

## The LTV Faculty's procedures for doctoral education

This document describes the faculty's procedures for doctoral education and is based on the joint SLU [guidelines for third cycle \(doctoral\) education](#). The document is intended to serve as a guide for supervisors and doctoral students, from admission to thesis defence. Please note that guidelines and procedures will vary depending on when the doctoral student was admitted. A doctoral student may request to be transferred to the new guidelines. All governing documents and forms are available from the [supervisor support portal](#) and the [doctoral student support portal](#) on the staff web.

The processing time during summer (15 June-15 August) is longer, and this period should generally be deducted from the deadlines given.

### Advertising places on doctoral programmes

All doctoral programme positions must, with few exceptions, be advertised (see [Recruitment and admission](#)). The department's human resources officer will assist in writing the advertisement. The registrar in Uppsala receives the applications and sends them to the prospective supervisor. All applications must be submitted on the correct [form](#) and include the following:

- a. Curriculum vitae
- b. Certified copies of degree certificates and extracts from the student registry from previous studies at first-cycle or second-cycle level.
- c. One copy of the thesis at second-cycle level, corresponding to at least 15 credits, or another relevant independent paper of equivalent difficulty and scope.
- d. Document showing that the applicant fulfils the entry requirement of English B/6 or equivalent. Applicants who do not have final school grades from a Swedish upper secondary school must have a certificate of competence equivalent to English 6 from an internationally recognised language test (TOEFL, IELTS or Cambridge ESOL), in accordance with the [requirements described at ww.universityadmissions.se](#). Any exceptions from this requirement are described at [www.universityadmissions.se](#).
- e. If the applicant is a foreign citizen, a certified copy of the passport, including photo and personal information, must be attached.
- f. If possible, a list of referees and their contact information should also be attached.

The department sends the application form and annexes for the selected candidates for an authenticity check to the Division of Educational Affairs, Box 7010, 750 07 Uppsala (this also applies to applicants with a Swedish degree, including from SLU). Include the registry number stated in the advertisement and write “Doktorandansökningar för granskning” in clear writing on the envelope. In those cases where places on a doctoral programme have not been advertised, e.g. when the applicant has a personal scholarship, you must ask for a registry number from the registrar in Alnarp before forwarding the application to the Division of Educational Affairs. The division returns the applications, including annexes, to the department together with a certificate as to the applicant's eligibility and the authenticity of the attached degree certificate and language certificate.

### **Admission of a doctoral student**

The form [Recommendation on admission to doctoral education](#) is sent to the responsible director of studies. The following annexes must be included:

- a. The applicant's complete application, including annexes.
- b. Certificate of the applicant's eligibility and the authenticity of the enclosed certificates (issued by the Division of Educational Affairs).
- c. A preliminary individual study plan (use the joint template available at [the forms page](#)).
- d. The SLU [project calculator](#) signed by the head of department and the department financial officer.
- e. The project agreement including project number (if applicable).
- f. Recruitment materials (the ad and reasons for the admission proposal, written by the head of department).

In special cases, the following documents must also be included:

- g. In cases of joint/double degree: a copy of the agreement between the parties involved.
- h. If the applicant holds a personal scholarship: a copy of the letter of acknowledgement.
- i. If the applicant holds a personal scholarship: a certified copy of the agreement between the student and the donor.
- j. If the applicant is employed by SLU other than as a doctoral student, or is employed by a company or a foreign university, a certified copy of the employment contract or equivalent must be attached, certifying in writing that the applicant will be able to devote enough time to their studies to enable their completion within the given timeframe (Higher Education Ordinance, Chapter 7, Section 36).

SLU only accepts scholarships providing net financial support of at least SEK 16,000 per month for the period the doctoral student will spend in Sweden. Scholarships may not have any provisos concerning the academic performance of the doctoral student. Financing studies with the help of private means is not allowed.

The responsible director of studies reviews the documents and sends them to the registrar in Alnarp. The application is then forwarded to the doctoral education officer responsible for doctoral programmes, and then to the vice dean for doctoral education, who decides on admission.

The doctoral education officer registers the doctoral student in Ladok, adds them to the doctoral student mailing list and informs the doctoral student, the main supervisor, the head of department, the director of studies and the human resources officer that the doctoral student has been admitted. The employment process is handled by the human resources officer. The director of studies meets with the new doctoral student to inform them of what it involves being a doctoral student at SLU.

### **General information**

A doctoral student must have a minimum of two supervisors, one of whom one is the main supervisor and who is also a docent or professor employed at the same department as the doctoral student. Both genders must be represented in the supervisor group (see [Guidelines for third-cycle \(doctoral\) education](#)). Assistant supervisors at SLU must hold a doctoral degree. At least one of the assistant supervisors must be employed at SLU. If there is a change of supervisor during the doctoral studies, an application must be made using the form [Change in supervisor group](#), which should then be sent to the registrar in Alnarp, who will forward it to the doctoral education officer. There are also forms to be used if the doctoral student wishes to [transfer to the joint university guidelines](#) or [change their subject area](#). The decision is made by the vice dean for doctoral education.

## **The doctoral student process**

### **Individual study plans**

An individual study plan ([ISP](#)) must be completed, with information on the courses to be taken, scientific work, level of activity and funding, as well as the responsibilities of the doctoral student and supervisor respectively. The preliminary ISP attached to the application must be completed in detail within *three* months of admission, and thereafter be signed by the doctoral student, the main supervisor and the head of department, before being handed in to the director of studies concerned. The director of studies reviews the ISP, signs it and forwards it to the doctoral education officer for entering in the registry and archiving. The ISP should be revised and updated at least once a year. It is suggested that the ISP be revised in connection with the annual follow-up (see [Checklist for annual follow-up](#)) done by the doctoral student and the supervisor. The updated ISP is handed in to the director of studies, who after reviewing it forwards it to the faculty officer for entering in the registry and archiving.

### **Introductory seminar**

In connection with the first annual follow-up, the doctoral student holds an introductory seminar, announced and chaired by the supervisor.

### **Mid-way review**

After two years' net study time, but before the mid-way review, the doctoral student must hold a seminar at which they display sufficient ability to

- orally present their thesis work;
- discuss and analyse general and specific methods within the subject area;
- independently discuss and analyse their findings;

The director of studies announces the seminar after the doctoral student has given notice of the date, time, room and title of the seminar.

The oral presentation must be evaluated by a person who has been admitted as docent or who possesses scientific competence equivalent to that required to be admitted as docent in the relevant subject. The director of studies appoints the evaluator after a proposal from the supervisor group.

Directly following the seminar, a mid-way review meeting is held with the doctoral student, the main supervisor, any assistant supervisors, the director of studies, the person evaluating the seminar and in some cases the head of department attending. During the meeting, the evaluation is discussed, as well as conclusions and comments from the seminar. The status of the doctoral project is reviewed, the conditions for completing the programme and thesis work are discussed and the progress is compared to the study plan. The doctoral education officer, upon notice from the director of studies, updates the Ladok registry stating that the student has progressed halfway.

### **80% review**

When the doctoral student has completed 80 % of the doctoral programme, the director of studies calls a new review. In addition to the doctoral student and the director of studies, the main supervisor and any assistant supervisors attend the meeting. Within the research school for social sciences, a final seminar is held with an external or internal examiner. The 80% review takes place in connection with the seminar. The doctoral education officer registers the completed 80% in Ladok after receiving notice from the director of studies.

Licentiate students are called to a review meeting (corresponds to 80%) by the director of studies approximately six months before the licentiate seminar; the doctoral student and the main supervisor attend this review meeting.

### **Courses**

In the [general study plan](#) for each doctoral programme subject at the LTV Faculty, the total number of credits required for each degree is stated, together with the number of credits required in subject courses, general courses and other activities. For doctoral students admitted before 1 January 2016, at least 60 credits in courses are required for a Degree of Doctor, and at least 30 credits for a Degree of Licentiate. For students admitted after this date, the requirements are 45 credits for a Degree of Doctor and 22 credits for a Degree of Licentiate.

All doctoral and licentiate degrees at SLU must include credit-awarding courses in theory of knowledge and research ethics. These courses should cover rules on cheating and plagiarism (applies to doctoral students admitted after 1 July 2015).

*Subject courses* provide in-depth subject study and/or complementary studies. Subject courses comprise courses on both theory and method.

*General courses* provide general competence of a kind required by virtually all doctoral students in the faculty. The Council for PhD Education (Fur) decides which courses count as general courses, and the council then reimburses the faculty for these courses. Courses on the following subjects are offered in Alnarp: Introductory course for PhD students, ethics and philosophy of science, how to write and publish a scientific paper, popular science writing, educational courses (given by EPU), research design and treatment of data.

The course coordinator reports which courses the student has taken directly to the doctoral education officer. Certificates of other courses, plus the course syllabus, are sent to the director of studies for assessment. The certificates must be signed by the main supervisor, who suggests the number of credits to be awarded for the course, if applicable. The director of studies sends supporting documents to the doctoral education officer for reporting in Ladok.

Courses classified as a combination of doctoral/Master-level (by the doctoral education committee) are generally accredited 2/3 of the credits for a Master-level student. The main supervisor proposes the number of credits to be awarded, and this proposal is then evaluated by the director of studies. This can be done on a copy of the course certificate, where the main supervisor writes the suggested number of credits and signs the document. The director of studies then sends the supporting documents to the doctoral education officer for reporting in Ladok.

Please note that all courses must be completed and registered in Ladok before the defence of the thesis/licentiate seminar.

Doctoral programme courses at the faculty must have a course syllabus and be approved by the doctoral education committee. The application form [Approval of course syllabus - PhD student course](#). The course syllabus must be attached.

### **Before the defence of the thesis**

The defence of the thesis/licentiate seminar must be held between 15 August and 15 June. The doctoral student submits the thesis to the director of studies for pre-examination no later than 3 months before the defence. At the same time, the form for [application for defence of the doctoral thesis/licentiate seminar](#) should be sent to the Alnarp registrar. When the application has been received, the doctoral education officer will inform the student of the rules for publication.

A compilation thesis must include a minimum of three (one for a Degree of Licentiate) papers, and the doctoral student must be the corresponding author of at least two of them (one for a Degree of Licentiate). At least one of the papers must have been accepted for publication or have been published in a peer-reviewed international scientific journal.

All theses at the faculty must be pre-evaluated. The pre-evaluator is appointed by the director of studies and must be a docent or have equivalent competence. Note that the pre-evaluation of a compilation thesis where only a few of the articles have been accepted for publication will in general be more extensive and require more time. Pre-evaluation is also done for monograph theses, using the written evaluation from the final seminar as a starting point. If the doctoral student is deemed ready for the defence of the thesis or the licentiate seminar, despite the formal requirements not being fulfilled, the supervisor must apply to the doctoral education committee for an external pre-evaluation. The application must explain the reason why the requirements have not been fulfilled. In such cases, the pre-evaluation is done by a minimum of two persons (not employed at the faculty) who have been accepted as docents, or have the equivalent scientific competence, in the subject in question. One of them may be a member of the examining committee at the public defence of the thesis.

The main supervisor makes a preliminary scheduling of room and time for the thesis defence/licentiate seminar and checks with the doctoral education officer that the date is available.

It is the responsibility of the supervisor to suggest a suitable external reviewer, three to five members, an alternate and a chair for the examining committee. Both sexes must be represented as full members of the examining committee. The external reviewer must hold a doctoral degree, and the chair must be employed at SLU. The members of the examining committee must likewise hold doctoral degrees, and the majority of them must have been admitted as docents or possess equivalent scientific competence in the subject in question (see the [Guidelines for doctoral education](#)).

The application for a licentiate seminar must include a proposal for a chair and examining committee, composed of three members and one alternate. Both sexes must be represented as full members of the examining committee. The chair must be employed at SLU. All committee members must hold doctoral degrees.

The application for defence of thesis/licentiate seminar on the [intended form](#), as well as the [form for declaring conflicts of interest](#), are sent to the Alnarp registrar no later than three months before the date of the defence/seminar. The matter is assigned a registration number and sent to the doctoral education officer, who forwards it to the vice dean for doctoral education. The director of studies sends a certificate stating that the thesis has been pre-evaluated. The vice dean for doctoral education decides on the defence/seminar and approves the composition of the examining committee. The doctoral education officer notifies the supervisor and

doctoral student when the defence/seminar and the examining committee have been approved, and sends official letters to the chair, external reviewer, committee members and alternate no later than one month before the defence.

The thesis must be published at least three weeks before the defence/licentiate seminar; this is done by registering it (notification of the date of defence) with the registrar (applies to printed theses). To be registered, the thesis must first be published in the Epsilon Open Archive at the SLU Library. It is the responsibility of the doctoral student to register and publish the thesis. The director of studies announces the defence/licentiate seminar in a suitable way. The Alnarp printing services sends copies of the thesis for legal deposit, and the doctoral student sends the thesis to the external reviewer and the members of the examining committee.

The department is responsible for all arrangements in connection with the notification of the date of defence of a thesis (booking a room, catering etc.) and any other practical arrangements before and during the defence such as booking a venue, travel/accommodation for the external reviewer/examining committee, lunch for the external reviewer/supervisor/author of the thesis/examining committee on the day of the defence, flowers to the thesis author from the department, as well as non-alcoholic drinks for the reception after the defence. The doctoral education committee will remunerate costs up to SEK 55,000, including printing costs for the thesis and any external review.

At the [supervisor support portal](#) you will find recommendations for how to organise the thesis defence and the licentiate seminar.

## **Who does what?**

### **Vice dean for doctoral education**

[Helena Persson Hovmalm](#), phone 040 41 5521

Responsibilities: Decides on admission, thesis defence and changes of supervisor, chairs the doctoral education committee.

The duties of the doctoral education committee is to (from the LTV Faculty's delegation of authority):

- to propose to the faculty board in which subjects doctoral studies should be organised and to propose general study plans for the subjects;
- to decide any specialisations within the doctoral education subjects;
- to approve course syllabuses for subject courses on doctoral programmes and appoint examiners for doctoral-level courses;
- to be responsible for the quality of doctoral education, according to guidelines in the strategies for SLU and the LTV Faculty;

- to grant waivers/exemptions, provided there are special circumstances, from the rule that both genders should be represented in the group of supervisors;
- to grant waivers/exemptions, provided there are special circumstances, from the rule that both genders should be represented on the examining committee;
- to decide on transfer of credits for courses on doctoral programmes. Some decisions will be delegated to the director of studies for the doctoral programme;
- to decide on the allocation of funds for courses at doctoral level.

### **Director of studies**

[Åsa Klintborg Ahlklo](#) (research school for social sciences), phone 040 41 5421  
[Helene Larsson Jönsson](#) (research school for natural sciences), phone 040 41 5370

Responsibilities: Examines applications for admission; approves individual study plans; responsible for the midway and 80% reviews being held; organises pre-evaluation of theses; assesses transfer of credits for courses etc.

### **Doctoral education officer**

[Cecilia Alsved](#), phone 040 41 5025

Responsibilities: Registers the doctoral student in Ladok upon admission; reports course credits, midway and 80% review and defence of thesis; notifies the relevant persons when admission is completed; official invitation to the external reviewer and the examining committee; orders flowers from the faculty for the thesis defence reception; is secretary of the doctoral education committee etc.

**Supervisor/department:** Sends the applications of the top candidates to the Division of Educational Affairs, interviews the candidates, organises annual follow-ups with the doctoral student including updating of the ISP, proposes reviewers for the mid-way review, external reviewer and examining committee, arranges notification of the date of the defence of the doctoral thesis and the defence itself.

**Ultuna registrator** (Registrator vid SLU, Box 7070, 75007 Uppsala, [registrator@slu.se](mailto:registrator@slu.se)): Receives applications for advertised doctoral posts.

**Alnarp registrator** (Box 52): Receives documents for registration, e.g.

- applications for admission to a doctoral programme;
- change of supervisor;
- application for defence of doctoral thesis.