



UPPSALA  
UNIVERSITET

# Guidelines for Third- cycle Education

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## Disciplinary Domain of Medicine and Pharmacy

*This English version of "Guidelines for Third-cycle Education at the Disciplinary Domain of Medicine and Pharmacy at Uppsala University" is a translation from Swedish provided for reference purposes only. In case of discrepancy between the two versions, the Swedish version of the Guidelines shall always prevail. The English version is updated when the Swedish document is revised.*

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# 1 Introduction

The Disciplinary Domain of Medicine and Pharmacy's guidelines for third-cycle education are based on chapters 5, 6, 7 and 12 in the Higher Education Ordinance (1993:100), (the Ordinance (1995:938) on Doctoral Student Grants), "Admissions Regulations and Rules Regarding Grading in Third-cycle Education at Uppsala University", UFV 2012/2057, and "Guidelines for Third-cycle Education at Uppsala University", UFV 2009/1993. This document refers to the Higher Education Ordinance (HEO), as stated in the framework documents "Admissions Ordinance for Studies at the Graduate Level, Uppsala University", UFV 2012/2057 (AFUU), referred to as the University's admissions ordinance, and "Guidelines for Third-cycle Education at Uppsala University", UFV 2009/1993, referred to as the University's common guidelines.

The guidelines describe the additional terms and conditions applicable to planning and implementing third-cycle education in the Disciplinary Domain of Medicine and Pharmacy.

## 1.1 Goals and preconditions for third-cycle education

Third-cycle education is the highest level of public education in Sweden. The Disciplinary Domain of Medicine and Pharmacy at Uppsala University offers four third-cycle degrees: Doctor of Pharmacy, Licentiate Degree of Pharmacy, Doctor of Medicine and Licentiate Degree of Medicine. An English translation can be found in "Regulations Regarding Studies at the Graduate Level at Uppsala University", UFV 2010/318. Third-cycle education must be of such high quality and such a structure that individuals who have earned a Degree of Doctor or a Degree of Licentiate will be well prepared and well qualified for employment at the best universities in Sweden and abroad, in the business community, in public authorities and in society in general. This education must be carried out in an attractive and dynamic setting marked by the highest quality, critical thinking, diversity, gender equality, openness, and democratic values.

Quality third-cycle education requires a good research environment. Doctoral students in medicine and pharmacy will be offered the best educational conditions, supervision by competent and dedicated researchers, and good study conditions in general. Third-cycle students' dissertation work will form an important component of the department's research activities and aim to result in internationally competitive research.

The overarching goals for third-cycle education are thus that the recent graduate doctor or licentiate will have good qualifications for a successful career in academia or elsewhere. This entails:

- a good subject knowledge of a research domain
- a capacity for independent and critical thinking
- skills in scientific methods and modes of working
- an ability to identify interesting and researchable problems
- pedagogical skills and an ability to express oneself in speech and writing
- a capacity to work in an international context
- a good ability to understand and deal with ethical issues in research

Degrees of Doctor from Uppsala University's various faculties must be comparable in terms of level. The same applies for Degrees of Licentiate. Degrees must be completed within the same period of time following a combination of coursework and dissertation work.

## 1.2 Responsibility for third-cycle education

Under Chapter 2, Sections 2-3 of the Higher Education Ordinance, the responsibility for third-cycle education ultimately lies with the University Board and the Vice-Chancellor. By delegation, responsibility for third-cycle education in medicine and pharmacy has been assigned to the Disciplinary Domain Board of Medicine and Pharmacy. By delegation, according to “Rules of Procedure for the Disciplinary Domain of Medicine and Pharmacy”, MEDFARM 2014/241, responsibility for several issues in third-cycle education in medicine and pharmacy has been assigned to the Research Training Committee.

The Disciplinary Domain Board and Research Training Committee have overall responsibility and supervisory responsibility. Ongoing responsibility lies with the department in which the doctoral student is registered. The Disciplinary Domain Board, Research Training Committee, department heads and supervisors are responsible for ensuring that third-cycle education is carried out with high quality and efficiency and that the rights and obligations of everyone involved are observed.

The Disciplinary Domain Board must coordinate third-cycle education within its field of responsibility and, if suitable, establish department-wide regulations pertaining to public defences and licentiate seminars. The Research Training Committee establishes other regulations pertaining to third-cycle education. Departments are responsible for their implementation. The department is to decide either to establish a special body or to specially appoint one or more individuals to exercise this responsibility within the department. For example, this responsibility may be exercised by the head of department, the deputy head of department, a specially appointed director of studies for third-cycle education, or by collective assessment of the achievement of a doctoral student by the faculty.

An individual study plan specifies the mutual rights and responsibilities between the department and the doctoral student. Teaching and Learning at Uppsala University provides guidance and advice regarding expectations and approaches to issues pertaining to the respective responsibilities of teachers and students. In most cases, these also apply to the third cycle.

## 1.3 General study syllabus

### **Subjects**

**Chapter 6, Section 25 of the Higher Education Ordinance** - A university or higher education institution entitled to award third-cycle qualifications shall determine the subjects in which third-cycle courses and programmes may be offered. Ordinance (2010:1064).

### **General study syllabus**

**Chapter 6, Section 26 of the Higher Education Ordinance** - For each subject in which third-cycle courses or study programmes are offered a general study syllabus is required. Ordinance (2010:1064).

**Chapter 6, Section 27 of the Higher Education Ordinance** - A general study syllabus shall indicate the following: the main content of the study programme, specific entry requirements and any other regulations required. Ordinance (2010:1064).

### **Common Guidelines of the University**

The Disciplinary Domain Board or Faculty Board with overall responsibility for third-cycle education in an area determines the subjects in which third-cycle education shall be provided. For each such subject there shall be a general study syllabus to indicate the main content of the educational programme, specific entry requirements, and other requisite directives. The Disciplinary Domain Board or Faculty Board with overall responsibility for third-cycle education in an area must establish general study syllabi. The syllabi must state the ratio of dissertation work to coursework, whether a Degree of Licentiate can be taken, and what is required for each degree diploma.

### **General study syllabi in the Disciplinary Domain of Medicine and Pharmacy**

General syllabus in pharmaceutical science

General syllabus in medical science

## **1.4 1.4 Individual study plans**

**Chapter 6, Section 29 of the Higher Education Ordinance** - An individual study plan shall be drawn up for each doctoral student. This plan shall contain the undertakings made by the doctoral student and the higher education institution and a timetable for the doctoral student's study programme. The plan shall be adopted after consultation with the doctoral student and his or her supervisors.

The individual study plan shall be reviewed regularly and amended by the higher education institution to the extent required after consultation with the doctoral student and his or her supervisors. The period of study may only be extended if there are special grounds for doing so. Such grounds may comprise leave of absence because of illness, leave of absence for service in the defence forces or an elected position in a trade union or student organisation, or parental leave. Ordinance (2010:1064)

### **Common Guidelines of the University**

At Uppsala University, individual study plans must include information about

- The intended degree (doctorate, licentiate, or both) and, where applicable, special reasons for admission to a licentiate programme.
- A timetable for the doctoral student's education. The timetable should include a broad plan for each year and an estimated date for the public defence of the doctoral thesis. The design is particularly important; the plan should thoroughly describe the projected dissertation work, including target dates for goals or interim goals that can be followed up.
- A funding plan for the entire period of study. When funding other than a doctoral studentship or study grant is financing the project, the special considerations obtained upon admission

must be appended to the individual study plan, along with the contract with the financier, if applicable.

- Planned courses, teaching, teacher training, and/or other departmental work.
- The organization of supervision, indicating both the scope and forms.
- The special conditions applicable to the studies, such as workplace, computer, other work tools, and anything else required for efficient completion of the programme.

The study plan must be signed by the doctoral student, supervisors and head of the department. The Disciplinary Domain Board, Faculty Board, or the joint body for a faculty or Disciplinary Domain with responsibility for third-cycle education is in charge of reviewing and revising the individual study plans at least once per year. More frequent follow-ups and alternative approaches should be considered if special difficulties can be foreseen. Teacher training is mandatory for doctoral students who will have teaching duties. Training must either be a credited component of the individual study plan or it must be carried out within the framework of the doctoral student's departmental duties. The individual study plan is a progressive document in which both deviations and completed stages are continuously documented. It is desirable for doctoral students to be offered the opportunity to have personal performance reviews with the director of studies or an equivalent individual who is not directly involved in the student's dissertation work.

### **Guidelines of the Disciplinary Domain**

The individual study plan for doctoral students in the Disciplinary Domain of Medicine and Pharmacy must be drawn up in the e-form provided by the Disciplinary Domain. In addition to the information provided in other regulations, information on examiners, workplace during the period of study, the doctoral student's undertakings, the Disciplinary Domain's undertakings and a brief research plan (four A4 pages at most) must be included. If the prospective doctoral student lacks basic medical training, proposals for bridging courses must be provided in the individual study plan.

#### **1.4.1 Revision of the individual study plan**

##### **Guideline of the Disciplinary Domain**

In the event of a change of supervisor, addition or removal of a supervisor, significantly changed research plan or significantly changed schedule for dissertation work, the revised individual study plan must be presented to the committee and the head of the committee must take a decision on a new study plan.

#### **1.4.2 Annual follow-up of individual study plan**

##### **Guideline of the Disciplinary Domain**

The individual study plan must be reviewed annually and revised if needed. The annual follow-up is carried out by the doctoral student and principal supervisor in consultation with other supervisors and examiners.

The report from the annual follow-up must include information on the progress of work on the dissertation and implementation of theoretical aspects of the study programme in relationship to the individual study plan.

## 2 Admission

### 2.1 Admission requirements and eligibility

**Chapter 7, Section 35 of the Higher Education Ordinance** - The requirements for admission to third-cycle courses and study programmes are that the applicant

1. meets the general and specific entry requirements that the higher education institution may have laid down, and
2. is considered in other respects to have the ability required to benefit from the course or study programme.

**Chapter 7, Section 39 of the Higher Education Ordinance** - A person meets the general entry requirements for third-cycle courses and study programmes if he or she:

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

The higher education institution may permit an exemption from the general entry requirements for an individual applicant, if there are special grounds.

**Chapter 7, Section 40 of the Higher Education Ordinance** - The specific entry requirements laid down shall be essential for students to be able to benefit from the course or study programme.

These requirements may comprise:

1. knowledge from one or more higher education courses and study programmes or corresponding courses and study programmes,
2. specific professional or vocational experience, and
3. requisite language skills or other conditions determined by the course or study programme.

### Uppsala University's Admissions Ordinance

**Section 2 AFUU** - The Faculty Board is charged with establishing specific entry requirement conditions for each third-cycle subject area. These conditions must be given in the general study syllabus for the third-cycle subject area.

## Guidelines of the Disciplinary Domain

Specific entry requirements for the third-cycle subject areas of medical science and pharmaceutical science are:

1. English 6 (previously English B)
2. Education in relevant fields for the subject

## 2.2 Application and admission decisions

**Chapter 7, Section 36 of the Higher Education Ordinance** - A higher education institution may only admit applicants to third-cycle courses and study programmes who have been appointed to doctoral studentships or awarded doctoral grants. The higher education institution may, however, admit applicants who have some other form of funding for their studies if it considers that the funding can be guaranteed during the entire period of study and that the applicants can devote enough time to their studies to enable their completion within four years in the case of a licentiate degree or a licentiate degree in the fine, applied and performing arts or eight years in the case of a PhD or a doctorate in the fine, applied and performing arts. Ordinance (2010:1064).

**Chapter 7, Section 38 of the Higher Education Ordinance** - A higher education institution that has been entitled to award third-cycle qualifications within an area may permit a third-cycle student who has been admitted to another university or another higher education institution to transfer without a new admission process to the higher education institution and to continue his or her courses and study programmes and receive his or her qualification there. This only applies, however, if the third-cycle student has completed the major part of his or her third-cycle studies at the higher education institution in the area in which entitlement to award third-cycle qualifications has been granted.

### Uppsala University's Admissions Ordinance

**Section 3 AFUU** - The Faculty Board may admit a doctoral student to a third-cycle programme leading to either a Degree of Licentiate or a Degree of Doctor. To ensure the prevention of an initially planned two-stage model, students must be admitted to licentiate programmes by the Faculty Board or the equivalent body responsible for third-cycle education. A special explanation for admission to a licentiate programme must be incorporated in the student's individual study plan. Admission of students to licentiate programmes may not be delegated to the department level. Doctoral students originally admitted to a programme leading to a Degree of Licentiate may, upon renewed application and approval, continue their studies toward a Degree of Doctor. Doctoral students who originally planned to complete a Degree of Doctor may be permitted to conclude their studies with a Degree of Licentiate. A portion of any programme at the third-cycle level leading to a Degree of Doctor may be concluded with a Degree of Licentiate at Uppsala University if that programme comprises at least 120 higher education credits.

The major share of faculty-funded student finance is expected to be allocated to programmes that can lead to a Degree of Doctor.

Part-time doctoral studentships may be granted if a doctoral student so wishes and the Faculty Board assesses that this is appropriate.

When considering applications for admission to third-cycle education, the Faculty Board shall always evaluate the application, plan, and accept responsibility for its undertaking to provide an actual period of study of two years for doctoral students intending to conclude their studies with a Degree of Licentiate and for an actual period of study of four years for doctoral students intending to conclude their studies with a Degree of Doctor.

Admission of doctoral students must be based on well-defined criteria of quality. The same criteria must apply for the admission of third-cycle students with external funding and self funding as for the admission of third-cycle students with faculty-funded student finance.

The programme length for licentiate and Degree of Doctors may not be unofficially extended de facto by the student pursuing studies at the third-cycle level (“shadow doctoral student”) without having been formally admitted, nor should the actual programme length be extended in other ways to exceed two or four years of actual period of study, respectively.

## 2.3 Selection for admission to third-cycle education

**Chapter 7, Section 41 of the Higher Education Ordinance** - Selection among applicants who meet the requirements laid down in Sections 35 and 36

In selecting between applicants who meet the requirements laid down in Sections 35 and 36 their ability to benefit from the course of study programmes shall be taken into account. The higher education institution determines which assessment criteria shall be used in determining the ability to benefit from the courses and study programmes. However, the fact that an applicant is considered able to transfer credits from prior courses and study programmes or for professional or vocational experience may not alone give the applicant priority over other applicants.

### Uppsala University’s Admissions Ordinance

**Section 4 AFUU** - Admissions to third-cycle education and the allocation of student finance must be performed openly and in competition.

### Guideline of the Disciplinary Domain

In selecting among applicants who fulfil the general and specific entry requirements, their ability to benefit from the course or study programmes shall be taken into account. The assessment criteria to be applied in the selection process are:

1. The applicant’s documented subject knowledge with relevance to the research domain
2. The applicant’s analytical ability as demonstrated through a scientific report, academic paper, degree project or similar
3. The applicant’s additional documented knowledge that is significant for third-cycle education

## 2.4 Information about third-cycle education

**Chapter 6, Section 3 of the Higher Education Ordinance, first paragraph, second sentence** - Higher education institutions shall ensure that those intending to begin a [third-cycle] course or study programme have access to the information about it that is required.

**Chapter 7, Section 37 of the Higher Education Ordinance** - Decisions relating to admissions are made by the higher education institution. A person who wishes to be admitted to a third-cycle course or study programme shall apply within the time prescribed and in compliance with the procedures laid down by the higher education institution.

When a higher education institution intends to admit one or several third-cycle students, information shall be provided by the higher education institution through advertising or some equivalent method. Information need not, however, be provided:

1. about the admission of a third-cycle student who is to complete the course or study programme within the framework of employment by an employer other than the higher education institution,
2. about the admission of a third-cycle student who has previously begun third-cycle studies at another higher education institution, or
3. if there are similar special grounds. Ordinance (2006:1053).

### Uppsala University's Admissions Ordinance

**Section 5 AFUU** - For studies at the graduate level, each Faculty Board shall provide information about

- How admissions are carried out
- When available places in graduate-level studies will be announced
- What documents must be appended to applications for admission
- The layout of the programme
- Forms of funding for the programme
- The general curricula for each subject

Notice of the opportunity to apply for admission to studies at the graduate level must be available locally and on the University home page ([www.uu.se](http://www.uu.se)) at least three weeks prior to the deadline for applications. The announcement should be national and international. The local rules formulated here regulate new admissions to studies at the graduate level.

### Disciplinary Domain's procedures for admission of doctoral students

Procedures to call for applications and select doctoral students:

- A third-cycle programme group is established at each department, which could include the director of third-cycle education at the department, a supervisor representative and a doctoral student representative.
- The third-cycle programme group proposes the creation of doctoral positions to the department board or the department head. This takes place when finances and projects allow for it, usually at the initiative of individual researchers.
- Advertising for available positions should be done locally on the department website and on the university's [jobs and vacancies webpage](#), in compliance with applicable regulations.
- The supervisor selects applicants to third-cycle programmes in consultation with the department's third-cycle programme group. The department board approves the decision.
- Certification that the call for applications and selection procedures have been carried out as described above is given in connection with drawing up and signing the form "Application for admission to third-cycle (postgraduate) studies".
- Advertising is not necessary when admitting a doctoral student employed by an accountable authority other than the university, such as a county council, municipality or company.
- Advertising is not necessary when admitting a doctoral student for a later portion of his or her third-cycle studies.
- Advertising is not necessary when admitting students for licentiate studies.
- The Research Training Committee admits the doctoral student.

### **Guideline of the Disciplinary Domain**

Application for admission to third-cycle education is done via the e-form on the Disciplinary Domain's website. For the application to be considered by the Research Training Committee, the form must be filled in correctly. The form is also the foundation of the individual study plan. In addition to the information to be included in the individual study plan, the application must also include information about:

- Advertising of doctoral position
- Explanation if the position is not advertised
- Certificate of qualifications

## 3 Supervisor and supervision

### 3.1 Supervisors

**Chapter 6, Section 28 of the Higher Education Ordinance** - At least two supervisors shall be appointed for each doctoral student. One of them shall be nominated as the principal supervisor.

#### Uppsala University's Admissions Ordinance

**Section 1 AFUU** - For each doctoral candidate, the Faculty Board shall appoint [at least] two supervisors, one with the primary responsibility for the candidate's studies, including dissertation work, and one assistant supervisor. At least one of the supervisors must be an associate professor.

Normally, a work place and other conditions required for the pursuit of graduate studies shall be provided by the department. At least one of the supervisors must be employed by or hold an adjunct position at Uppsala University.

#### Guideline of the Disciplinary Domain

The following applies for researchers registered as a principal supervisor for a doctoral student at the Disciplinary Domain of Medicine and Pharmacy at Uppsala University:

The proposed principal supervisor must be very familiar with, and comply with the rules for, third-cycle education offered at Uppsala University. Typically, a principal supervisor is already a docent. In the event the proposed principal supervisor has not yet become a docent, the planned supervisor constellation must be formally approved in a separate enclosed supporting letter signed by the head of the department at Uppsala University in which the doctoral student will be registered.

An application for admission to third-cycle education will be reviewed by the Research Training Committee. Factors that will be considered in the overall assessment of the proposed supervisor constellation are that the *principal supervisor* has:

- well-documented postdoctoral research experience, production and independent line of research
- their own (external or internal) research grants that have already been received
- completed the one-day supervisor training course offered in the Disciplinary Domain

In addition, *at least one of the supervisors* must be:

- an employee or adjunct at one of the departments of the Disciplinary Domain
- hold the qualifications required for appointment as a docent

### 3.2 Change of supervisor

**Chapter 6, Section 28 of the Higher Education Ordinance, second paragraph** - A doctoral student who so requests shall be allowed to change supervisor.

### **Guideline of the Disciplinary Domain**

Changing supervisors involves a revision of the doctoral student's individual study plan and must be handled by the Research Training Committee.

## **3.3 Supervision**

**Chapter 6, Section 28 of the Higher Education Ordinance** - The doctoral student is entitled to supervision during his or her studies unless the vice-chancellor has decided otherwise by virtue of Section 30.

### **Common Guidelines of the University**

Supervision is an important issue of quality in third-cycle study programmes. It is therefore important that the scope, forms and planning of time are the objects of reflection and discussion in conjunction with the individual study plan being drawn up and revised in consultation between the supervisor and doctoral student. Resource people such as the director of studies, supervisory committee or something similar enhance the opportunity to improve the academic environment during the period of study and may, if needed, function as neutral parties in discussions about the content, work forms and results of the programme studies.

Depending on the subject and focus of the dissertation, the concept of supervision may be defined in various ways. In addition to time spent in direct discussion with the supervisor, the concept of supervision also includes time spent by the supervisor reviewing and commenting on the doctoral student's texts, assisting with literature searches related to the dissertation project and similar tasks. In some subjects, supervision may be in experimental methods, which may be provided by technical staff responsible for the relevant equipment. Proposing and discussing a dissertation subject is an important educational component for the doctoral student. However, it is essential that as an experienced researcher, the supervisor actively helps the doctoral student at this preliminary stage to make the choice in a timely manner and to ensure the chosen subject can be scientifically addressed within the planned time frame.

The responsibilities of supervisors include facing issues and problems that are not only scientific in nature. This places high demands on the general expertise of the supervisors. At least one supervisor must have undergone supervisor training. A university-wide supervisor training course is therefore regularly arranged. The Disciplinary Domain Board or Faculty Board assigned with overall responsibility for third-cycle education should also offer supervisor training. New supervisors should complete supervisor training no later than their first year as a supervisor.

### **Guidelines of the Disciplinary Domain**

The primary task of the supervisor is to help the third-cycle student become an independent researcher with a scientific approach.

The supervisor must keep up to date on the rules and guidelines pertaining to third-cycle studies and:

- ensure that the doctoral student acquires the knowledge specified in the study plan

- ensure that adequate resources for the project are made available to the doctoral student at the department
- facilitate participation by the doctoral student in relevant third-cycle courses, symposiums and conferences in accordance with the individual study plan
- be supportive, encouraging and available for discussions with the doctoral student to the extent specified in the study plan
- help expand the doctoral student's contact network at the department by encouraging the student to present the project in seminars beginning early in the project and subsequently at regular intervals
- ensure that the dissertation project progresses at a reasonable rate so that the work concludes within the stipulated period of time
- be responsible for and take the initiative to conduct and document annual follow-ups and mid-way reviews
- decide when the dissertation project has achieved such a scope that it is ready for public defence (It is primarily the supervisor's responsibility to assess when the dissertation meets the requirements that may be placed on a thesis regarding both quality and scope)
- together with the department head, propose a faculty external reviewer and members of the examining committee, and inform the doctoral student about the public defence rules

## 3.4 Supervisor training

### **Guideline of the Disciplinary Domain**

The Disciplinary Domain's supervisor training is mandatory for the principal supervisor of dissertation work in medical science and pharmaceutical science. The course is strongly recommended for the second supervisor. Full attendance is required to pass the course. A course certificate will be issued.

## 3.5 Third-cycle programme courses

### 3.5.1 Syllabus

**Chapter 6, Section 14 of the Higher Education Ordinance** - A course shall have a course syllabus. Ordinance (2006:1053).

**Chapter 6, Section 15 of the Higher Education Ordinance** - The course syllabus shall indicate the following: the cycle in which the course is given, the number of credits, objectives, specific entry requirements, how student performance is assessed and any other regulations required. Ordinance (2010:1064).

#### **Guideline of the Disciplinary Domain**

A course evaluation must be completed at the end of each course.

## 4 Mid-way review

### **Guideline of the Disciplinary Domain**

The mid-way review is mandatory for doctoral students admitted to the Faculty of Pharmacy after 1 April 1998 and for doctoral students admitted to the Faculty of Medicine after 1 January 1999. The mid-way review must take place once the equivalent of two years of full-time work have been completed. The mid-way review may be conducted when all compulsory courses are completed.

The mid-way review may be replaced by the licentiate seminar.

The mid-way review must include a written report on the project and an oral presentation of the project in the form of a seminar.

### 4.1 Written report for mid-way review

#### **Guideline of the Disciplinary Domain**

The written report may be a compilation comprising a framing text and one or several articles or manuscripts, or a monograph. The report must include a plan for the remaining portion of the programme.

### 4.2 Panel of assessors for mid-way review

#### **Guideline of the Disciplinary Domain**

The principal supervisor appoints three external experts who are not involved with the project. At least two of them must have the qualifications required for appointment as a docent, and only one may be from the home department\*. Together with the supervisor and doctoral student, they must assess the project and its potential to lead to a Degree of Doctor.

\* No more than one member may be from the home department (a home department is the department or departments in which the author of the thesis, the principal supervisor or any second supervisor is active).

### 4.3 Timetable for mid-way review

#### **Guideline of the Disciplinary Domain**

The department determines the date of the mid-way review. The panel of assessors must be provided with the written report at least two weeks prior to the seminar in order to give the external experts a chance to prepare for the review.

### 4.4 Minutes following completion of mid-way review

#### **Guideline of the Disciplinary Domain**

Minutes of the completed mid-way review are drawn up. All members of the panel of assessors sign the minutes. The mid-way review does not include an examination component.

## 5 Examination

**Chapter 6, Section 32 of the Higher Education Ordinance** - Examinations that form part of third-cycle courses and study programmes shall be assessed in accordance with the grading system prescribed by the higher education institution.

The grade shall be determined by a teacher specially nominated by the higher education institution (the examiner). Ordinance (2010:1064).

### 5.1 Grades for tests in third-cycle programmes

#### **Uppsala University's Admissions Ordinance**

**Section 6 AFUU, first paragraph** – Examinations that form part of third-cycle courses and study programmes shall be graded as either pass or fail.

#### **Common Guidelines of the University**

Obligatory components of third-cycle courses and study programmes are examined in the manner presented in the Higher Education Ordinance. The Disciplinary Domain Board or Faculty Board assigned the overall responsibility for third-cycle education in an area must, if necessary, issue supplementary regulations regarding the examination of obligatory components. Other regulations must be stated in the general study syllabus for the third-cycle subject area. Under University regulations, examinations included in third-cycle courses and study programmes shall be assessed using the grades of pass or fail.

### 5.2 Grades for doctoral dissertations

#### **Uppsala University's Admissions Ordinance**

**Section 6 AFUU, second paragraph** - Dissertations and academic papers within compilation theses authored by multiple people may be granted credit in licentiate or doctoral degrees only if the contributions of each author can be distinguished from one another.

**Section 7 AFUU** - A doctoral dissertation shall be assessed using the grades of pass or fail. The diploma for the Degree of Doctor must show that the doctoral dissertation has received a passing grade. No explanation for the decision shall be stated on the diploma or in the examining committee's minutes. If a member of the examining committee opposes the majority decision, a statement of dissent may be included in the minutes or in another decision document, but may not be included on the diploma.

## 5.3 Credit transfer

**Chapter 6, Section 6 of the Higher Education Ordinance** - If a student at a higher education institution in Sweden has successfully completed a higher education course or study programme, she or he is entitled to transfer the credits awarded for a course or study programme at another higher education institution. This does not apply, however, if there is a substantial difference between these courses or study programmes.

The same applies for students who have successfully completed a course or study programme

1. at a university or higher education institution in Denmark, Finland, Iceland or Norway or a signatory to the Council of Europe's Convention of 11 April 1997 on the Recognition of Qualifications concerning Higher Education in the European Region (Swedish Treaty Series 2001:46), or Ordinance (2006:1053).

**Chapter 6, Section 7 of the Higher Education Ordinance** - A student is entitled to transfer credits from a course or study programme other than that laid down in Section 6 if the nature and extent of the knowledge and skills cited by the student are such that they correspond on the whole to the course or study programme for which the credits are to be recognised. A student may also be given credit for corresponding knowledge and skills acquired in a vocational or professional capacity. Ordinance (2006:1053).

**Chapter 6, Section 8 of the Higher Education Ordinance** - The higher education institution shall assess whether credits can be awarded for the prior course or study programme or professional or vocational experience.

Credits may only be awarded to those who are students unless otherwise provided by statute or ordinance. Ordinance (2010:1064).

### Common Guidelines of the University

In connection with admissions, but also later in the programme, issues of transferring credit may arise. The possibility of transferring credit must not constitute an advantage in connection with assessing qualifications for admission. Application to transfer credit is made at the initiative of the doctoral student. Assessment of the amount of credit to be transferred must be performed on a course-by-course basis. Routine transfers of credit for multiple courses, for example in the form of the fifth year of a master programme, a so-called block transfer, are not permitted. In order to ensure the progression of the programme, the number of credits to be transferred must be assessed in relation to the original scope of the course. Transfers must not be linked to demands for a shortened period of study. The requirement of secure financing for an actual period of study of four years remains intact. Decisions regarding credit transfers are made according to regulations adopted by the Disciplinary Domain Board/Faculty Board.

### Guidelines of the Disciplinary Domain

Credit transfers for compulsory courses are carried out by the director of studies of the third-cycle programme courses.

Credit transfers for a component of a compulsory course or another course are carried out by the course coordinator.

The principal supervisor or examiner makes decisions regarding credit transfers from Swedish or foreign programmes or other activities in a subject at the third-cycle level (other than a compulsory course).

- Courses within the Disciplinary Domain are always worth the number of higher education credits specified in the course syllabus.
- The same applies for courses arranged by other higher education institutions.

## 5.4 Guidelines regarding credit for programme components

### **Guidelines of the Disciplinary Domain**

The Research Training Committee has established guidelines as a recommendation for how credits should be awarded for activities other than third-cycle education courses. The supervisor may decide if a component should potentially be awarded higher or lower credits.

- In general, a week of full-time participation/full-time work is awarded 1.5 credits regardless of the type of activity.
- One's own presentation using posters or an oral presentation at a symposium/conference, including preparations, is awarded 1.5 credits
- Attendance alone at a conference is ordinarily awarded 0 credits.
- The supervisor may report a course-like conference as a course and award credits in proportion to actual time spent
- Attendance at a seminar 1-2 hours a week, approx. 20-40 hours a semester earns 0.5 credits/semester
- Attendance at a mid-way review, licentiate seminar or public defence earns a maximum of 0.25 credits per event. However, no more than 2.5 credits may be awarded for this type of activity.
- One's own presentation at a seminar earns 0.5 credits

## 5.5 Examiner

### Guidelines of the Disciplinary Domain

Each doctoral student must have a specially appointed examiner. The examiner shall participate in annual follow-up of the individual study plan. The examiner may, for the doctoral student, examine components in the third-cycle education led by individuals who do not have degree-awarding powers at Uppsala University. The examiner may also support the doctoral student in discussions of theoretical aspects of the programme and the examination.

- The examiner must be at least a docent,
- employed by Uppsala University and
- active in the department in which the doctoral student is registered.
- The examiner and supervisor must be two different people.
- The examiner may be chair of the public defence but may never be on the examining committee.

## 5.6 Research ethics, cheating and plagiarism

It is an issue of quality and legal consistency for the Disciplinary Domain to have clear procedures to both prevent cheating and to handle cases of suspected cheating.

All supervisors and doctoral students must be familiar with the regulations pertaining to research. One recommendation is to stay up-to-date by visiting CODEX <http://codex.vr.se/>. CODEX is a partnership between the Swedish Research Council and Uppsala University and contains both rules and guidelines pertaining to research and current discussions on issues of research ethics.

Ethical permission shall be granted when necessary. *“On 1 January 2004, the Act concerning the Ethical Review of Research Involving Humans (SFS 2003:460) went into effect. The law is applicable to, among other things, research comprising work with sensitive personal information as well as that involving physical encroachment on a subject, or research conducted according to a method that aims to affect the subject physically or psychologically, as well as studies on biological material traceable to specific individuals.. ...It is a punishable offense to perform research covered by this law without approval.” (Quotation from CODEX website).* Permits for studies based in Uppsala and its surroundings are usually issued by the Regional Ethical Review Board of Uppsala.

Ethical assessment of animal experiments are mandatory in Sweden. Regulations pertaining to animal husbandry and experiments are primarily found in the Animal Welfare Ordinance, the Animal Welfare Act and “The Swedish Board of Agriculture’s Regulations and General Guidelines on Laboratory Animals”, SJVFS 2012:26. Permit hearings are held in one of the seven ethics committees on animal experiments in Sweden, the offices of which are located in courts (see the CODEX website).

Suspicious of cheating in conjunction with doctoral students’ participation in courses arranged by Uppsala University are handled in accordance with “Routine for dealing with suspected deceptive conduct in examinations”, UFV2013/1411.

### 5.6.1 Plagiarism check of dissertations

As of 1 September 2017 mandatory plagiarism checks will be in effect on all dissertations within the Disciplinary Domain of Medicine and Pharmacy (decided in the Research Training Committee on 13 December 2016).

Plagiarism checks must be performed on the dissertation's "kappa" or framing text. This check must be performed before the dissertation is printed.

Plagiarism checks are to be performed using plagiarism tools, such as URKUND.

The principal supervisor and the doctoral student are responsible for ensuring that plagiarism checks are performed.

The supervisor is responsible for reviewing and approving the results.

The doctoral student's department is responsible for ensuring that the results of the plagiarism check are documented in an appropriate manner.

## 5.7 Conflicts of interest

The rules pertaining to conflicts of interest are addressed in sections 11 and 12 of the Swedish Administrative Procedure Act (1986:223). These regulations guarantee that the public authority, i.e. Uppsala University, in the individual case has such a composition that its impartiality cannot be called into question. Interpretations and applications of the rules are available in writing in "Regulations concerning conflict of interest in the university sphere". Furthermore, additional explanations can be found in the "Conflict of Interest Policy" of the Disciplinary Domain.

### Guideline of the Disciplinary Domain

In addition to personal involvement, a conflict of private interest or the involvement of family members, the following applies:

- A conflict of interest exists when scientific collaboration and co-production have taken place in the last five years
- A shared article is sufficient to count as a co-production
- A conflict of interest may arise even if more than five years have passed since a close or extensive collaboration took place
- The doctoral student-supervisor relationship is deemed to be a conflict of interest regardless of how long it has been since the collaboration took place
- Exceptions from the 5-year rule can be made for collaborations in the form of multicentre studies, which are assessed on a case-by-case basis

## 5.8 Appeals

**Chapter 12, Section 2 of the Higher Education Ordinance** - Appeals may be made to the Higher Education Appeals Board against the following decisions of a higher education institution:

...

3. a decision on the transfer of credits for courses and study programmes or professional or vocational activities,
4. rejection of a student's application for exemption from a compulsory element of a course or study programme,
5. a decision to withdraw study resources from a doctoral student pursuant to Section 30 of Chapter 6 and a decision that a student is not to recover these resources pursuant to Section 31 of

## 6 Requirements for Licentiate and Doctor Degrees

### 6.1 Requirements for Degree of Licentiate

#### **System of Qualifications SFS 2006:1053 Annex 2**

The Degree of Licentiate is awarded either after a third-cycle student has completed a study programme of at least 120 credits in a subject in which third-cycle teaching is offered, or after a third-cycle student has completed one part comprising at least 120 credits of a study programme intended to conclude with the award of a Degree of Doctor, if a higher education institution decides that a Degree of Licentiate of this kind may be awarded at the institution.

#### **Outcomes**

##### *Knowledge and understanding*

For a Degree of Licentiate, the third-cycle student shall

- demonstrate knowledge and understanding in the field of research including current specialist knowledge in a limited area of this field as well as specialised knowledge of research methodology in general and the methods of the specific field of research in particular.

##### *Competence and skills*

For a Degree of Licentiate, the third-cycle student shall

- demonstrate an ability to critically, independently, and creatively identify and formulate questions with scientific precision; to plan and carry out limited research and other advanced tasks within given time-frames and with appropriate methods, thereby contributing to the development of knowledge; and to evaluate this work,
- demonstrate the ability in both national and international contexts to present and discuss research and research findings in speech and writing and in dialogue with the academic community and society in general, and
- demonstrate the skills required to participate autonomously in research and development work and to work autonomously in some other qualified capacity.

##### *Judgement and approach*

For a Degree of Licentiate, the third-cycle student shall

- demonstrate the ability to make assessments of ethical aspects of his or her own research
- demonstrate insight into the possibilities and limitations of research, its role in society and the responsibility of the individual for how it is used, and
- demonstrate the ability to identify the personal need for further knowledge and take responsibility for his or her ongoing learning.

##### *Thesis*

For a Degree of Licentiate the third-cycle student shall have been awarded a pass grade for a research thesis of at least 60 credits.

##### *Miscellaneous*

Specific requirements determined by each higher education institution itself within the parameters of the requirements laid down in this qualification descriptor shall also apply for a Degree of Licentiate with a defined specialisation.

## 6.2 Requirements for the Degree of Doctor

### **System of Qualifications SFS 2006:1053 Annex 2**

A Degree of Doctor is awarded after the third-cycle student has completed a study programme of 240 credits in a subject in which third-cycle teaching is offered.

#### **Outcomes**

##### *Knowledge and understanding*

For the Degree of Doctor the third-cycle student shall

- demonstrate broad knowledge and systematic understanding of the research field as well as advanced and up-to-date specialised knowledge in a limited area of this field, and
- demonstrate familiarity with research methodology in general and the methods of the specific field of research in particular.

##### *Competence and skills*

For the Degree of Doctor the third-cycle student shall

- demonstrate the capacity for scholarly analysis and synthesis as well as to review and assess new and complex phenomena, issues and situations autonomously and critically
- demonstrate the ability to identify and formulate issues with scholarly precision critically, autonomously and creatively, and to plan and use appropriate methods to undertake research and other qualified tasks within predetermined time frames and to review and evaluate such work
- demonstrate through a dissertation the ability to make a significant contribution to the formation of knowledge through his or her own research
- demonstrate the ability in both national and international contexts to present and discuss research and research findings authoritatively in speech and writing and in dialogue with the academic community and society in general
- demonstrate the ability to identify the need for further knowledge, and
- demonstrate the capacity to contribute to social development and support the learning of others both through research and education and in some other qualified professional capacity.

##### *Judgement and approach*

For the Degree of Doctor the third-cycle student shall

- demonstrate intellectual autonomy and disciplinary rectitude as well as the ability to make assessments of research ethics, and
- demonstrate specialised insight into the possibilities and limitations of research, its role in society and the responsibility of the individual for how it is used.

##### *Research thesis (doctoral thesis)*

For the Degree of Doctor the third-cycle student shall have been awarded a pass grade for a research thesis (doctoral thesis) of at least 120 credits.

### *Miscellaneous*

Specific requirements determined by each higher education institution itself within the parameters of the requirements laid down in this qualification descriptor shall also apply for a Degree of Doctor with a defined specialisation.

## 6.3 Requirements for Degree of Licentiate and Degree of Doctor in the Disciplinary Domain of Medicine and Pharmacy

### **Guidelines of the Disciplinary Domain**

Courses and other components must comprise at least 30 higher education credits for a Degree of Doctor and at least 15 higher education credits for a Degree of Licentiate. For both the Degree of Doctor and the Degree of Licentiate, it is a requirement that all compulsory courses at the third-cycle level have been completed and passed. For a Degree of Doctor, required components must be completed in addition to compulsory courses; see below.

### ***Compulsory courses***

1. Introduction to Doctoral Studies, 1.5 HE credits  
(The course is web-based and is required for admission to other courses)
2. Introduction to Scientific Research, 9 HE credits

If necessary for the project, compulsory courses also include

- Laboratory Animal Science, 3 HE credits, or theory component 1.5 HE credits
- Radiation Science. *See the guidelines of the Disciplinary Domain regarding credit for programme components, above.*

Courses 3-5 may be selected instead of course 2.

3. Research Ethics and Philosophy of Science, 2 HE credits
4. Scientific Presentation, 2 HE credits
5. Introduction to Biostatistics, 3 HE credits

### ***Required components***

- At least one presentation at an international conference (lecture or poster) (1.5 HE credits) must be included
- A mid-way review or licentiate seminar is mandatory for a Degree of Doctor.

Courses specifically needed for the subject of the dissertation should correspond to at least 3.5 higher education credits.

The remaining higher education credits may comprise theory courses, method courses and literature courses, participation and presentations in seminar series, presentations at conventions etc.

## 7 Licentiate seminar

### **Common Guidelines of the University**

The Disciplinary Domain Board, Faculty Board, or the joint body for a Faculty or Disciplinary Domain with responsibility for third-cycle education is in charge of reviewing and revising the individual study plans at least once per year.

### **Guidelines of the Disciplinary Domain**

For the licentiate seminar in the Disciplinary Domain of Medicine and Pharmacy, all compulsory courses must be passed and the total number of credits must amount to at least 15 higher education credits.

Doctoral students who have been admitted to a programme leading to a Degree of Doctor who wish to continue their studies to obtain a Degree of Doctor must attach a research plan of no more than 3 pages to the application for a licentiate seminar.

The examination consists of a seminar presented by the doctoral student and a public discussion led by the chair of the examining committee. The grade of pass or fail is to be given following deliberation in the examining committee. The supervisor may participate in the deliberations but may not be present for the decision.

Before being made available in the department, the Faculty of Pharmacy's licentiate theses shall be issued a number from the series Faculty of Pharmacy, Uppsala University. The number is obtained by the Department of Pharmacy.

### 7.1 Licentiate application

#### **Guidelines of the Disciplinary Domain**

Application for a Degree of Licentiate is completed via an e-form on the Disciplinary Domain's website. For the application to be considered by the Research Training Committee, the form must be filled in correctly and the application must be approved by the principal supervisor and department head, or by an individual appointed by the department head with responsibility for third-cycle education in the department.

The licentiate application must include:

- Title of the licentiate thesis
- Date of seminar
- Proposal for the examining committee
- Chair of the seminar
- All supervisors
- Examiner

Appendices:

1. The student's brief summary of the licentiate thesis with a list of the included papers
2. The supervisor's statement on the doctoral student's work and the newsworthiness of the dissertation

3. Report card for internal distribution of funding for quality enhancement
4. Excerpt from UPPDOK
5. Papers included in the licentiate thesis

### **7.1.1 Consultation for licentiate application**

#### **Guidelines of the Disciplinary Domain**

In conjunction with the completion of the application, a consultation to select the members of the examining committee is held. The following points are addressed at the consultation:

- Assembly of the examining committee
- Questions regarding conflicts of interest
- Papers included, the publication status of each paper, and whether each paper included in the dissertation at hand has been included or will be included in the dissertation of another doctoral student

## **7.2 Timetable for licentiate seminar**

#### **Guidelines of the Disciplinary Domain**

The application for the licentiate seminar must be submitted to the Research Training Committee in order to be addressed at a meeting no later than 6 weeks prior to the planned date of the seminar. It is not necessary to schedule a time in the public defence calendar.

## **7.3 Licentiate thesis**

#### **Guidelines of the Disciplinary Domain**

The licentiate thesis may be a compilation thesis consisting of a framing text and one or several articles or manuscripts, or a monograph. The thesis must be copied pursuant to the department's directions and must be available at the department no later than two weeks before the planned examination.

### **7.3.1 Period of availability for a licentiate thesis**

#### **Common Guidelines of the University**

For licentiate theses, the period of availability prior to the licentiate seminar is equivalent to that for doctoral theses. If the student was admitted with the goal of terminating his or her studies with a licentiate degree, a notification of submission of a doctoral thesis must be digitally published.

## **7.4 Licentiate seminar examining committee**

## **Guidelines of the Disciplinary Domain**

An examining committee for the licentiate seminar must consist of three members, at least two of whom must be docents or have qualifications equivalent to those required for appointment as a docent. No more than one member may be from the home department (a home department is the department or departments in which the author of the thesis or one of the supervisors is active).

### **7.4.1 Chair of the licentiate seminar**

#### **Guidelines of the Disciplinary Domain**

One of the members of the examining committee is appointed chair.

### **7.4.2 Guidelines for the examining committee at the licentiate seminar**

#### **Guidelines of the Disciplinary Domain**

The thesis may be the result of teamwork, but the personal contribution by the doctoral student must be clearly discernible. The dissertation may be a monograph or consist of several papers. Each included paper must be published or deemed publishable in a peer-reviewed journal. The examining committee must set forth the material errors and merits of the thesis at the seminar. The following questions may be posed:

1. *Subjects and problems*

- Is the choice of subject original? Why has it not been previously addressed (e.g., a new idea, premises were lacking in the past, the author of the thesis had access to a unique material or an original technique, etc.)?
- If the subject was investigated earlier, why did the author address it again? (Have developments in the field given reason to assume that previous results are no longer valid; have new technological methods made it probable that the problem could be examined in greater depth, etc.?)

2. *Literature*

- Is the selection of references adequate and do they give a correct picture of the research front within the field covered by the thesis?
- Does the dissertation contain a critical analysis of the referenced works?

3. *Material*

- Are the experimental and control materials appropriately chosen and sufficiently large?

4. *Research and processing methods*

- Are the methods conventional, original, diverse and well-controlled regarding possible sources of error, and well-suited to the research subject?

5. *Results and conclusions*

- Are the results of interest and newsworthy?

- Does the author draw logical conclusions?
- Does the author draw neither too many nor too few conclusions than what the results and material permit?
- Does the author demonstrate scientific stringency in the summary?

6. *Formal presentation*

- Is the dissertation well-organised?
- How is the linguistic element?
- Are the experiments, analyses, studies and results lucidly presented?
- Are the tables and figures well-organised and explained?

7. *General summary*

- Do the scope and quality of the student's work meet the expectations of a 2-year licentiate programme?
- If the thesis is based on teamwork, can the student's contribution be clearly distinguished?
- What negative criticism can be directed at the dissertation?
- What are the primary merits of the dissertation (originality, scientific imagination, new methodology, newsworthiness of the findings, etc.)?

## 8 Public defence

**Chapter 6, Section 33 of the Higher Education Ordinance** - The qualification descriptors for PhDs and doctorates in the fine, applied and performing arts lay down that an approved doctoral thesis is required for the award of these degrees.

The doctoral thesis shall be presented and defended orally in public. A faculty examiner (opponent) shall be appointed for this presentation. (2010:1064)

**Chapter 6, Section 34 of the Higher Education Ordinance** - At least one of those participating in the grading of a doctoral thesis shall be someone who does not have a post at the higher education institution awarding the degree. Ordinance (2010:1064)

**Chapter 6, Section 35 of the Higher Education Ordinance** - A higher education institution may issue regulations on the grading system to be used and on public defences and grading in other respects. Ordinance (2010:1064)

### Common Guidelines of the University

The Vice-Chancellor has decided to delegate the right to determine the time and place of the public defence to the chairperson of the Disciplinary Domain Board or Faculty Board with the overall responsibility for third-cycle education in an area. This decision must be made public at least three weeks prior to the public defence. The public defence and licentiate seminar may take place during semesters and during the summer break with the exception of the period from 15 June to 15 August.

### 8.1 Reserve a time for the public defence in the public defence calendar

#### Guidelines of the Disciplinary Domain

The time of the public defence must be reserved in the public defence calendar.

### 8.2 Public defence application

#### Guidelines of the Disciplinary Domain

The application for public defence is completed via an e-form on the Disciplinary Domain's website. For the application to be considered by the Research Training Committee, the form must be filled in correctly and the application must be approved by the principal supervisor and department head, or by an individual appointed by the department head with responsibility for third-cycle education in the department.

The application for public defence must include:

- Dissertation title
- Date of public defence
- Proposal for the external reviewer
- Proposal for the examining committee
- Chair of the public defence ceremony
- All supervisors
- Examiner

Appendices:

1. The author of the thesis' brief summary of the dissertation with a list of the papers included
2. The supervisor's statement on the doctoral student's work and the newsworthiness of the dissertation
3. Report card for internal allocation of funds
4. Excerpt from UPPDOK
5. Papers included in the dissertation

*At the time of application*, papers must be published articles or a manuscript. The manuscript must be ready for submission with complete tables and figures.

### **8.2.1 Consultation for the public defence application**

#### **Guidelines of the Disciplinary Domain**

In conjunction with the completion of the public defence application, a consultation is held to select the members and assess conflicts of interest. The following points are addressed at the consultation:

- Choice of external reviewer
- Assembly of the examining committee
- Questions regarding conflicts of interest
- Papers included, the publication status of each paper, and whether each paper included in the dissertation at hand has been included or will be included in the dissertation of another doctoral student

### **8.3 Timetable for public defence application**

#### **Guidelines of the Disciplinary Domain**

The public defence application must be submitted to the Research Training Committee 11 days before the meeting of the Research Training Committee, which is at least 12 weeks before the date of the public defence.

### **8.4 Doctoral thesis**

#### **Guidelines of the Disciplinary Domain**

The doctoral dissertation may be a compilation thesis consisting of a framing text and one or several articles or manuscripts, or a monograph. The scope and quality of the dissertation must meet the expectations of four years of full-time study.

The following guidelines apply *for papers included in the dissertation*:

- If the author of the thesis is the primary author of fewer than half of the papers included in the dissertation, an explanation must be included with the application for public defence of the dissertation.
- The number of papers in a dissertation is not regulated. The student's work, calculated by the papers included, must correspond to a net study period of four years total.
- Each individual paper may be included in a maximum of two dissertations. Exceptions may be permitted in the event of special circumstances. In such an event, an explanation must be included with the application for public defence of the dissertation.
- Each included paper must be published or deemed publishable in a peer-reviewed journal.

Types of papers that may be included in a dissertation:

- |                        |     |
|------------------------|-----|
| • Original article     | yes |
| • Protocol article     | yes |
| • Multicentre study    | yes |
| • Review article       | no  |
| • Letter to the editor | no  |
| • Editorial            | no  |
| • Book chapter         | no  |

#### ***Works published prior to the date of admission***

Work published by the doctoral student prior to the date of admission to the programme may be included in the dissertation with a special explanation.

- One article at most
- The subject must be well-suited to the dissertation in its entirety
- The article must have been published no more than one year (12 months) prior to the date of admission to the programme
- Form of employment during the period spent writing the article must be specified
- The contribution of the doctoral student must be clearly specified in the explanation
- The total programme length of four years (two years for a licentiate) is not impacted
- An individual study plan for a doctoral student adopted after 24 March 2015 must include information about the inclusion in the dissertation of an article published prior to the date of admission, if this is the case

### ***Changes to the manuscript and dissertation between the advance review and the public defence***

- Changes may be made to the manuscript up to the cut-off date set by Thesis Production
- If the manuscript to be changed comprises a significant portion of the dissertation, and the change is sufficiently extensive as to substantially affect the manuscript, the Research Training Committee must handle the case
- If a paper is removed or added, the Research Training Committee must handle the case

## **8.4.1 Publishing and availability of doctoral dissertations**

### **Common Guidelines of the University**

Doctoral dissertations must be available at the University Library in the number of copies necessary to allow satisfactory review of the dissertation at least three weeks prior to its public defence. The period from 15 June to 15 August may not be counted in this period of availability. The dissertation must also be sent to every department in the country with research and third-cycle education in the academic field to which the topic of the dissertation belongs, so that it is available at least two weeks prior to the public defence of the dissertation. The dean or a supradepartmental body may only grant shorter periods of availability for the complete printed doctoral dissertation and the digital version of the notification of submission of a doctoral thesis and framing summary in the event of extraordinary circumstances.

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Publication of dissertations as well as their printing and distribution must be arranged in such a way so as not to exceed the actual period of study of four years for the Degree of Doctor and two years for the Degree of Licentiate. The delay of publication that may occur in connection with patenting must not render it impossible to uphold the normal actual period of study.

Notification of the date of the defence of a doctoral thesis

Pursuant to the decision from 14 May 2002 (UFV 2002/779), all notifications of submission of a doctoral thesis and framing summaries for compilation theses must be published digitally in the University's dissertation database. Information about the digital notification of submission of a doctoral thesis and framing summary should be disseminated throughout Sweden and abroad.

### **From the University Library's page on Thesis Production**

Posting notification of the date of the defence of a doctoral thesis is the process where a doctoral student publishes a summary (abstract) of his/her thesis along with details about the public defence. Posting is a requirement for all public defences of theses. Electronic posting means that the details – the abstract and time and place for the public defence – are published on the University's website.

Electronic posting, which is the mandatory form of posting, takes place in two phases.

1. Register all the details about your public defence in [DIVA](#).
2. Deliver 10 printed copies of your thesis to the caretakers office (Postal Services) in Carolina Rediviva, where you sign a posting receipt. Read more about this below. (Note that the number of copies to be submitted for the notification varies between different departments.)

### **Guideline of the Disciplinary Domain**

All dissertations in the Disciplinary Domain of Medicine and Pharmacy, Uppsala University, are to be prepared using the university's thesis template. Contact the University Library department of Thesis Production <https://mp.uu.se/web/info/forska/avhandling>

Print edition and digital publication of framing text. Pursuant to the 7 June 2002 Faculty Board decision, the following is applicable to dissertations announced beginning 1 January 2003:

- The framing text of a compilation thesis must be published digitally on Uppsala University's website, according to a decision by the Vice-Chancellor.
- At least 80 copies of the complete compilation thesis (the framing text and the compiled works) must be printed for distribution to the examining committee, external reviewer, faculty, and to national and international institutions in accordance with the department mailing list
- The department shall distribute the complete printed dissertation and is responsible for the establishment of up-to-date mailing lists for the published dissertation
- The department shall establish e-mail lists for national and international distribution of information about the digitally published framing text
- The size of the edition to be sold through Acta Universitatis Upsaliensis is to be determined by the series editorial office under separate regulations

## **8.5 External reviewer**

### **Guideline of the Disciplinary Domain**

The external reviewer must be highly academically qualified and familiar with the field of research of the author of the thesis.

Fees SEK 12,000. Payment is covered by the department.

## **8.6 Examining committee for the public defence**

### **Common Guidelines of the University**

An examining committee appointed specially for each doctoral dissertation determines the grade for each individual dissertation. An examining committee is to comprise three or five members, the majority of whom must be from outside of the doctoral student's home department. A person who has been a supervisor of the doctoral student may not be on the committee.

### **Guidelines of the Disciplinary Domain**

The examining committee for the public defence for a Degree of Doctor may comprise three or five members. No member of the examining committee may have any connection to the dissertation project. All members must possess scientific expertise corresponding to the level of docent. The public

defence application must include a brief explanation of each proposal for examining committee members.

If the examining committee consists of three members, no more than one may be from the home department (i.e. the department or departments in which the author of the thesis or one of the supervisors is active) and at least one must be an external member from another higher education institution or another organisation outside of Uppsala University.

If the examining committee consists of five members, no more than two may be from the student's home department, and at least one must be from another higher education institution or another organisation outside of Uppsala University. If the committee consists of five members, it is permitted to have one member who does not fulfil the requirement of having the qualifications required for appointment as a docent.

### **8.6.1 Chair of the public defence ceremony**

#### **Guidelines of the Disciplinary Domain**

The public defence is led by a chair. The chair may be a member of the examining committee, but may also be appointed solely to chair the public defence ceremony. In this case, he or she must be a highly academically qualified individual. In the latter case, the chair may not participate in the deliberations or decision of the examining committee. The examiner may serve as chair. The supervisor or another individual who is directly connected to the author of the thesis' dissertation project may not serve as chair.

### **8.6.2 Guidelines for external reviewer and examining committee at the public defence**

#### **Guidelines of the Disciplinary Domain**

The thesis may be the result of teamwork, but the personal contribution by the doctoral student must be clearly discernible. The dissertation may be a monograph or consist of several papers. Each included paper must be published or deemed publishable in a peer-reviewed journal. The external reviewer and the examining committee must set forth the material errors and merits of the dissertation at the public defence. The following questions should be posed:

1. *Subjects and problems*

- Is the choice of subject original? Why has it not been previously addressed (e.g., a new idea, premises were lacking in the past, the author of the thesis had access to a unique material or an original technique, etc.)?
- If the subject was investigated earlier, why did the author address it again? (Have developments in the field given reason to assume that previous results are no longer valid; have new technological methods made it probable that the problem could be examined in greater depth, etc.?)

2. *Literature*

- Is the selection of references adequate and do the referenced works give a correct picture of the research front within the field covered by the thesis?
- Does the dissertation contain a critical analysis of the referenced works?

3. *Material*

- Are the experimental and control materials appropriately chosen and sufficiently large?

4. *Research and processing methods*

- Are the methods conventional, original, diverse and well-controlled regarding possible sources of error, and well-suited to the research subject?

5. *Results and conclusions*

- Are the results of interest and newsworthy?
- Does the author draw logical conclusions?
- Does the author draw neither too many nor too few conclusions than what the results and material permit?
- Does the author demonstrate scientific stringency in the summary?

6. *Formal presentation*

- Is the dissertation well-organised?
- How is the linguistic element?
- Are the experiments, analyses, studies and results lucidly presented?
- Are the tables and figures well-organised and explained?

7. *General summary*

- Do the scope and quality of the student's work meet the expectations of a 4-year PhD programme?
- If the thesis is based on teamwork, can the student's contribution be clearly distinguished?
- What negative criticism can be directed at the dissertation?
- What are the primary merits of the dissertation (originality, scientific imagination, new methodology, newsworthiness of the findings, etc.)?

## 8.7 Advance review

### **Guidelines of the Disciplinary Domain**

Required advance reviews of all dissertations in the Disciplinary Domain of Medicine and Pharmacy have been adopted for public defences after 1 January 2014, in accordance with a decision by the Disciplinary Domain Board on 13 June 2013.

The advance review is carried out by the examining committee appointed by the Research Training Committee. One member is appointed to be coordinator of the advance review process. A supervisor may submit proposals to a coordinator. The coordinator may not be active in the same department as the author of the thesis or any of the supervisors. The Research Training Committee decides upon a coordinator for the advance review.

The examining committee has 10 working days from the time the assignment is determined and they have received notification by the Research Training Committee.

The supervisor has ultimate responsibility for making sure the advance review is submitted in time for a decision.

Once the protocol from the advance review is in, the public defence application can be taken up again for a decision by the chair or at the committee's next meeting.

If the decision is negative, the new public defence date may be no sooner than 3 months from the first date specified.

The advance review includes the papers included in the dissertation. The advance review adopts the use of "Instructions for advance review by the examining committee" and "Protocol for advance review by the examining committee". Examining committee members receive these instructions in conjunction with being informed that the advance review is to take place. The protocol template is sent to the coordinator at the advance review. The coordinator certifies the result of the advance review with a signature and sends the protocol to the Office of Medicine and Pharmacy.

## 8.8 The day of the public defence

### **Guidelines of the Disciplinary Domain**

The public defence ceremony is held at Uppsala University. The Research Training Committee may decide to allow the public defence to be held elsewhere.

The following description of the ceremony is based on an example from the website of the Swedish Council for Higher Education.

- The public defence is led by a chair.
- The chair initiates the public defence ceremony, explains the order of the public defence and introduces the author of the thesis, the dissertation title, the external reviewer and the members of the examining committee
- The author of the thesis has the opportunity to present corrections and modifications to the dissertation
- The external reviewer and/or doctoral student present an overview of the research field, a summary of the contents of the dissertation and its newsworthiness
- The external reviewer carries out a review of the dissertation with discussions and a variety of questions for the author of the thesis, who defends his or her dissertation by answering the questions
- The examining committee asks the author of the thesis additional questions
- The audience is invited to ask the author of the thesis questions
- The chair adjourns the public defence ceremony
- The examining committee holds a meeting

## 8.9 Measures for failure to appear

### **Guidelines of the Disciplinary Domain**

The following rules apply:

*When external reviewers or defence committee members warn that they are unable to attend before the public defence*

- A written request suggesting a new external reviewer or member is submitted to the secretary of the Research Training Committee. A consultation ensues. The head of the committee takes a decision as soon as possible.
- If the head of the committee does not have time to decide before the public defence, the head or deputy head. If the head or deputy head cannot be reached, one of the other ordinary members of the Research Training Committee must be contacted. The secretary of the Research Training Committee must be informed

*In the event of absence on the day of the public defence*

1. First, the head of the committee investigates whether the absent individual has been delayed. If the delayed person can attend, the public defence may be postponed for an hour or so. (A morning public defence may not be rescheduled for the afternoon without making sure the time is free.) The secretary of the Research Training Committee must be informed
2. If an examining committee member is unable to attend, the chair of the defence ceremony investigates whether a replacement is available for the public defence. In the event that an extra examining committee member is specified in the author of the thesis's application for public defence, he or she should be asked. The rules for the composition of the examining committee must be observed. Contact as in point 1 above.
3. If the external reviewer is absent, the chair of the defence ceremony investigates whether a member of the examining committee can take over the external reviewer's assignment. An alternate in the examining committee must then be appointed in accordance with the rules for the composition of the examining committee. Contact as in point 1 above.
4. If the chair, who is not a member of the examining committee, is absent, a member of the examining committee is asked to also fill the role as chair.
5. If the public defence must be postponed, a new time is reserved in the dissertation calendar and sent to the Research Training Committee for a decision.

## 8.10 Examining committee's deliberations and protocol

### 8.10.1 Examining committee's deliberations

#### Common Guidelines of the University

The committee appoints one of its members to serve as chair. The external reviewer is entitled to be present at the meeting of the examining committee and to participate in the deliberations but not in the decisions. The same applies to the supervisor. The examining committee has a quorum when all members are present. The committee's decision shall represent the view with which most members agree. The committee will determine whether the decision requires an explanation and whether reservations must be reported.

#### Guideline of the Disciplinary Domain and clarification

Examining committee meeting:

- The supervisor explains the doctoral student's work in the presence of the examining committee and the external reviewer.
- Deliberations take place in the presence of the examining committee and the external reviewer; the external reviewer leaves the room.
- Additional deliberations and a decision take place in the presence of only the examining committee.

If the chair of the public defence ceremony is not a member of the examining committee, he or she and the author of the thesis's examiner may neither attend nor participate in the deliberations of the examining committee or in its decision.

### 8.10.2 Protocol from the meeting of the examining committee

#### Guideline of the Disciplinary Domain

The protocol, in accordance with the template, is drawn up at the time of the examining committee's decision and the original is submitted to the Office for Medicine and Pharmacy.

## 8.11 Allotment of activity points (report card)

#### Guideline of the Disciplinary Domain

The directions below specify how activity points are allocated upon completion of a degree and how to resolve any disputes that may arise when allocating points. The allotment of activity points only applies to departments in the Disciplinary Domain of Medicine and Pharmacy, Uppsala University.

The same allotment principle applies for public defences and licentiate seminars.

The allotment of points must reflect the contributions of the department to third-cycle studies; see below. Points are only allocated during the time the doctoral student is admitted to a third-cycle programme and in relation to total time in third-cycle studies. For full points to be issued, the doctoral

student must have been registered in the department for at least 36 months. Activity points are not allocated for doctoral students who have been registered for fewer than 18 months. In other respects, the following applies:

1. *The third-cycle programme has been completed in the department within the Disciplinary Domain of Medicine and Pharmacy in which the doctoral student is registered.*
  - The department receives 100 per cent of points
2. *The third-cycle programme has been completed at more than one department in the Disciplinary Domain.*
  - Activity points will be allocated among the involved departments. The allotment of points must reflect involvement, supervision, social responsibility, research activity, etc. and not just comprise compensation for actual operating expenses, laboratory assistance, etc.
  - A minimum of 10 per cent of points may be allocated when allocating activity points.
  - Usually the department in which the doctoral student has been registered receives at least 50 per cent of the points.
  - In conjunction with the public defence application, the principal supervisor must propose the allocation of the percentage and report this for all departments involved in the supervision of the relevant dissertation project. The involved department heads must authorise the allotment.
  - In the event that a dispute about the allotment of activity points should arise, the head of the Research Training Committee decides in consultation with the directors of studies at the Faculty of Pharmacy as well as the directors of studies for preclinical and clinical postgraduate studies at the Faculty of Medicine.
3. *The doctoral student has completed third-cycle studies completely or in part at a department or the equivalent outside of Uppsala University's Disciplinary Domain of Medicine and Pharmacy, even though the doctoral student has been registered at one of the departments of the faculties.*
  - In order for points to be allocated at all, the doctoral student must have been active for at least one year in the department that claims activity points and actively pursued research during this time.
  - One year of third-cycle studies at the involved department corresponds with 25 per cent, two years with 50 per cent, and three years with 75 per cent of the points.
  - At least 15 per cent is allocated for external doctoral students (such as externally employed doctoral students in industry or county councils).

## 9 Study financing

### **Common Guidelines of the University**

The Disciplinary Domain Board or Faculty Board that has been assigned the overall responsibility for third-cycle education in an area has the overall responsibility for the doctoral student throughout the student's education in terms of funding, supervision, and other resources. Additional local regulations can be found in Section 3 of Admissions Regulations and Rules Regarding Grading in Third-cycle Education at Uppsala University (AFUU).

Under Chapter 7, Section 36 of the Higher Education Ordinance, persons appointed to doctoral studentships may be admitted to third-cycle education. Uppsala University strives to make doctoral studentships the primary form of financing for third-cycle studies.

In the event of special circumstances, students may be admitted with "other" financing. In such cases, the Disciplinary Domain Board, Faculty Board, or a joint body for a Faculty or Disciplinary Domain makes the admission decision. The right to decide about admitting a doctoral student with other financing than a doctoral studentship may not be delegated. Admission of third-cycle students with other financing requires careful assessment of whether study financing can be secured for the entire programme length. The obligation to provide funding for the doctoral student and the obligation to make other resources for the completion of the project available during the period of study must be regulated by contract or some other binding document between the financier and the department where the third-cycle student will be working. The contract should also include guarantees that the third-cycle project will be protected from any internal reprioritising on the part of the financier and that time can be reserved in daily activities to pursue a third-cycle programme.

Other financing in the form of stipends or other self funding must be used with restraint for third-cycle education. In no case may the level of financing fall below that of the ~~doctoral study grant~~\* after tax. In order to determine whether funding is sufficient for the coming half year when this funding is stated in a currency other than SEK, the exchange rate that was current on 1 January and 1 July is to be used. This assessment is to be made twice yearly, and consideration must be given to any tax to be paid on the amount granted. The Disciplinary Domain Board/Faculty Board or by delegation the department, is responsible for providing supplementary funding to attain the prescribed level. The Human Resources Division is responsible for directives regarding the practical administration of supplementary funding, as well as issues involving insurance, residency permits, and, if relevant, work permits.

Should financing of a doctoral student with other financing be discontinued during the programme length, the Disciplinary Domain Board or the Faculty Board, or by delegation the department, will be responsible for securing support for the remainder of the programme length. If a doctoral student admitted with other financing switches to a doctoral studentship, the programme length must be adjusted so that the actual period of study of two or four years of full-time study is retained. Only under the circumstances stated in Chapter 5, Section 7 of the Higher Education Ordinance may financing be provided for a period longer than an actual period of study of four years.

\* doctoral stages (**guideline of the Disciplinary Domain**)

### **Guideline of the Disciplinary Domain**

Means for other financing, such as a stipend or other self funding, must be obtained in competition.

## 9.1 Doctoral studentship

### **General provisions**

**Chapter 5, Section 1 of the Higher Education Ordinance** - Higher education institutions may establish specific posts for third-cycle students to enable them to complete their third-cycle studies. Ordinance (2006:1053).

### **Duties**

**Chapter 5, Section 2 of the Higher Education Ordinance** - Those appointed to doctoral studentships shall primarily devote themselves to their studies.

Those appointed to doctoral studentships may, however, work to a limited extent with educational tasks, research, artistic research and administration. Before a PhD or a doctorate in the fine, applied and performing arts has been awarded, however, duties of this kind may not comprise more than 20 per cent of a full-time post. Ordinance (2014:1012).

### **Appointment**

**Chapter 5, Section 3 of the Higher Education Ordinance** - Only those who are or have been admitted to third-cycle courses and study programmes at a higher education institution may be appointed to doctoral studentships. Ordinance (2006:1053).

Section 3a A doctoral studentship shall be a full-time post. If a third-cycle student so requests, the appointment may be a part-time post but for no less than 50 per cent of a full-time post. Ordinance (2002:139).

**Chapter 5, Section 4 of the Higher Education Ordinance** - A student in receipt of a doctoral grant shall on application be appointed to a doctoral studentship no later than the date on which according to the individual study plan there remains a period of study corresponding to three years of full-time study before the award of a PhD or a doctorate in the fine, applied and performing arts. This does not apply, however, if the vice-chancellor has decided on the withdrawal of the student's resources pursuant to Section 30 of Chapter 6 of this Ordinance or of the doctoral grant pursuant to Section 14 of the Ordinance on Doctoral Grants for Doctoral Students (1995:938). Ordinance (2013:525).

**Chapter 5, Section 5 of the Higher Education Ordinance** - When an appointment to a doctoral studentship is to be made in cases other than those referred to in Section 4, the ability of the student to benefit from third-cycle courses and study programmes shall be taken into account. In addition, the second and third paragraphs shall apply.

If an appointment to a doctoral studentship is to be made in connection with admission to a study programme, the provisions of the second and third paragraphs of Section 41 of Chapter 7 on determination of the assessment criteria and the prohibition of preferential treatment shall apply.

The higher education institution shall provide information about vacant positions in the form of advertising or some equivalent procedure so that those who are interested in appointment to a doctoral studentship may notify the higher education institution of their interest within a stipulated period. Information need only be provided, however, if appointment to a doctoral studentship is to be made in connection with admission to a study programme and pursuant to Section 37 of Chapter 7 information shall be provided in connection with admission. Ordinance (2006:1053).

**Chapter 5, Section 6 of the Higher Education Ordinance** - Appointment to a doctoral studentship shall be decided by the vice-chancellor. Ordinance (1998:80).

## Guideline of the Disciplinary Domain

Doctoral students with doctoral studentships may teach up to 40 hours per semester. In the event a teaching assignment exceeds this (though not by more than 20%), the time the doctoral student spent teaching is compensated with the corresponding amount of time for third-cycle education

## 9.2 Extension of study financing - Prolongation

**Chapter 5, Section 7 of the Higher Education Ordinance** - Appointment to a doctoral studentship shall apply for an indefinite period, however for no longer than until a specified date and never for a period extending more than one year after the award of a PhD or a doctorate in the fine, applied and performing arts.

The initial appointment may apply for no longer than one year. An appointment may be renewed for no more than two years at a time.

A person may be appointed to a doctoral studentship for a total of eight years. The total employment period may, however, not exceed the time corresponding to full-time third-cycle study for four years. For courses or study programmes to be concluded with the award of a licentiate degree or a licentiate degree in the fine, applied and performing arts the total employment period may not exceed the time corresponding to full-time third-cycle study for two years. The time spent studying by the third-cycle student while not appointed to a doctoral studentship shall be deducted from these periods.

The total period of employment may, however, exceed that stated in the third paragraph if special grounds exist. Such grounds may comprise leave of absence because of illness, leave of absence for service in the defence forces or an elected position in a trade union or student organisation, or parental leave. Ordinance (2009:933).

## Common Guidelines of the University

Both the supervisors and the doctoral student are responsible for proposing necessary changes to the individual study plan if needed in order for the dissertation work to be able to be completed within the maximum actual period of study. However, the Higher Education Ordinance stipulates that an extension of a doctoral studentship may be permitted in the event of special circumstances.

Guidelines on extensions of the study grant and employment of doctoral students for doctoral students with positions of trust have been established in the special decision from 4 February 2014 (UFV 2014/72). The equivalent possibility for an extension also covers doctoral students with funding other than doctoral studentships or study grants. Time off for reasons other than those regulated in the Higher Education Ordinance may only be permitted in exceptional situations. For longer planned absences, such as parental leave, the doctoral student's ability to continue working on the dissertation project must be facilitated. The recommendations in Uppsala University's "Parental Policy" (UFV 2005/119) apply regardless of the type of funding the doctoral student has.

## 10 Working environment

The Research Training Committee has, in consultation with the Medical Postgraduate Students' Council and the Pharmaceutical Postgraduate Students' Council, drawn up this action plan to support doctoral students with psychosocial or physical occupational issues. This support is primarily meant for doctoral students and supervisors and is intended to prevent serious occupational issues as far as possible.

The supervisor has a supervisory role, but many doctoral students may find it difficult to contact their supervisor with problems not directly related to the research project. Every doctoral student has a network of people they can turn to if they'd like to discuss a concern or problem.

Below is a list of some of these contacts

1. Director of third-cycle education in the doctoral student's department.
2. Director of studies for third-cycle education in the department
3. Director of studies for third-cycle education in the Faculty of Pharmacy (Professor Anders Backlund), director of studies for third-cycle education, Faculty of Medicine, clinical specialisation (Professor Inger Sundström-Poromaa), director of studies for third-cycle education, Faculty of Medicine, pre-clinical subjects (Professor Staffan Johansson), director of studies for third-cycle courses (Professor Ulf Göransson)
4. Department Head
5. Members of the Research Training Committee(KUF)
6. Chairs of the Medical Postgraduate Students' Council and Pharmaceutical Postgraduate Students' Council
7. Student Health Centre (for doctoral students who do not have doctoral studentships)
8. Uppsala University's occupational health service, Feelgood (for doctoral students with doctoral studentships)
9. Doctoral student representative, currently the same as the student representative, at the Uppsala Student Union
10. Occupational health service (for doctoral students with another accountable authority than the University.

Normally, doctoral students and/or supervisors should turn to people on the list who they trust and who are familiar with the conditions of third-cycle education and conditions on the department so that the issue can be resolved quickly and constructively.

For issues related to the physical working environment, i.e. premises, technical solutions etc., the doctoral student should first contact the supervisor, the department head, Campus Management or the coordinator of support for students with disabilities at Uppsala University.

At the annual third-cycle education follow-up, the doctoral student and the supervisor will review the progress of the education and the thesis and also address working environment issues.

## 11 Withdrawal of resources for doctoral students in third-cycle programmes

**Chapter 6, Section 30 of the Higher Education Ordinance** - If a doctoral student substantially neglects his or her undertakings in the individual study plan, the vice-chancellor shall decide that the doctoral student is no longer entitled to supervision and other study resources. Before such a decision is made, the doctoral student and the supervisors shall be given an opportunity to make representations. The case shall be considered on the basis of their reports and any other records available. The assessment shall take into account whether the higher education institution has fulfilled its own undertakings in the individual study plan. A written record of the decision shall be made, which is to include reasons for the decision.

Resources may not be withdrawn for any period in which the third-cycle student has been appointed to a doctoral studentship or is receiving a doctoral grant. Ordinance (2010:1064).

### Common Guidelines of the University

If a doctoral student substantially neglects his or her undertakings in the individual study plan, resources for that individual's third-cycle education shall be withdrawn. Such a decision should be taken in cases where the doctoral student is not pursuing his or her education in accordance with the individual study plan, for example if the doctoral student, despite adequate supervision and requisite resources for the planned work, does not demonstrate the ability to complete the education in a reasonable manner. In cases where the deviation is significant, the head of department or the equivalent person shall direct both the doctoral student and supervisors to submit written statements.

Withdrawing resources requires painstaking assessment and must be done in such a manner that the reasons for and against withdrawing supervision and other resources are clearly stated. Matters involving the withdrawal of resources must be handled with respect and due consideration of the privacy of the doctoral student.

If the doctoral student has significantly neglected his or her undertakings according to the study plan, the head of department or the equivalent person shall propose to the Disciplinary Domain Board, Faculty Board, or joint body for the Faculty or Disciplinary Domain with the responsibility for third-cycle education that it take measures and, if necessary, request that the Vice-Chancellor withdraw the resources.

The decision to withdraw resources is made by the Vice-Chancellor following scrutiny of the matter in the Disciplinary Domain Board or Faculty Board with the overall responsibility for third-cycle education in an area.

**Chapter 6, Section 31 of the Higher Education Ordinance** - If study resources have been withdrawn pursuant to Section 30, the doctoral student may, on application to the vice-chancellor, recover his or her entitlement to supervision and other resources. The doctoral student must then demonstrate convincingly, by presenting prospective study results of considerable quality and scope or in some other way, that he or she can fulfil his or her remaining undertakings in the individual study plan. Ordinance (2010:1064).

### **Common Guidelines of the University**

Requests to regain supervision and other resources are submitted to the head of department or the equivalent person, who will hand over the matter to the Disciplinary Domain Board, Faculty Board, or joint body for the faculty or the disciplinary domain with the responsibility for third-cycle education, together with his or her own statement, for decision by the Vice-Chancellor.

The situation of a third-cycle student having been deprived of the right to resources is not the same as deregistration. The doctoral student may continue to pursue studies but entirely on his or her own. The doctoral student is still admitted and may announce to the Disciplinary Domain Board or Faculty Board with the overall responsibility for third-cycle education in the area his or her intention of submitting a dissertation.

Decisions to withdraw resources for a doctoral student pursuant to Chapter 6, Section 30 and decisions not to reinstitute resources for a doctoral student pursuant to Chapter 6, Section 31 may, under Chapter 12, Section 2, Paragraph 5, be appealed to the Higher Education Appeals Board.

**Chapter 12, Section 2 of the Higher Education Ordinance** - Appeals may be made to the Higher Education Appeals Board against the following decisions of a higher education institution:

5. a decision to withdraw study resources from a doctoral student pursuant to Section 30 of Chapter 6 and a decision that a student is not to recover these resources pursuant to Section 31 of Chapter 6,

## 12 Documentation in third-cycle programmes

All documentation of credits and grades awarded in the Disciplinary Domain of Medicine and Pharmacy takes place in accordance with the “Guidelines for documenting information in Uppdok/Ladok about students in third-cycle programmes”, UFV 2015/518.

## 13 Deregistration of doctoral students

### **Common Guidelines of the University**

Deregistration of a doctoral student is done at the request of the student and involves situations when the doctoral student has terminated his or her studies. Students who wish to resume the programme must re-apply for admission.

## 14 Regulatory documents

Admissions Regulations and Rules Regarding Grading in Third-cycle Education at Uppsala University, UFV 2012/2057, abbreviated AFUU

Rules of procedure for the Disciplinary Domain of Medicine and Pharmacy, MEDFARM 2014/241

Regulations Regarding Studies at the Graduate Level at Uppsala University, UFV 2010/318

Extension of the study period for doctoral students with positions of trust, UFV 2014/72

Parental policy, UFV 2005/119

Administrative Procedures Act (1986:223)

Higher Education Ordinance, abbreviated HEO, (1993:100)

Conflict of Interest Policy, Swedish Research Council Reg no. 113-2014-1792

Regulations concerning conflict of interest in the university sphere. Guideline established by the Vice-Chancellor, 1 August 2001.

Guidelines for Third-cycle Education at Uppsala University, UFV 2009/1993

Guidelines for documenting information in Uppdok/Ladok about students in third-cycle programmes, UFV 2015/518.

Routine for dealing with suspected deceptive conduct in examinations, Reg no. UFV2013/1411