



LUNDS
UNIVERSITET

DECISION

Reg. no
STYR 2021/2700

Date 14 June 2022

University Board

Admission rules for doctoral education at Lund University

These admission rules were approved by the University Board on 14 June 2022 and replace the previous admission rules. These rules apply to admission to courses or study programmes starting after 14 June 2022

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Pursuant to Chapter 6 Section 3 of the Higher Education Ordinance (1993:100) in its wording from 1 January 2011 (hereafter HEO) Lund University has decided the following regulations.

In accordance with Lund University's *Rules on the allocation of decision-making powers and the right to sign agreements at Lund University*, the decision-making powers that are regulated in these admission rules may be further delegated to another body or function unless restrictions apply in individual cases.

1 Information for applicants

The Higher Education Ordinance

The Higher Education Ordinance (HEO) Chapter 6, Section 3 states that the higher education institution is to ensure that admission rules are available. The admission rules are to include the rules that the higher education institution applies with regard to applications, admission requirements, selection and admission, as well as how decisions are made and can be appealed.

The Higher Education Ordinance Chapter 6, Section 3 also stipulates that students shall be provided with study and career guidance. Higher education institutions shall ensure that those intending to begin a course or study programme have access to the information about it that is required.

Lund University

Those who undertake doctoral education are to have been formally admitted to a doctoral programme. Education intended to prepare students for doctoral studies (third cycle studies) is to be in the second cycle.

The process of admission to doctoral courses and study programmes is to be transparent.

The faculty is to ensure that applicants for doctoral education have access to information about the University's organisation and operations, as well as access to the relevant rules for doctoral education.

Comprehensive information about the programme and the admissions process shall be readily available on the University's website and that of the relevant faculty.

This information shall include the following:

- the procedure for admission to doctoral education,
- the main content and structure of the programme,
- applicable eligibility rules,
- the assessment criteria that are to be applied in assessing the doctoral student's capacity to benefit from the programme,
- how decisions on admission are made,
- forms of funding for doctoral education,
- deadlines for application to doctoral education.

The information above shall also be available in English.

2 Advertisement of vacant places

The Higher Education Ordinance

HEO Chapter 7, Section 37 states that when a higher education institution intends to admit one or several doctoral 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 doctoral 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 doctoral student who has previously begun doctoral studies at another higher education institution, or
3. if there are similar special grounds.

Lund University

According to Lund University's *Rules on the allocation of decision-making powers and the right to sign agreements at Lund University*, the faculty board is to determine procedural rules for the advertisement of doctoral studies in all the subjects in which the education is offered.

The advertisement of vacant places is always to be done on the University's website. The information shall be distributed in such a way that it receives appropriate national and international coverage. The position shall be advertised at least three weeks prior to the deadline for applications.

The advertisement is to specify whether departmental duties may be included in the advertised position.

2.1 Admissions without prior advertising

Admissions without prior advertising can occur when admitting candidates with scholarships, candidates for joint degrees, candidates employed outside of Lund University or when admitting candidates who have previously begun doctoral studies at another higher education institution. The candidate's qualifications are to be assessed by a preparatory committee that is of the same kind, and appointed in the same way, as in regular admissions to doctoral studies, as stipulated in Chapter 4 about preparation and selection below.

3 Admission requirements

The Higher Education Ordinance

HEO Chapter 7, Section 35 stipulates that the requirements for entry to third-cycle studies are that the applicant meets the general and specific entry requirements that the higher education institution may have laid down and is considered in other respects to have the ability required to benefit from the course or study programme.

HEO Chapter 7, Section 39 stipulates that the general entry requirements for doctoral studies are met by those who

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

The higher education institution may exempt individual applicants from the general requirements if there are special grounds for doing so.

HEO Chapter 7, Section 40 stipulates that any specific entry requirements imposed shall be essential for a student to be able to benefit from the course or study programme. These requirements may concern:

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.

Lund University

Applications for admission shall be made on a special form. The application form is to be approved by the faculty board, in accordance with Lund University's *Rules on the allocation of decision-making powers and the right to sign agreements at Lund University*.

For each subject in doctoral education, the faculty board is to decide on the specific entry requirements. Specific entry requirements include prior knowledge and other conditions beyond the general requirements. The specific entry requirements are to be stated in the general syllabus.

The specific entry requirements may include specification of the 240 credits covered by the general requirements but may not require specific courses over and above those credits.

4 Preparation and selection

The Higher Education Ordinance

As stipulated in HEO Chapter 7, Section 41, first and second paragraphs, in selecting between applicants who meet the admission requirements laid down in sections 35 & 36, their ability to benefit from the course or the study programme 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.

HEO Chapter 7, Section 41 last paragraph stipulates that 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 in itself give the applicant priority over other applicants.

Lund University

According to Lund University's *Rules on the allocation of decision-making powers and the right to sign agreements at Lund University*, for all the subjects which offer doctoral studies, the faculty board is to determine:

- comprehensive procedures for the preparation of decisions on admission to doctoral studies. This decision-making power may not be sub-delegated.
- assessment criteria for admissions to doctoral studies.

The faculty is to ensure that the preparation of decisions in the doctoral studies admissions process is transparent and legally sound. Conflicts of interest must always be considered.

Preparation and selection concerning decisions on admissions to doctoral studies are to be carried out by a committee determined by the faculty board. The right to decide on the preparatory committee can be delegated to the department board other body at department level or the head of department but cannot be further sub-delegated. The preparatory is to include at least two members of teaching staff

holding the qualifications for associate professorship.¹ At least one of the members of teaching staff on the committee with qualifications for associate professorship is not to be under consideration as a prospective supervisor. The composition of the committee must ensure an impartial assessment.

The policy and regulations for student influence at Lund University stipulates that according to the University's Rules of Procedure, students are entitled – as in any other cases that affect education – to be represented both during the preparation of the decision to admit to doctoral education and the awarding of funding for doctoral studies.

When recruiting and selecting students for doctoral education, gender equality and equal opportunities must be strived for, in accordance with *Lund University's Equal Opportunities Plan*.

The faculty board is responsible for ensuring that a thorough assessment of the study funding is undertaken, and that study funding can be secured for the entire duration of the studies until the intended qualification (licentiate or doctoral degree) for those admitted to doctoral education. This does not apply, however, if a decision has been made to withdraw resources in accordance with HEO Chapter 6, Section 30.

On admission to doctoral education, a risk assessment is always to be carried out regarding the student's situation and capacity to complete the doctoral studies in both scientific and practical terms. This is particularly relevant in the admission of doctoral students with another type of funding, such as external scholarships and externally-employed doctoral student agreements (see Chapter 6 below). If funding comes wholly or partly from another country, particular attention shall be paid to risks regarding impartiality, integrity, ethics,

¹ Exceptions to this requirement can be made for artistic doctoral studies subjects that can define the competence requirements against the background of HEO Chapter 4, Section 3. Here it is stipulated that skills within the fine, applied or performing arts are displayed through artistic or scientific prowess as well as teaching expertise.

academic freedom and dual use areas (i.e. applications that can be both beneficial and detrimental for humanity and the environment). In collaborations with external funding bodies, Lund University is to inform both those bodies and those admitted about the requirements placed on collaborations within research and education by Swedish law, ordinances and the University's own rules.

4.1 Objections

Before a decision is taken on admission, documentation that includes proposed admissions and the grounds for the proposed admissions shall be drawn up. The documentation is to be distributed to the applicants at least two weeks before a decision on admission is taken. Within this timeframe, applicants who wish to do so can communicate their objections to the proposed admissions to the faculty board. If the decision-making power has been delegated, the objections should be communicated to the decision-making body in question or to the relevant official.

All applicants are to be informed of the opportunity to object to proposed admission decisions, and how the objection is to be submitted.

5 Decision on admission to doctoral studies

The Higher Education Ordinance

HEO Chapter 7, Section 34 stipulates that the number of doctoral students admitted to courses and study programmes may not exceed the number that can be offered supervision and otherwise acceptable conditions for study and whose studies are funded according to section 36.

As stipulated in HEO Chapter 12, Section 2, a decision about admission to doctoral studies cannot be appealed.

Lund University

In accordance with Lund University's *Rules on the allocation of decision-making powers and the right to sign agreements at Lund University*, decisions about the admission of applicants to doctoral studies are made by the faculty board.

When funding for a doctoral student is provided by means other than a doctoral studentship, the power to make such decisions may be delegated to a body or an official at faculty level but no further.

When admission includes employment as a doctoral student, the power to make such decisions may also be delegated to a body at department level, but not to any individual other than a head of department. The power to make such decisions may not be delegated to the doctoral student's intended supervisor.

When admission includes employment as a doctoral student, the fundamental rules and principles for recruitment and appointment in the *Lund University Appointment Rules* are to be observed.

Before a decision on admission, the following must be in place:

- a plan for the doctoral student's funding for the entire period of study,
- available supervisors in the subject,
- a plan for the doctoral student's workplace and other physical resources.

All applicants shall be informed of the decision on admission within seven working days of it being made.

A decision to employ a student from a country outside the European Union as a doctoral student may only be made after the student has been admitted to doctoral studies and the Swedish Migration Agency have granted the student a residence permit.

6 Forms of student funding

6.1 *Employment as a doctoral student*

The Higher Education Ordinance

As stipulated in HEO Chapter 5, Section 2, students on doctoral studentships are expected to devote most of their time to their own 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.

As stipulated in HEO Chapter 5, Section 3, 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.

HEO Chapter 5, Section 3a stipulates that a doctoral studentship shall be a full-time post. If a doctoral student so requests, the appointment may be a part-time, but for no less than 50 per cent of a full-time post.

HEO Chapter 5, Section 5 stipulates that when an appointment to a doctoral studentship is to be made, the ability of the student to benefit from third-cycle courses and study programmes must be taken into account. 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.

As stipulated in HEO Chapter 5, Section 7, 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.

Lund University

At Lund University, those admitted to doctoral education are to be employed as doctoral students in the first instance. The doctoral studentship is to secure funding for the duration stipulated in the Higher Education Ordinance.

6.2 Other funding

The Higher Education Ordinance

HEO Chapter 7, Section 36 stipulates that a higher education institution may admit an applicant to third-cycle courses and study programmes who has been appointed to a doctoral studentship. The higher education institution may also admit an applicant who has some other form of funding for their studies if it assesses that

1. funding can be guaranteed during the entire period of study, and
2. the applicant 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.

Lund University

The forms of doctoral student funding that are not employment as a doctoral student are called other funding.

Other doctoral student funding may not consist of support from another person or personal fortune.

Internal scholarships for student funding for doctoral education may only be established when they concern supplementary scholarships in accordance with 6.2.2 below.

In the case of other student funding, except external scholarships as set out in 6.2.1 below, the student funding is to be equivalent to at least 28 per cent of the price base amount.

If, when other student funding applies, this funding ceases during the period of study for reasons beyond the doctoral student's control, the faculty has an obligation to employ the doctoral student for the remainder of the study period. This does not apply, however, if a decision has been made to withdraw resources in accordance with HEO Chapter 6, Section 30.

When doctoral studies are financed by other doctoral student funding, such as external scholarships and externally-funded doctoral students, they remain subject to the regulations in HEO Chapter 7, sections 34-35: that only as many research students as can be offered supervision and acceptable general study conditions may be admitted, and that those admitted to doctoral studies must fulfil the specific requirements specified by the faculty and possess the ability necessary to benefit from the studies.

6.2.1 External scholarships

The Higher Education Ordinance

As stipulated in HEO Chapter 1, Section 11c, a higher education institution shall provide insurance cover through an agreement with the Legal, Financial and Administrative Services Agency for doctoral students whose studies are financed by scholarships. The insurance cover is to be valid for the period when

1. the doctoral student's scholarship ceases to be paid because of absence from study on the grounds of illness or parental leave, or
2. the doctoral student's studies are extended as a result of illness or parental leave, without the doctoral student receiving scholarship for the extended period of study.

This insurance shall not entitle the doctoral student to compensation if they are entitled to corresponding compensation through some other insurance policy.

As stipulated in HEO Chapter 5, Section 4, 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 Chapter 6, Section 30.

Exceptions are listed in HEO Chapter 5, Section 4a, stipulating that a doctoral student in receipt of a doctoral grant does not need to be appointed pursuant to Section 4 if the grant is awarded as part of

1. an aid and capacity building programme in which grants are an accepted form of funding with reasonable terms and conditions and the admitting higher education institution has insight into these terms and conditions and into how the grant is paid, or
2. a programme funded by the European Union or other partnerships, in which grants with reasonable terms and conditions comprise an accepted form of funding and where requirements for funding through employment are a barrier to participation for the admitting higher education institution.

HEO Chapter 7, Section 36 second paragraph stipulates that when the applicant will alternate staying in Sweden and another country, the requirement for the level of the grant only applies to the time the applicant intends to stay in Sweden.

Lund University

External scholarships may be used as student funding in doctoral education. An external scholarship is characterised by being a scholarship awarded directly to the recipient from a funding body other than Lund University.

A doctoral student can be in receipt of a scholarship throughout the period of study if the grant is awarded as part of:

- 1) an aid and capacity-building programme. This includes programmes that entail capacity-building cooperation according to Sida's definition; "capacity-building is a process whereby people, groups and organisations develop their ability to identify and deal with challenges that they meet during the development process,"

or

2) a programme funded by the European Union or other formalised doctoral studies partnerships between higher education institutions within which doctoral students participate with their home university outside Sweden. A collaboration agreement with Lund is to be in place, and scholarships are to be an accepted form of funding.

An external scholarship is not permitted to be associated with demands from the funding body for the doctoral student to perform work duties during their doctoral studies. The written agreement between the funding body and the recipient (doctoral student) is to be attached to and submitted with the individual study plan. Other contracts between the recipient of the scholarship and the funding body are not permitted.

As stipulated in HEO Chapter 1, Section 11c, Lund University takes out insurance through Kammarkollegiet (*the Legal, Financial and Administrative Services Agency*) which covers loss of income in the case of illness or parental leave for doctoral students whose student funding comprises scholarships.

Before a decision on admission is made, the doctoral student who is to receive the scholarship must be given written information about the implications of the scholarship funding such as social conditions, what insurance cover the doctoral student is responsible for taking out themselves, leave, illness and so on. The doctoral student is to confirm in writing that this information has been received.

Before admission, the scholarship provider must state in writing that there are no unreasonable conditions attached to the scholarship, such as a requirement to repay if the degree is not obtained or conditions that risk restricting freedom of speech or academic freedom.

6.2.2 Supplementary scholarships

The Higher Education Ordinance

As stipulated in HEO Chapter 7, Section 36, paragraph 2, study funding is regarded as guaranteed if the level of the grant is equivalent to the pay level for doctoral students regulated by a Swedish collective agreement or standard practice in the profession, after deductions for preliminary tax at source according to the tax table equivalent to the average tax rate for municipalities and regions which is published annually by Statistics Sweden.

Lund University

Additional funding is provided at Lund University in the form of supplementary scholarships.

When a faculty admits an applicant to doctoral studies with an external scholarship that is lower than the net entry-level salary after tax for a doctoral student with a doctoral studentship in the relevant third-cycle subject, the faculty board is to decide on the award of a supplementary scholarship to the applicant.

The supplementary scholarship, along with the main external scholarship, is to be equivalent to the net entry-level salary after tax for a doctoral student with a doctoral studentship in the relevant third-cycle subject and is to subsequently follow the salary progression of doctoral students with a doctoral studentship.²

Supplementary scholarships may only be awarded to applicants whose doctoral studies are to primarily be financed through external scholarships.

² Scholarships that are intended as an alternative to salary or another form of student funding for doctoral students may not be financed using funds from the government budget. This refers to funding for research and third-cycle education and other state funding distributed through a public authority (*Public service agreement for the 2016 budget year regarding higher education institutions*, Financial reporting etc, point 9, Government Decision III:4, 18 December 2015).

Before a decision on a supplementary scholarship is made, the funding body whose resources are to be used is to approve that the University allocates these resources to scholarships. The approval is to be documented in writing.³

Before any decision on supplementary scholarships is made, the faculty should endeavour to agree a higher scholarship amount with the funding body.

The supplementary scholarship is to be paid monthly and may not account for more than 49 per cent of the scholarship recipient's total monthly grant.⁴

The supplementary scholarship can be awarded to a doctoral student in receipt of an external scholarship as their main source of student funding for a maximum of four years full-time study, with additions as stated in HEO Chapter 1, Section 11c, see 6.2.1

Scholarships set up for supplementary funding are not subject to calls for application.

Supplementary scholarships are not awarded to exchange doctoral students or doctoral students who are present at the University for a short time without having been admitted to a doctoral course or study programme at Lund University.

³According to the University's Division of Finances supplementary scholarships may only be established using funds from external, non-governmental donors who have approved in writing that the grant may be used for the payment of scholarships. If this is not specified in the contract, written consent should be sought from the donor before the scholarship is established. The donor may not demand any future repayment from the recipient. Written consent is not required if the relationship with the donor has been terminated and Lund University is not obliged to reimburse according to the contract and may freely dispose of any surplus funds. The agency capital that arises upon the termination of the project may be used to fund supplementary scholarships.

⁴The supplementary scholarship may be less than 49 per cent of the total monthly scholarship sum, but must not be more. The supplementary scholarship is to provide a top-up and may not form a doctoral student's main source of income.

6.2.3 *Student funding in the form of employment by another employer*

Lund University

When study funding is to be provided through an employer other than Lund University, a written agreement with the employer is to be entered into, with the aim of securing the study funding until the intended degree is awarded. According to Lund University's *Rules on the allocation of decision-making powers and the right to sign agreements at Lund University*, such an agreement is to be signed by the dean. The decision can be delegated to the head of department, but not sub-delegated further.

The written agreement between the University and the doctoral student's employer is to be attached and submitted with the individual study plan.

7 Joint courses and programmes in doctoral education

The Higher Education Ordinance

HEO Chapter 6, Section 11a stipulates that a higher education institution may take part in educational cooperation pursuant to the second paragraph of Section 17 of Chapter 1 of the Higher Education Act (1992:1434) only if this cooperation is based on a written agreement.

An agreement of this kind may only be entered into by a higher education institution listed in the annex to the Higher Education Act with

1. another higher education institution subject to the Higher Education Act,
2. an independent course provider entitled to award a qualification pursuant to the Act Concerning Authority to Award Certain Qualifications (1993:792), or
3. a higher education institution outside Sweden that is not a physical individual.

Section 11b A higher education institution referred to in Section 11a may enter into an agreement as provided in the same paragraph only if the conditions stipulated in the second and third paragraphs are fulfilled.

In the agreement the higher education institution shall ensure that

1. every component of the programme is arranged by one of the higher education institutions party to the educational cooperation, and
2. the components of the programme arranged by an institution other than the higher education institution itself shall also be based on an academic or artistic footing and on proven experience and shall be organised so that the programme maintains a high standard. The agreement shall indicate clearly
3. which component of the programme the higher education institution shall organise,
4. which component of the programme another higher education institution shall organise,
5. to which higher education institution or institutions organising components of the programme an applicant to the programme is to be admitted,
6. that the higher education institution may admit applicants only to the component of the programme arranged by the higher education institution,
7. when a student who has been admitted to a component of the programme by another higher education institution shall be considered to be a student pursuant to Section 11c,
8. that students shall be able to transfer credits for a successfully completed component of a programme at another higher education institution to the programme at the higher education institution without special review,
9. what qualification the programme can lead to at each of the higher education institutions, and
10. other conditions required for the organisation of the programme.

Section 11c A student who has been admitted at another higher education institution to a component of the programme subject to an agreement of the kind stipulated in Section 11a shall be considered to be a student admitted to a higher education institution party to such an

agreement when they are pursuing studies within the framework of the programme at that higher education institution. This applies only if

1. the other higher education institution organises the component of the programme to which it has admitted the student, and
2. the agreement does not stipulate that the student shall also be admitted by the higher education institution.

Section 11d Credits for a component of a programme subject to an agreement of the kind laid down in Section 11a successfully completed by a student at another higher education institution shall be transferred to a programme at a higher education institution party to the agreement without special review.

Lund University

A joint doctoral degree is a programme organised by two or more higher education institutions, each of which is responsible for different parts of the programme. The programme can lead to a double degree, or a joint degree.

Lund University may enter into cooperation with another higher education institution on joint third-cycle courses and study programmes. Before a student is admitted to a joint third-cycle study programme, a written agreement is to be formulated between the higher education institutions, in accordance with the requirements in HEO Chapter 6, Section 11b. The agreement should make clear which general syllabus is to be followed, what the learning outcomes are for the subject in question, how the programme is to be financed as well as how failure to comply with the agreement will be dealt with.

Decisions on admission to joint doctoral studies are to be made by the Faculty Board. This decision-making power may be delegated to a body or official at the faculty level, but not further sub-delegated. The candidate's qualifications are to be assessed by a preparatory committee that is of the same kind, and appointed in the same way, as in regular admissions to doctoral studies, as stipulated in Chapter 4, page 6 about preparation and selection.

If a higher education institution abroad admits a student to all or part of a joint programme leading to a joint doctoral degree, the student is also to be admitted to doctoral studies at Lund University for the studies conducted here.

8 Work environment

Lund University

In accordance with the Work Environment Act (1977:1160), Lund University has a work environment responsibility for all persons regularly present on the University's premises, which also applies to all doctoral students regardless of study funding.

Doctoral students with doctoral studentships and doctoral students with other funding are to be treated equally and to have equal terms and conditions for their course or study programme. Doctoral students, regardless of their student funding, have access to the University's Occupational Health Service.

9 Entry into force and transitional provisions

On 14 June 2022, the University Board approved these *Admission rules for third-cycle education at Lund University* (STYR 2021/2700) which enter into force on 14 June 2022. At the same time, Regulations for doctoral education at Lund University *Admission rules for doctoral education at Lund University* (STYR 2017/409) cease to apply.⁵

⁵ Previous admission rules:
Admission rules for doctoral education at Lund University 16 June 2017 (STYR 2017/409)
Admission rules for doctoral education 15 June 2013, (LS 2012/719)
Admission rules for doctoral education at Lund University 18 December 2006 (I G 9 6251/2004)

Transitional provisions:

The decision on supplementary scholarships applies to doctoral students with external scholarships admitted after 1 January 2018.