cr	18 cr
Mandatory courses for certain postgraduates	5 cr
Other postgraduate study courses	9 cr
Other credit giving elements	6 cr
TOTAL	Min 33 cr (38 cr for some postgraduate students)

5.2 Basic general science courses

Basic general science courses: min 18 cr for PhD

The mandatory basic general science courses must be completed before the midpoint review can be carried out (i.e. 11 cr), or licentiate degree taken. Basic general science courses passed shall make up not less than 18 cr, with a maximum 5 cr from any one subject.

Basic general science courses with examination passes:

- **Scientific Methodology, 5 cr**
- **Bioethics and research ethics, 3 cr**
- Basic biostatistics, 5 cr
- Multivariate statistics, 5 cr
- Epidemiology, 5 cr
- **Scientific communication and information retrieval, 3 cr**
- Good Clinical Practice (GCP), 2 cr
- Good Laboratory Practice (GLP), 2 cr

Courses in bold text are mandatory.

5.3 Mandatory courses for certain postgraduates

Postgraduate students who shall use laboratory animals must have passed the course no later than two years after starting their work¹⁴. Laboratory animal science, 5 cr

5.4 Other postgraduate study courses

Other postgraduate study courses: min 9 cr for PhD

- Approved participation and examination passed in subject-specific courses at postgraduate level in which the postgraduate candidate needs to acquire adequate knowledge, such as that specified in the individual course plan. These courses are to be approved by FUN or in the case of external courses, approved by FUS.
- Approved participation in elements in department wide postgraduate study programmes with clear credit specifications, such as research institutes.
- Other adequate courses, including approved clinical specialist courses (SK courses) that clearly have direct relevance to the research project in the individual study plan (max 5 cr in total).

5.5 Other credit giving elements

Other credit giving elements: min 6 cr for PhD.

- Participation in international conferences with a presentation by the candidate, such as postings or lectures (max 2 cr per conference, max 3 cr in total).
- Time spent with a research group at another university to learn new methods etc (gives 1.5 cr per week, max 3 cr in total).
- Participation in a series of seminars, journal clubs etc. at the department (1-2 cr per term depending on intensity, to amount to min 3 cr or a maximum of 5 cr in total).

¹⁴ Central Research Commission proclamation (SJVFS 1992:11) with directives and general advice on training requirements when using animals for scientific purposes etc (L 32).

5.6 Transferring credits

Postgraduates can apply to transfer credits for approved postgraduate studies at another university or university college that were taken after admission as a postgraduate student. Such credit transfers are resolved by FUS at the respective department. FUN can be consulted in uncertain cases. The crediting of knowledge and skills acquired from work-related activities and earlier studies¹⁵ is addressed in association with the admissions seminar and resolved by FUN in association with admission.

Anyone wishing to be admitted to study for a PhD in accordance with their individual study plan that includes credits from earlier postgraduate studies done in Sweden or elsewhere must have been a registered and active postgraduate student at HU for a period corresponding to not less than two years full-time study before applying to defend their dissertation. A postgraduate studies place is established by the department, but no advertisement is required.¹⁶

For postgraduate students admitted to HU **before** 1 July 2007 through previous decisions on PhD study stating that postgraduate study courses for 15 credits shall be completed prior to awarding the PhD.

For postgraduate students admitted **after** 1 July 2007, the equivalent requirement is 33 cr (38 cr for some). At FUN's meeting following the preview but prior to the decision on whether the public defence will be supported, the board decides on whether or not the postgraduate courses completed by the student are sufficient in scope and level for a PhD.

The postgraduate courses can either be completed at HU or LiU and then, normally, registered directly in Ladok by the respective examiners, or can have been completed at an alternative seat of learning and be credited during the ongoing postgraduate studies with the postgraduate degree vice chancellor (FUS) as the examiner. The latter also applies to credited courses that were completed prior to admission to the postgraduate studies. For admission to postgraduate studies after 1 July 2007, such transferred credits shall always occur in conjunction with admission.

FUS has delegation from FUN to evaluate courses with regard to crediting. The number of credits shall be evaluated in the process also. There is no system for routine approval of credits in the case of previous education.

The general condition for a course to be awarded credits as part of a PhD course is that:

- 1) courses that are examined *before* taking a postgraduate qualifying examination for 240 credits, or that are included in the courses for 240 credits (incl. 60 credits at advanced level) required for qualification to begin postgraduate studies; these cannot be included as part of the PhD course.
- 2) Courses which can be considered for inclusion in a PhD shall:
 - a. Be at postgraduate studies level
 - b. If they were taken at HU, have a FUN set syllabus
 - c. Be specified in the student's individual syllabus

¹⁵ HF ch 6 §§ 7-8

¹⁶ See HF ch 7 § 37

In addition, it is important that:

- Courses that are credited on the grounds that they correspond to the basic general science courses in HU's postgraduate studies (in accordance with HU's rules for postgraduate studies) or courses in laboratory animal knowledge are approved as part courses for a PhD, even though they have been completed at advanced level (FUS discusses the crediting with the examiner for the respective basic general science course at the time of the application).

If special circumstances arise in an individual case allowing for exception from the above rules in connection with crediting guidelines, FUS can hand over the case to FUN for testing.

The postgraduate student applies to the respective postgraduate degree vice chancellor (FUS) for crediting, who also decides on crediting.

The examiner for the respective postgraduate course at HU and FUS respectively are responsible for ensuring that approved course credits are registered in Ladok.

A foundation course of this kind taken for the purpose of preparing for postgraduate studies for which a LiU scholarship can provide student aid is assumed to be structured so that it cannot be credited towards postgraduate study.¹⁷

5.7 Examiners of postgraduate studies

Higher Education Ordinance ch 6

Examination grades

§ 39 Examinations that form part of the education at postgraduate level are to be assessed in accordance with the grading system prescribed by the higher education establishment. The grade is to be determined by a teacher (examiner) specially appointed by the higher education establishment. Ordinance (2006:1053).

Only a person who holds a position as, or acting, lecturer or higher or an unsalaried docent at Linköping University may be appointed as an examiner.¹⁸

Examiner of postgraduate courses at HU: a FUN appointed examiner

Examiner of postgraduate courses taken with pass grade at another seat of learning: FUS

Examiner of other elements within the postgraduate studies: FUS

Examiner of knowledge and skills acquired in work-related activities and earlier studies, i.e.

knowledge, skills and earlier studies done before starting postgraduate studies: FUS, in connection with a decision being made on the admission.

☞ **Form 4a. Application for course credits**

☞ **Form 4b. Application for credits from other elements**

¹⁷ University

¹⁸ D no: LiU 779/07-50

6 Individual study plan

Higher Education Ordinance ch 6 Individual study plan

§ 36 An individual study plan is to be formed for every postgraduate student. This is to be determined by the board of the Faculty in consultation with the postgraduate student and his or her tutor.

The individual study plan is to contain

1. a timetable for the postgraduate student's studies,
2. details of how the postgraduate student's tutoring is to be organised,
3. a description of the commitments in general of the postgraduate student and Faculty board during the course of the studies, and
4. what is otherwise required to ensure the studies are able to be pursued in an effective way at all times.

The individual study plan is to be reviewed by the Faculty Board at least once a year. At these reviews, the postgraduate student and principal tutor are to report to the Faculty Board on how the studies are progressing. The Faculty Board can then, or at some other point where this is justified, change the individual study plan as necessary. The period of study may only be extended if there are specific grounds for so doing. Such grounds can be absence due to sickness, leave for national service or for commissions of trust at union organisations and student organisations or for parental leave. Before any change is made, the postgraduate student and tutors have the right to comment on this.

The postgraduate student and principal tutor are to confirm in writing that they have been party to the individual study plan and any changes made to it.

The individual study plan is the document governing the specific field of study each individual postgraduate student has in their postgraduate studies.

The individual study plan is to be set by the board of the department. The principal tutor and postgraduate student establish the individual study plan in association with the application for admission as a postgraduate student. The individual study plan is to be reviewed at least once a year, see also Annual Review.

The individual study plan is to contain:

- Personal details and contact information for the postgraduate plus an attached CV
- The intended degree (PhD or Licentiate)
- A project plan for the postgraduate's research project, containing background, goals, methods, planned sub projects and importance, and timetable.
- A description of how the project can contribute to improving the health of people.
- Specific description of tests that require ethical approval and details of existing ethical licences and those that need to be applied for in relation to the planned research project.
- Knowledge, in addition to mandatory credits requirements, that is needed for the studies to be concluded successfully is to be specified in terms of field of study and number of credits together with details of how such is to be examined.
- Description of project specific reading matter that the postgraduate is to read during the course of study.
- Description of how mandatory credits requirements are to be achieved via postgraduate courses or research institutes and the planned extent of credit generating conferences, laboratory visits or similar.
- Description of tutoring, with personal details and contact information for the principal tutor and other tutors, plus how tutoring is to be structured and how the tutors are to share tutoring duties.

- Funding plan for the entire postgraduate studies period including a clear plan of how the postgraduate is to support him/herself and the sources of funding to be used.
- Timetable that clearly shows if and in which case how postgraduate studies are to be combined with other activities (e.g. teaching or clinical work), when annual reviews are to be performed, and when the midpoint review and PhD or licentiate degree is expected to be completed.
- Signatures. The individual study plan is to be signed in its entirety by both the applicant and all prospective tutors before submitting an application for admittance onto a postgraduate studies programme. If the plan is to part fund studies via another party, this party is also to sign the study plan. If the postgraduate studies are planned to be undertaken in parallel with clinical activities, the operations manager¹⁹ at the clinic concerned or other organisation, is to sign the individual study plan. In this context, a signature indicates that the signatory considers the study plan to be realistic and does not have any objections to how the postgraduate studies are planned as set out in the individual study plan, and undertakes to actively participate in the annual review of the individual study plan (see Annual Review below). This means that funding can be secured throughout the entire period of study and that the applicant can dedicate sufficient time to their studies such that these can be completed within eight years in the case of a PhD.

6.1 Annual Review

The Higher Education Ordinance²⁰ states that individual study plans are to be reviewed at least once a year. It is the responsibility of the postgraduate studies vice chancellor (FUS) at the respective department to request a review in writing from the postgraduate student and tutor. If no changes are to be made, the reasons for this are to be set out in the annual review, that is to be signed by both the postgraduate and tutor (and where applicable also the operations manager or equivalent) and include the following information:

- Elements completed in accordance with the plan
- More significant deviations from the individual study plan with regard to progress in the planned research project or completion of credit generating elements
- More significant deviations from the planned timetable or funding plan
- Other details that should be reviewed against the individual study plan originally submitted.

FUS at the respective department is to notify the board of the department if problems of a serious or principle nature arise at the annual review, or if the annual review has not been submitted despite reminders. In the case of postgraduate students employed by a local authority, county council or company, their operations manager or equivalent should always take an active part in the annual review.

A review as above is always to be done in association with the midpoint review. Views of specialists at the midpoint review should be incorporated into the individual study plan. If changes are not made, the reasons for this shall be given.

¹⁹ Operations manager or equivalent at e.g. a local authority or company.

²⁰ HF ch 6 § 36

6.2 Midpoint review

A midpoint review takes the form of an open seminar, and is to be done by every postgraduate taking a PhD. The seminar shall take place at the **latest** during the term after **one** of the conditions a or b has been met:

- a) when **a** manuscript is accepted for publication and **a** manuscript is entered for evaluation.
- b) when the equivalent of 1.5 years of full-time postgraduate studies have been completed.

The purpose of the midpoint review is to see how the dissertation project is progressing and to provide help in planning the continuing work.

In consultation with the postgraduate student and principal tutor, the subject representative applies for a midpoint review to the postgraduate degree vice chancellor (FUS). The head of department decides on the midpoint review and appoints two specialist candidates with sufficient knowledge of the subject. At least one of these specialists is to be a docent (the one with no conflict of interest).

One of the specialists at the mid-point review need not meet the demands concerning absence of conflict of interest due to delicacy or special circumstances, i.e. cooperation/co-production between on one side the tutors and/or the postgraduate student, and on the other hand the specialist. On the other hand, the specialist shall not have been directly engaged in the postgraduate studies in question, nor may conflict of interest due to family ties come into question. If one of the specialists has conflict of interest due to delicacy or special circumstances, the specialist without conflict of interest shall be the docent. The docent can then, to advantage, be a member the grade board at the student's public defence.

The midpoint review application is to include:

- a paper (5-10 pages) by the respondent describing the content of the dissertation project and progress (in English)
- a transcript from LADOK showing the postgraduate courses completed
- a copy of published articles or manuscripts intended to be included in a compilation dissertation or a summary of the dissertation work completed and planned in the case of a monograph dissertation (from the postgraduate student)
- position to be actively taken in the event of a change of principal or assistant tutor
- proposed chair and two specialists at the seminar (from the subject representative).
- Individual study plan (all versions that the postgraduate student has had)

The subject representative is the chairperson or, as a substitute, the principal tutor.

Conflict of interest need not be taken into account.

At the seminar, the postgraduate student presents the issues raised by the dissertation project, the background and methods, the results obtained to date and their significance plus the future work planned (the presentation is given in English). The specialists and seminar participants will then be given the opportunity to put questions about the project to the postgraduate student and discuss the future progress of the project (this can be in Swedish). The discussion is also held in English when, for example, one of the specialists or other participants is English speaking.

At the end of the seminar, the specialists are to provide an oral and written report on their viewpoints with regard to the quality of the project, the work carried out, the work planned and the seminar presentation for the postgraduate student, all tutors and the subject representative. The specialist without conflict of interest is responsible for keeping the minutes of the mid-point review and sending

it to the department's FUS. The comments in writing are to be signed by the specialists and chair, principal tutor, postgraduate student, subject representative and postgraduate vice chancellor. The individual study plan is always reviewed in connection with the completed midpoint review. The changes made in light of the views raised are noted, and if no changes are made, the reasons for this are to be set out (see Annual Review).

The original documents are logged and archived at the department. FUS is responsible for compiling the midpoint assessments on behalf of the respective department.

The mid-point review for postgraduate studies may only take place at Campus US or Campus Norrköping at Linköping University.

- ☞ **Form 5. Template for annual review**
- ☞ **Form 6. Application for midpoint review**
- ☞ **Form 7. Specialist assessments at the midpoint review, midpoint minutes**

7 Tutoring

Higher Education Ordinance ch 6

§ 31 The Faculty Board is to appoint at least two tutors for each postgraduate student. One of which is to be named principal tutor. Postgraduate students have the right to tutoring during the course of their studies, unless the Faculty Board resolves otherwise with the support of § 37. A postgraduate student is to be able to change tutor on request.

§ 32 A university or university college that organises education at postgraduate level is to organise the training of tutors. At least one of the tutors for a postgraduate student is to have undergone such training or be otherwise deemed to have the equivalent expertise by the Faculty Board.

Right to tutoring and other resources

§ 37 If a postgraduate student significantly neglects to adhere to the commitments set out in the individual study plan, the Faculty Board is to resolve that the postgraduate student shall no longer have the right to tutoring and other education resources. Before such a decision is taken, the student and tutors are to be given the opportunity to comment. An inquiry is to be then done based on their accounts and other investigations available to the Faculty Board. The assessment shall also determine whether the Faculty Board has fulfilled its own undertakings as set out in the individual study plan. The findings are to be presented in writing and accounted for.

The resources may not be withdrawn for the period the postgraduate student is employed as a postgraduate student or is in receipt of an education grant for postgraduate students. Ordinance (2006:1053).

§ 38 If education resources have been withdrawn in accordance with § 37, the postgraduate student can appeal to the Faculty Board to have the right to tutoring and other resources reinstated. The postgraduate student must then demonstrate through substantial subsequent work of significant quality or otherwise show that he or she is very likely to be able to complete the remaining commitments set out in the individual study plan. Ordinance (2006:1053).

7.1 Tutor policy

Linköping University has a set policy for tutoring at LiU and these rules follow the policy.

7.2 Tutor qualification requirements

Tutoring within postgraduate studies demands a high level of competence and considerable dedication, and plays a key role in the success of the postgraduate education. Therefore, when appointing a tutor,

the postgraduate student's need for high quality tutoring shall be prioritised above the merit value of the tutorial position.

At least two tutors are to be appointed for each postgraduate student, of which one is to be named principal tutor. The tutor who is not the principal tutor is henceforth titled the assistant tutor.

The principal tutor shall firstly be engaged as a docent, and secondly hold or maintain a position at Linköping University. The principal tutor must hold a docentship position, but this need not be at Linköping University.

The position of principal tutor can be held by permanent tenure personnel, as well as by personnel with limited tenures (docent), who are considered as employed by Linköping University up to the point of the postgraduate student's public defence according to the individual study plan. The conditions of employment for the potential principal tutor are established in each case by the board of the department when a postgraduate studies place is applied for.

If, despite this, a principal tutor's tenure terminates before the postgraduate studies are completed, one of the assistant tutors who meets the requirements of principal tutor is, in the first place, appointed to fill the position.

A county council employed docent can be appointed as principal tutor, but then at least one of the assistant tutors must be a permanent employee of Linköping University.

Principal tutors shall, in accordance with the individual study plan, have the opportunity to complete their tutoring for a PhD before reaching their expected retirement age.

Assistant tutors are to be PhDs.

If an assistant tutor during the postgraduate study period becomes engaged as a docent, and the board of the department estimates that the person concerned will hold that position up until the planned time of the postgraduate student's public defence, the person can take over the position of principal tutor.

At least one of the tutors is to have taken a research tutor course or be assessed to have such expertise. Such assessment is to be made by the FUS.

At least one of the tutors is to work at the department to which the postgraduate student is admitted.

Principal tutors shall, in accordance with the individual study plan, have the opportunity to complete their postgraduate tutoring for a licentiate degree or PhD before reaching their expected retirement age.

7.3 Duties of the principal tutor

The principal tutor is to have overall responsibility for tutoring in terms of the structure and implementation of research projects, and joint responsibility with the postgraduate for ensuring that the courses and other elements specified in both the general and individual study plans are undertaken.

The principal tutor is to ensure that annual reviews of the individual study plan are performed and that the midpoint review and public defence are planned and held. The principal tutor is to ensure that the completed midpoint review and activities and income are registered in Ladok at six monthly intervals.

Principal tutorship entails no formal financial responsibility, this falls on the department. However the funding plan is to be specified in the individual study plan. The principal tutor is to ensure that a funding plan is established and reviewed.

7.4 Duties of the assistant tutor

The assistant tutor or tutors are primarily to complement the scientific competence within the project. One of the assistant tutors should also be able to permanently replace the principal tutor if he or she can no longer perform their duties. The individual study plan is to clearly specify the role of the respective assistant tutors in the case in question.

7.5 Exchange or replacement of tutor

During the midpoint review the possibility of exchanging the principal and assistant tutors shall be accounted for. According to the Higher Education Ordinance a postgraduate student has the right to replace tutors. The head of department will normally appoint a new tutor at the request of a postgraduate or tutor, following preparation by the FUS.

8 Examination

Higher Education Ordinance ch 6 Public Defence

§ 40 The PhD degree description states that the doctorate degree requirements include an approved scientific dissertation (doctoral dissertation). This dissertation is to have been defended orally at a public defence.

§ 40 The vice chancellor is to determine the time and place for the public defence. The public defence is to be announced well in advance. When making this announcement, sufficient copies of the doctoral dissertation shall be made available at the higher education establishment to enable satisfactory inspection of the dissertation prior to the public defence.

The Faculty Board is to decide on the minimum number of copies prior to the public defence and on payment for the cost of producing them.

§ 42 The public defence is to be chaired. There is to be an opponent at the public defence. The chair and opponent shall be appointed by the Faculty Board.

Grading a postgraduate dissertation

§ 43 A postgraduate dissertation is to be given the grade of pass or fail, unless the higher education establishment prescribes another grading system. When making the assessment, consideration is to be given to the content of the dissertation and its defence.

§ 44 The grade for a postgraduate dissertation is to be determined by a grade board, especially appointed for each dissertation.

§ 45 A grade board is to consist of three or five members. The Faculty Board determines the number of members and appoints them. At least one of the members of the grade board is to come from the teaching staff of another Faculty Board area of responsibility or from another university. Anyone who has been a tutor for the postgraduate student may not be a member of the board unless there are specific reasons for so being. The board shall appoint one of its number as chair.

§ 46 The opponent has the right to attend meetings of the grade board and participate in discussions but not in the decision. The same applies to the principal tutor, if he or she is not a member of the board.

§ 47 The grade board forms a quorum when all its members are present. The board decision shall be a majority ruling. The board is to determine if grounds are to be provided for the decision and if reservations are to be reported, in the absence of specific directions on such from the higher education establishment.

The postgraduate dissertation is to be defended orally at a public defence in the presence of the faculty opponent and grade board. The public defence is to take place during term time at a time and place determined by the vice chancellor. The postgraduate student is to book the date for the public defence well in advance. The public defence can be held on non-holiday weekdays and Saturdays. No more than a maximum of two public defences may be held per day at HU (one in the morning and one in the afternoon). The dean can grant exceptions to this.

- The public defence or licentiate seminar normally takes place at Campus US, Campus Norrköping or Campus Valla

- In the case of a postgraduate student whose postgraduate studies have had a close connection to particular location (county), their public defence or licentiate seminar can also take place at the county hospital in Ryhov (Jönköping), Kalmar hospital or Örebro university hospital.
- The department at HU that the respondent is registered with can receive, from the faculty, up to 5000 kronor per occasion as travel allowance so that faculty members, who so wish, including grade board members, can be provided with direct transportation from Linköping/Örebro to a public defence or licentiate seminar taking place in Jönköping, Kalmar or Örebro.
- FUS then makes the practical arrangements surrounding such travel

8.1 Doctoral dissertation structure and scope

To receive a doctor's degree, the postgraduate student must have a scientific dissertation worth at least 120 credits approved.

Most dissertations at HU are **compilation dissertations** based on a number of sub works. Such sub works shall be set in an explanatory framework which together with the sub works forms the dissertation.

For students admitted before 1 July 2007, the following options are available:

- a) Remains in a previous postgraduate discipline with associated general study plan.
Course and element requirements remain as per the previous general study plan, and degree requirements remain i.e.:
 - In a compilation dissertation, the postgraduate student will normally have written at least four scientific articles (PhD) in which the student has made an independent and prominent contribution. At least two of the articles are to have been published or accepted for publication in referee-reviewed scientific publications.
- b) Switch to the postgraduate studies discipline of Medical Science and associated general study plan.
Course and element requirements will then be as set out in Courses and other elements in postgraduate studies at HU. Degree requirements:
 - A compilation dissertation for a PhD shall comprise at least two sub works, and normally not more than four. The exact number depends on the quality and scope of the sub works as well as, not least, the role of the postgraduate student in creating the respective sub works. The postgraduate student's contribution must be clearly discernible. Assessment as to whether the presented dissertation work with completed courses equates to four years full time study and attains a good international standard is done through the grade board's preview and conclusively by FUN.
 - At least two sub works shall be accepted/published in referee-reviewed publications with international distribution, or be open access publications with referee procedures. The postgraduate student shall be the principal author of at least one of the works. The postgraduate student shall have participated in all parts of the publication process for scientific articles.
 - If fewer than four sub works are involved in the postgraduate dissertation, the summary, a so called kappa, is included in the application for a public defence. (The latter condition applies to applications for public defences as from 1 July 2009.)

For admissions as from 1 July 2007 and for applications for public defences prior to 1 January 2009

The number of sub works in a compilation dissertation shall be 3-4 original pieces depending on the quality and scope, of which at least 2 have been accepted for publication in referee-reviewed publications and the other 1-2 submitted for publication at the latest when the grade board was appointed. In the case of sub works included in a dissertation, the postgraduate candidate's work shall be clearly discernible.

For admissions as from 1 July 2007 and for applications for public defences as from 1 January 2009

A compilation dissertation for a PhD shall comprise at least two sub works, and normally not more than four. The exact number depends on the quality and scope of the sub works as well as, not least, the role of the postgraduate student in creating the respective sub works. The postgraduate student's contribution must be clearly discernible. Assessment as to whether the presented dissertation work with completed courses equates to four years full time study and attains a good international standard is done through the grade board's preview and conclusively by FUN.

At least two sub works shall be accepted/published in referee-reviewed publications with international distribution, or be open access publications with referee procedures. The postgraduate student shall be the principal author of at least one of the works. The postgraduate student shall have participated in all parts of the publication process for scientific articles. If fewer than four sub works are involved in the postgraduate dissertation, the summary, a so called kappa, is included in the application of the public defence. (The latter condition applies to applications for public defences as from 1 July 2009.)

All dissertations at HU are to adhere to the LiU/HU graphic profile. For further information on format please see www.liu.se/hu.

For postgraduate students applying for postgraduate studies places as from 1 January 2009, the following applies:

1. At least half of the sub works included in the postgraduate dissertation must be published/accepted for publication following admission to postgraduate study.
2. The sub works that shall be included in the postgraduate dissertation may be published, at the most, five years prior to admission for postgraduate study.
3. Post graduate students shall, at the latest, during the term of their public defence have been registered postgraduate students with a degree of activity corresponding to three years full-time study.

It is also possible to defend a **monograph dissertation**, see below.

8.2 Procedures for monograph dissertations

Doctoral dissertations

1. The monograph must be presented in the form of a manuscript before FUN can consider the application for a public defence
2. The monograph manuscript is sent by FUN for referee assessment to two persons (an external = from another seat of learning, and an internal = from LiU), each of which presents comments in writing (these two persons can but need not be members of the future grade board).
3. The respondent compiles a letter containing his/her response to the comments clarifying the changes that have been made to the monograph manuscript because of them.

4. FUN appoints, according the applicable procedure, the grade board, always with five members, and the faculty opponent.
5. The monograph manuscript revised by the respondent is included in the application, as well as the documentation in accordance with point 3.
6. The grade board recommends or does not recommend a public defence.
7. FUN supports or does not support holding the public defence.
8. Application for a public defence for a monograph dissertation is made through a special procedure about six months prior to the public defence. Contact FUS.

8.3 Application to hold a public defence

The application for the public defence is made to the FUS for the respective department.

The application **procedure** for a public defence is as follows:

- The application for a public defence is submitted to the FUS* (time details in relation to the public defence date)
- FUS checks that there is no conflict of interest with the proposed grade board and faculty opponent (see Conflict of Interest rules), that the requisite number of postgraduate credits have been gained and that in all other respects the application adheres to the rules laid down.
- FUS proposes an internal specialist with no conflict of interest from the dean appointed permanent teaching staff (if the grade board is to have five members two of these are to come from the permanent teaching staff)
- FUS presents the individual case to the FUN chairperson and a FUN member. FUN chairperson sets a time and place for the public defence, appoints the faculty opponent, grade board and chair for the public defence on behalf of FUN.
- The grade board previews the dissertation and explains its reasons for recommending a public defence
- FUN takes up the case in full session on the basis of the preview.

* The **application** for the public defence submitted to the FUS is to contain:

- From the subject representative: a proposed faculty opponent, two grade board members, one of which is to be external²¹, a replacement for the grade board, and a host for the public defence proceedings. All these are to have docent qualifications or higher, had been approached and had accepted the duty when the application for the public defence was made. The faculty opponent is not to have taken part in the midpoint review/licentiate seminar.
- From the principal tutor: a brief description of the sub works included and a specification of the work done personally by the postgraduate student in the scientific work. In cases where work is also used in another dissertation, a more extensive description of the work done by the different authors is to be provided. Any one piece of work can be used at most on two examination occasions and then only if the efforts of the respective postgraduate students can be clearly substantiated.
- transcript from Ladok (UT90) showing the postgraduate courses and other elements completed
- copy of the midpoint review report

²¹ External member: from a faculty other than HU at LiU or other university/university college.

- individual study plan (including all individual study plans that have been revised during the course of the postgraduate studies)
- an approval signed by the respondent for electronic publication (voluntary)²²
- three complete and collated copies of the sub works included in the dissertation or if the dissertation is in the form of a monograph, the entire dissertation in manuscript form.
- Signed verification by all tutors, respondent, subject representative and the FUS that there are no conflicts of interest.

☞ **Form 8. Application for the public defence submitted to the FUS**

8.4 Grade board

The grade board for a public defence at HU shall consist of three members. If necessary²³ the grade board can consist of five members. The subject representative submits the names of the proposed faculty opponent to the FUS, two grade board members (of which at least one is to be external), a replacement and the host of the public defence (usually the subject representative with the principal tutor as reserve). At least one of the members on the grade board is to be appointed from the teaching staff at a faculty or university other than HU. The Faculty opponent and all members on the grade board are to have a docent or higher qualification. FUS proposes an internal board member from the dean appointed permanent teaching staff; this person chairs the public defence proceedings. FUS presents the public defence case to a member from FUN and the FUN chairperson which appoint the faculty opponent, all grade board members, replacement and chairperson for the public defence. If possible, one of the grade board members should have been the specialist at the midpoint review. One of the members of the grade board, normally one on the permanent teaching staff, is summoned as a grade board member prior to the preview, see below.

Preview

FUN is responsible for contacting the grade board and requesting a preview report. When the FUN chairperson has appointed the grade board, the sub works are sent to the grade board members for previewing. The grade board member from the permanent teaching staff is appointed to convene the grade board. At the preview, an assessment is to be made of whether the works and completed courses correspond to four year's full-time postgraduate study, and if the works are of high international quality. If this is the case, the application for a public defence is then supported. The grade board shall always be convened on the acquiescence of all the board members, through a meeting or a telephone conference. A convened grade board is to submit in writing, a unanimous grade board preview assessment of whether the sub works or monograph dissertation are of such scale and high international quality that a public defence can be recommended. The grade board members are each to separately acknowledge that they support the preview assessment. If the grade board considers that there are quality shortcomings, a public defence cannot be recommended. In this case, the reasons for this recommendation are to be presented in writing.

Decision to support holding a public defence

Once the preview recommendation has been received, FUN considers the application at its next meeting. FUS and the FUN member involved in the preparation are the submitters.

²² The department only receives a so-called public defence contribution when the postgraduate student has taken his/her degree and published the dissertation electronically via the LiU E-press.

²³ For example when a postgraduate dissertation is of a multidisciplinary character and in the case of monograph dissertations.

8.5 Nailing

At least three weeks before the public defence, the completed dissertation is to be publicised through “nailing”. Nailing can take place from and including the first Monday in August up to the Friday before Midsummer Eve. The dean is contacted before the nailing event to sign the two copies to be nailed. One copy is to be entered the university registrar and nailed to Linköping University official notice board at Origo house, Valla. The second copy is to be nailed at the entrance to the HU library.

The signed approved copies for publication are sent to the HU chancellery.

A set number of mandatory copies are to be sent to the Linköping University library. The dissertation is also circulated to the faculty opponent and grade board members. It is also common practice to circulate the dissertation in printed or electronic form to relevant departments and researchers, nationally and internationally.

The dissertation is also publicised through:

- the postgraduate's and department's own distribution
- Electronic publication at LiU E-press (normally full text excl. manuscript)

8.6 Measures in case of the need to replace a grade board member or faculty opponent

In the case of the need to replace a grade board member or faculty opponent on or prior to the day before the public defence

In the case of an ordinary grade board member giving notice the day before at the latest of being unable to partake in the public defence, the FUN chairperson, or in the case of their unavailability, the vice chairperson, shall be informed of this. The FUN chairperson/vice chairperson can then decide to appoint the replacement for the ordinary member or resolve the situation in some other way.

If the faculty opponent gives notice at the latest the day before the public defence of being unable to carry out the assignment, the FUN chairperson, or in the case of their unavailability, vice chairperson shall be contacted immediately, and must then resolve the situation.

In the case of notification of absence on the day of the public defence

If a grade board member or faculty opponent gives notice on the day of the public defence that they are unable to participate or will miss the beginning of the proceedings, the grade board member who convenes the board and chairs the public defence has the mandate to appoint a replacement. If necessary the proceedings can be adjourned for up to two hours.

An absent internal grade board member can be replaced by a docent without conflict of interest.

An absent faculty opponent can be replaced by a grade board member. This grade board member is then probably replaced by the person previously appointed by FUN, or if this person cannot participate at such short notice, by a docent without conflict of interest.

In the case of an external member not being able to participate, a replacement from a faculty other than HU must be appointed.

Following the public defence, FUN shall be informed of the circumstances.

8.7 Public defence

The public defence proceeding are normally led by a host and a chairperson. The subject representative acts as the host (or the principal tutor if the subject representative is unavailable). Conflict of interest need not be taken into account. The chairperson for the public defence is the person appointed by FUN to convene the grade board for the preview.

The host welcomes everybody to the public defence, presents the respondent, the title of the dissertation, the faculty opponent, grade board members and the principal and assistant tutors. He/she then hands over to the chairperson for the public defence.

- The chairperson declares the public defence open and proceeds as follows:
- The respondent reports any possible corrections to the dissertation and if necessary distributes an errata list
- The faculty opponent presents a brief popular science introduction to the dissertation and the research field addressed by it
- The respondent or the faculty opponent presents the main findings and conclusions of the dissertation
- The faculty opponent discusses the dissertation with the respondent, raising strengths and weaknesses and poses questions that the respondent is required to answer
- The chair calls on the grade board to pose questions
- The chair calls on others attending to pose questions
- The chair closes the public defence and summons the grade board to an immediate meeting to resolve on the grade. The grade board appoints a chairperson from its members to chair this meeting

The host can on completion of the public defence invite those attending to the subsequent social gathering.

8.8 Grade board meeting

The grade board convenes immediately after the public defence proceedings and appoints one of its members as chairperson. The faculty opponent has the right to attend the grade board meeting and participate in the discussions, but not in the decisions. The principal tutor is to be present at the grade board meeting and participate in the discussions but not in the decisions.²⁴ The assistant tutor(s) can be co-opted onto the grade board discussions but may not participate in the decisions.

The doctoral dissertation is awarded the grade of pass or fail. When determining the grade, consideration is to be given to both the scientific content in the dissertation and the defence of this during the public defence. The reasons for a grade board decision may not be reported in the minutes or other documentation if the dissertation is approved. The same applies to the reasons an individual member can have put forward for a difference of opinion or other order. In the event of a fail grade, the postgraduate is to be given the opportunity to reapply to defend a new dissertation at a new public defence at a later date.

Not participating in the decision entails not being physically present.

☞ **Form 9. Minutes of public defence**

8.9 Degree certificate and Diploma supplement

FUN is to ascertain that the postgraduate meets the requirements for a doctorate. When all elements of the doctorate have been fulfilled, an application is submitted to FUN for a degree certificate. HU is entitled to award a doctorate in philosophy and a doctorate in medicine. The application for a degree certificate is to state the type of degree. A specific form is sent to the candidate when the minutes of the grade board meeting have been received by FUN. In the case of doctorates, the degree certificate is

²⁴ D no: LiU 779/07-50

issued by the vice chancellor and for licentiate degrees, by the dean or assistant dean. An application for a degree certificate submitted to FUN is to be accompanied by the following documents:

- personal ID (max three month old)
- transcript from Ladok (RS93) showing the postgraduate courses passed (available from the department)
- documentation showing that student union fees have been paid for at least eight terms (doctorate) (available from the student union office)

In addition to the degree certificate from HU certifying the postgraduate studies completed with pass grade, every postgraduate also receives a Diploma supplement. This shows the title of the dissertation, the knowledge goals achieved by the postgraduate student, the postgraduate courses and other crediting elements completed by the postgraduate as registered in Ladok.

9 Resolving problems

Right to tutoring and other resources

§ 37 If a postgraduate student significantly neglects to adhere to the commitments set out in the individual study plan, the Faculty Board is to resolve that the postgraduate student shall no longer have the right to tutoring and other education resources. Before such a decision is made, the student and tutors are to be given the opportunity to comment. An inquiry must then be carried out based on their accounts and other investigations available to the Faculty Board. In making an assessment, the Faculty Board is to determine if it has met its own obligations as set out in the individual study plan. The decision and the reasons for it shall be given in writing.

The resources may not be withdrawn for the period the postgraduate student is employed as a postgraduate student or is in receipt of a special education grant for postgraduate students.

§ 38 If education resources have been withdrawn in accordance with § 37, the postgraduate student can appeal to the Faculty Board to have the right to tutoring and other resources reinstated. In this case the postgraduate student must demonstrate through substantial subsequent work of significant quality or otherwise show that he or she is very likely to be able to complete the remaining commitments in the individual study plan.

Postgraduate students have the right to tutoring for the time that can be considered necessary for their postgraduate studies. However, in accordance with Higher Education Ordinance ch 6 § 37, the Faculty Board can withdraw resources from a postgraduate student if he or she significantly neglects to adhere to the commitments set out in the individual study plan.

9.1 The problem resolving process

- In the first instance, the department postgraduate degree vice chancellor (FUS) is to be contacted or, in the event of conflict of interest, his/her deputy).
- If the department, tutor or the postgraduate student feel the matter should be investigated by a party external to the department, any of the parties can request this of FUN on notifying the department postgraduate degree vice chancellor.
- A group appointed by FUN (FUN chairperson, a teaching staff representative, a postgraduate student representative and secretary) prepare and present the case. The postgraduate student, principal tutor and representative of the department management have the right to attend this presentation. A ruling can initially mean that the matter is further investigated by the department postgraduate degree vice chancellor, or external specialists appointed by the dean. All cases are to result in a decision by FUN in the form of a factual statement and a recommendation as to how the department should deal with the matter.
- If the department or postgraduate student is dissatisfied with FUN ruling, the matter is referred to the Faculty Board (FSM).

10 Transition directives

These rules apply in their entirety to postgraduate students admitted as from 1 July 2007. Higher Education Ordinance 2006:1053 then came into force.

For students admitted before 1 July 2007, the following options are available:

- a) Continue with their previous postgraduate studies discipline and associated general study plan.
Course and element requirements remain as per the general study plan and degree requirements remain, i.e.:
 - in the case of a compilation dissertation, the postgraduate student will normally have written at least four scientific articles (PhD) in which the student has made an independent and prominent contribution. At least two of the articles are to have been published or accepted for publication in referee-reviewed scientific publications. Sub works are to be set in an explanatory framework, which together with the sub works forms the dissertation.
- b) Switch to the postgraduate studies discipline of Medical Science and associated general study plan.
Course and element requirements will then be as set out in: Courses and other elements in postgraduate studies at HU. Degree requirements:
 - A compilation dissertation for a PhD shall comprise at least two sub works, and normally not more than four. The exact number depends on the quality and scope of the sub works as well as, not least, the role of the postgraduate student in creating the respective sub works. The postgraduate candidate's contribution must be clearly discernible. Assessment as to whether the presented dissertation work with completed courses equates to four years full time study and attains a good international standard is done through the grade board's preview and conclusively by FUN.
 - At least two sub works shall be accepted/published in referee-reviewed publications with international distribution, or be open access publications with referee procedures. The postgraduate student shall be principal author of at least one of the works. The postgraduate student shall have participated in all parts of the publication process for scientific articles.
 - If fewer than four sub works are involved in the dissertation, the summary, so-called kappa, is sent with the public defence application. (This last condition applies with applications for public defence as from 1 July 2009.)

Revised conflict of interest rules for the midpoint review apply as from 29 October 2008.

Procedures for establishing a postgraduate studies place and the decision on admission apply as from 1 January 2009.

Rules for tutors apply as from 1 January 2009.

The rules stipulated in this document for postgraduate dissertation procedures apply to those persons admitted for postgraduate level study as from 1 July 2007 and who apply for public defence after 1 January 2009.

For postgraduate students applying for postgraduate studies places as from 1 January 2009

2. At least half of the sub works included in the dissertation must be published/accepted for publication following admission to postgraduate study

3. The sub works that shall be included in the dissertation may be published, at the most, five years prior to admission for postgraduate study.
4. Postgraduate students shall, at the latest, during the term of their public defence have been registered postgraduate students with a degree of activity corresponding to three years full-time study.

Appendices and forms