RULES FOR PHD STUDIES AT THE FACULTY OF MEDICINE

Rules of procedure, regulations, decisions and processes

All rules are translated from Swedish. In the event of any discrepancy, the Swedish version of this document has preferential interpretation.

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1. About PhD studies at the Faculty of Medicine

Purpose and objective of PhD studies

PhD studies is the highest level of academic education at a university. PhD studies comprise four years of full-time study or eight years of part-time study corresponding to 240 credits and conclude with a doctoral degree. PhD studies can also conclude with a licentiate degree that corresponds to two years of full-time study and 120 credits.

The objective of PhD studies at the Faculty of Medicine is to provide society with qualified researchers who can drive development forward in medicine and health.

In order to accomplish this objective there are a number of learning outcomes\(^1\) that the doctoral student is expected to achieve during the study period, see appendix 1.

Overview of PhD studies

Steering documents

PhD studies are regulated by different steering documents at national, university, and faculty levels.

National regulations and ordinances

At national level, both education and doctoral studentships are regulated by the Higher Education Act\(^2\) and the Higher Education Ordinance.\(^3\)

Lund University’s rules and policies

At Lund University the following joint steering documents are relevant to PhD studies:

- Lund University’s regulations for PhD studies\(^4\)
- Admission rules for PhD studies\(^5\)
- Policy and regulations relating to scholarship funding for maintenance during the study period or for additional training after the doctoral degree has been awarded.\(^6\)

The Faculty of Medicine’s regulations and steering documents

The present document constitutes the overall steering document that details the regulations, processes and procedures that are applied at the Faculty of Medicine. Besides this document there are general syllabi\(^7\) that constitute a framework for the

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1. From the qualifications ordinance of the Higher Education Ordinance
2. SFS 1992:1434
3. SFS 1993:100, Chapters 5, 6 and 7
4. Reg. no STYR 2018/562
5. Reg. no STYR 2017/409
6. Reg. no 2013/356
7. Reg. no U 2018/411
subject to which the doctoral student has been admitted. The individual study plan regulates the study programme for the individual doctoral student.

**General study plan**

There is to be a general study plan for each qualification to which PhD studies lead. The Research Studies Board approves general study plan for programmes for both doctoral and licentiate degrees. According to Lund University’s regulations the general study plan is to include the following:

- subject title
- date of approval and of any amendments
- title or titles of the qualification to which the programme leads. If there is more than one title the conditions for specific titles of qualification are to be stated
- learning outcomes according to the qualifications ordinance with specifications of the subject and any additions
- the scope of the thesis (stated in credits)
- the scope in credits of other elements that are included in the programme (courses and /or other credit-earning components, both compulsory and elective), which together with the thesis are to correspond to the total scope in credits of the programme
- the qualifications (general and specific) required to be admitted to the programme and
- the assessment criteria that are applied in the selection process between applicants in order to test their ability to benefit from the programme.

**PhD studies subject**

At the Faculty of Medicine there is one subject; medical science. The subject of medical science in this context is a collective term for research that aims in different ways to promote people’s health and prevent ill-heath as well as palliate and cure diseases. The subject encompasses everything from studies of cells to society such as

- medically relevant models in *vitro* and in *vivo* with molecular-genetic, chemical, cellular-biology, physiological and pharmacological perspectives
- explanations of common and uncommon diseases and conditions, and the development of new diagnosis and treatment methods as well as healthcare forms
- the significance of lifestyle, environment, societal structure, working life and the healthcare system for health at individual, group and population levels
- health-promoting interventions and knowledge about how they can be implemented
- professional and organisational developments of relevance to medical science and health science.

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8 According to the Research Studies Board decision Reg. no U 2018/411, which applies from 1 January 2019.
PhD studies organisation

At Lund University
Lund University has a central Research Programmes Board on which the vice-dean for PhD studies represents the Faculty of Medicine. This board is to address strategic PhD education issues, which due to their university-wide nature should not be decided at faculty level. Its remit also covers principles for quality assurance and quality development. The Research Programmes Board has a drafting and advisory role. The vice-chancellor can delegate decision-making to the board in certain matters.

At the Faculty of Medicine
Research Studies Board
At the Faculty of Medicine the overall responsibility for PhD studies is delegated by the Faculty Board to the Research Studies Board. According to the faculty’s rules of procedure the Research Studies Board is to continuously ensure that the education is efficient and fit for purpose, and that laws, ordinances and other rules are followed with respect to PhD studies. Furthermore, the board is responsible for continuous quality enhancement of PhD studies.

The board decides on general study plans for PhD studies, the range of courses and syllabi, and on financial resources for courses within PhD studies. In addition, the board is to decide on the advertisement of doctoral studentship vacancies in PhD studies. Prior to decisions on advertising vacancies, the board is to establish a project plan, which is to cover the tasks of the supervisor, supervision, funding as well as the project. Furthermore, at the request of the student the Research Studies Board can assess in each case if previous education or activities can be credited in admission to PhD studies. The board decides on the allocation of student finance within the faculty, as well as on thesis defence grants. In addition, the board decides on the allocation of travel grants and summer scholarships intended for students within the faculty.

The Research Studies Board is chaired by the vice-dean for PhD studies who is proposed by the dean and a member of the faculty management. Furthermore, the board is to be composed of four academic staff representatives, three group substitute members, and three student representatives. The chair and academic staff representatives of the board are appointed by the Faculty Board. The board appoints a vice-chair from within its own members. The term of office for members, except the student representatives, is three years. The Research Studies Board can decide on co-opted members.

There are a number of working groups – appointed by the Research Studies Board – which aim to support the board on various matters. The drafting group plans which matters are to be taken up at the next Research Studies Board meeting. The group is composed of the chair and vice-chair of Research Studies Board, a representative from MedCUL, representatives from the Research Studies Office, as well as a

9 Reg. no STYR 2018/620
doctoral student representative. There is a course drafting group which among other things drafts syllabi prior to decisions by the Research Studies Board. Other working groups, whose aim is to draft matters and give strategic advice to the Research Studies Board, can be appointed by the board if required.

The Research Studies Board has delegated decision-making powers to the chair between board meetings. These delegated decisions are to:

- appoint external examiner, chair and examining committee prior to a thesis defence
- assess general and specific eligibility for admission to PhD studies
- decide on compensation for assignments within PhD studies
- grant extension of doctoral studentships due to duties as an elected official

**Study coordinator for PhD studies**

The Chair of the Research Studies Board is assisted by a Study Coordinator for PhD studies. The Study Coordinator has an operative assignment to on an overarching level coordinate PhD courses as well as act for quality assurance and development of the PhD programme.

**Deputy heads of department for PhD studies**

At each of the faculty’s six departments there is a Deputy head of department (DHoD) for PhD studies. The duties of these DHoDs are delegated by the head of department and they are to have at least the qualifications required for appointment as an associate professor.

The DHoD for PhD studies is thus a departmental resource who is to support doctoral students as well as supervisors and department management in their handling of matters relating to PhD studies. For research teams, the DHoD is an important resource person particularly concerning information and formalities surrounding PhD studies.

The DHoDs for PhD studies have the following duties:

- approval and annual review of PhD students’ individual study plans
- statements on applicants’ specific eligibility in applications to PhD studies
- evaluation of progression in the course Comprehensive Generic Skills – Portfolio at the Half-time review as well as assessment for the course which must be passed before the student can apply for a thesis defence, and on both these occasions provide feedback to the doctoral student. Specific assessment documents for the course are to be used.
- review and approve/reject the application for a thesis defence

**Research Studies Office**

The Research Studies Office, which is part of the faculty office, offers services, information and advice on matters relating to PhD studies. The office is responsible for the processing of matters such as admission to PhD studies, admission to courses, allocation of travel grants, thesis defences and the issuing of degrees. In addition, the office drafts matters for the Research Studies Board, ensures that the board’s
decisions are executed and is responsible for carrying out secretary duties for the board. The office also provides support for and coordination of quality management and evaluations.

2. Prior to PhD studies

Requirements for the supervisor prior to admission of doctoral students

Prior to the admission of a doctoral student, a review is to be conducted concerning supervisors, the project and student finance, according to the decision of the Research Studies Board. The procedures listed below apply at the Faculty of Medicine.

Project

It is important that the research studies project is designed in a way that makes it suitable for a PhD study programme in terms of content and duration. The project plan is therefore reviewed prior to admission of the doctoral student in order to ensure that the plan is reasonable concerning the depth and breadth of the project, thesis components and the timetable for the studies.

Financing the studies

Pursuant to the Higher Education Ordinance, the number of doctoral students admitted to PhD 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. This means that the doctoral students’ education is either financed by a doctoral studentship, or that they are financed by alternative funding. The department is responsible in consultation with the principal supervisor for being able to show that there are sufficient resources to fund the doctoral student’s entire period of study.

Doctoral studentships

The norm is that doctoral studies are financed through employment in a doctoral studentship at the department. This means that prior to admission there is to be an assessment to determine whether sufficient funds will be available to fund the doctoral studentship salary for the equivalent of four years of full-time study leading to a doctoral degree and the equivalent of two years of full-time study leading to a licentiate degree.

Alternative funding

The forms of student funding at the University other than doctoral studentships are termed alternative funding. The Higher Education Ordinance allows higher education institutions to admit applicants who have some other form of funding for their studies if the higher education institution considers that the funding can be

10 Reg. no U 2018/418
11 Pursuant to the Higher Education Ordinance, Chapter 7, Section 34
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 doctoral degree.¹²

**Employment within another organisation**

Prior to admitting a doctoral student with alternative funding, such as employment within Region Skåne or at another employer, a written agreement is to be drawn up between the other employer and the faculty in order to ensure scope is granted within the framework of the employment to conduct PhD studies (four years full-time and eight years part-time). Under the rules on the allocation of decision-making powers at Lund University¹³ such an agreement is signed by the dean. The right to make such decisions may be delegated to the vice-dean for PhD studies.¹⁴ This agreement is regulated in the admission form where the employer certifies that time will be granted in order to conduct PhD studies, and this agreement is also signed by the vice-dean.¹⁵ Besides the agreement, the supervisor shall, according to the decision taken by the Research Studies Board,¹⁶ be able to show grants of at least SEK100 000 for the doctoral project, in order to ensure that funds are in place for the doctoral student for purchasing computers, travelling to conferences etc.

**Funding through external scholarships**

The faculty may also admit applicants who have been granted an external scholarship, i.e. a scholarship established by an organisation other than Lund University, if it is deemed that the funding can be guaranteed for the entire period of study. The extent of the funding is to be at least the equivalent of the initial salary after tax of the employed doctoral student or shall otherwise be complemented with a supplementary scholarship.¹⁷ Decisions on setting up supplementary scholarships are made by the dean of the faculty. According to the Higher Education Ordinance the doctoral student is to be offered employment on a doctoral studentship when there remains a three-year period of study. The exceptions to this rule are regulated both in the Higher Education Ordinance and in Lund University’s admission rules.¹⁸

At Lund University, alternative funding may not take the form of support from another individual or the student’s private capital.

**Supervisor requirements**

The principal supervisor to be appointed by the Faculty of Medicine must be an associate professor or the principal for a three-year project grant from a national/international funder. In cases where the principal supervisor is not an associate professor, it is required that the assistant supervisor is an associate

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¹² Higher Education Ordinance, Chapter 7, Section 36
¹³ Reg. no LS 2013/333
¹⁴ STYR 2018/2021
¹⁵ STYR 2018/2021
¹⁶ Reg. no. U 2018/418
¹⁷ This is regulated by Lund University’s admission rules
¹⁸ Higher Education Ordinance, Chapter 5, Section 4a and reg. no STYR 2017/409
professor. The principal supervisor should be employed at Lund University, Skåne University Hospital (SUS), or have some other clear affiliation with the Faculty of Medicine. All supervisors are to have been awarded a doctoral degree and completed the faculty-approved supervisor training.

If the principal supervisor retires during the period of PhD studies, an assistant supervisor who is an associate professor at the Faculty Medicine available for supervision, and has funding options, should be engaged in the project. It is not possible to take on the role of principal supervisor after turning 67, according to the provisions affecting terms of employment for post-retirement professors at the faculty of Medicine. Instead, the principal supervisor can take the role of assistant supervisor.

The Research Studies Board has decided that close/family relationships between the doctoral student and supervisors or between the doctoral student’s supervisors are not allowed.

The principal supervisor’s credentials, experience and suitability as a supervisor are to be assessed in order to start the recruitment of a doctoral student. The supervisor constellation and the respective supervisors’ roles in the specific PhD study programme are also to be justified. This means that an assessment of the supervisor is carried out prior to admitting a doctoral student based on:

• the supervisor fulfilling the requirements i.e. that the supervisor is an associate professor or the principal for a three-year project grant from a national/international funder and that they have completed supervisor training

• an assessment of previous track record (e.g. student completion rate) and the time to supervise a doctoral student in order to determine the principal supervisor’s suitability as supervisor

Application for a PhD project

Researchers who wish to recruit a doctoral student are to send in an application for a PhD project. The application is made through the researcher drawing up a project plan, which is to include a clear plan for PhD studies, funding and the supervisors’ assignment. The project plan is to be approved by the DHoD for PhD studies at the researcher’s department and by the chair of the Research Studies Board.

In cases where the project, funding and supervisor credentials are approved, the supervisor can proceed the process of recruiting a doctoral student.

Advertisement of vacant places

Once the project plan has been quality assessed by the DHoD for PhD studies and the chair of the Research Studies Board, the doctoral studentship is to be advertised for at least three weeks on the Lund University website. The advertisement is to be

19 Reg. no M 2013/1683
20 According to meeting minutes from 2011
handled by a HR coordinator at the researcher’s department. Advertising can commence at any time of the year.

According to the Higher Education Ordinance\textsuperscript{21} exceptions can be made to the requirement for an advertisement. This applies in the following cases:

- when admitting a doctoral candidate who is to take the study programme within the framework of employment by an employer other than the higher education institution
- when admitting a doctoral student who has previously begun PhD studies at another higher education institution, or
- if there are similar special grounds, such as PhD studies using external scholarships

**Admission requirements**

In order to be admitted to a PhD programme, an applicant must meet the general admission requirements and any specific admission requirements. The general admission requirements are regulated by the Higher Education Ordinance\textsuperscript{22} and the requirements are met by a person who:

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

The Faculty Board may permit an exemption from the general admission requirements for an individual applicant, if there are special grounds.

The specific admission requirements are also partly regulated by the Higher Education Ordinance, which states: *Any specific entry requirements imposed shall be totally essential for a student to be able to benefit from the course or study programme. These requirements may comprise*

1. knowledge from upper secondary school education or equivalent education,
2. specific professional experience, and
3. necessary language skills or other conditions entailed by the programme.

In accordance with a decision by the Research Studies Board\textsuperscript{23}, the following requirements apply for specific eligibility for PhD studies:

- at least 60 credits within the subject area for the PhD programme
- For students with qualifications awarded outside Scandinavia, admission to PhD studies at the faculty requires English language proficiency equivalent to a grade of Pass in the TOEFL or IELTS test. The maximum possible points total on the TOEFL test is 660 and the requirement for admission to

\textsuperscript{21} Chapter 7, Section 37
\textsuperscript{22} Higher Education Ordinance, Chapter 7, Section 39
\textsuperscript{23} According to Research Studies Board minutes, 9 December 2015, Section 53
PhD studies at the faculty is a minimum of 550 points on the paper-based test, at least 213 points in the computer-based test and at least 79 in the online test. For the IELTS test the requirement is that the academic module is completed with a result of not less than 6.5 with no sub-component under 5.0.

Selection

Once the application period has expired, the supervisor reviews the submitted applications and selects a suitable candidate, which is to be justified in writing. The candidate proposal is then sent to the DHoD for PhD studies at the department who conducts an eligibility assessment of the prospective doctoral student and approves the proposal.

Selection from among applicants who meet the general admission requirements is to be made on the basis of their ability to benefit from the programme. Important assessment criteria are grades from previous programmes, the quality of submitted papers and other work samples, as well as any other factors that are considered important relating to what is stated in the vacancy advertisement. Personal suitability is also an important quality that can be assessed through interviews and references. Other criteria may be considered, such as professional experience and assignments.

Application

Those who are selected as prospective candidates in the PhD program have to apply for admission to PhD studies. The application is to include:

- application for admission
- the applicant’s CV and degree certificate
- the supervisor’s justification for the selection of the applicant
- statement from the DHoD for PhD studies
- doctoral students with alternative funding are to enclose the signed agreement from the other employer which substantiates that scope within the position to carry out the studies within the set period of study will be offered to the doctoral student.

Decision on admission

Once the DHoD for PhD studies has approved the admission, the chair of the Research Studies Board makes a decision regarding the admission.

The studies are intended to be full-time, but on request from the doctoral student studies can be a minimum of 50% of full-time.

A doctoral student may be admitted to PhD studies with the intention of taking a licentiate degree. However, the Research Studies Board apply this form of admission
restrictively and only when the aim for both the supervisors and doctoral student is that studies shall conclude with a licentiate degree. On admission, the doctoral student is to use a special form to ensure that they are aware of this type of admission.

Credit transfer of courses

On admission, the doctoral student can apply for the credit transfer of passed PhD courses that have been previously completed at other universities or higher education institutions. In the same way, credit transfer can be applied to knowledge and skills that have been acquired in a professional capacity and from previous education. The review is conducted by the examiner for the respective course, who is appointed by the Research Studies Board. Credit transfer means that the period of study and doctoral studentship are shortened to a corresponding extent.

3. During PhD studies

Planning and review of PhD studies

During PhD studies there are several components and tools that can be used to plan the individual study programme and ensure that the studies follow the plan and progression is achieved towards learning outcomes.

Individual study plan

The individual study plan is a key document for both the doctoral student and supervisors for PhD studies. The study plan is to include the doctoral student’s and supervisors’ obligations and a timetable for the doctoral student's study programme. Rules for the individual study plan are set out in both the Higher Education Ordinance\textsuperscript{24} and in the local regulations of Lund University.\textsuperscript{25}

\textit{Drawing up an individual study plan}

The individual study plan is to be drawn up after a doctoral student has been admitted to the programme, and at the latest 3 months after admission. The study plan is approved by the Research Studies Board after consultation with the doctoral student and principal supervisor, and after approval by the DHoD for PhD studies at the respective department. The individual study plan is set up in an electronic system for individual study plans.

The individual study plan is to define the study programme’s content and implementation with regard to the research project, literature, courses and seminars. It is also to include a timetable for the doctoral student’s study programme, information on how the doctoral student’s supervision is organised, a description of the undertakings of the doctoral student and supervisors during the period of study and what is otherwise needed to ensure that the study programme is run in an efficient way. The individual study plan is a document in progress and as such it is updated as soon as this is required by the doctoral student or supervisors.

\textsuperscript{24}Higher Education Ordinance, Chapter 6, Section 29
\textsuperscript{25}Reg. no LS 2012/718
Annual review

It is of the utmost importance for the doctoral student and supervisors that the individual study plan is updated during the study programme. The individual study plan shall according to Lund University’s regulations for PhD studies be reviewed and updated at least once per year. In the review the doctoral student and supervisors are to present an update on progress in the study programme and approve changes to the study plan. The study plan is also to be approved by the DHoD for PhD studies. In cases where the supervisor and doctoral student disagree about revisions of the individual study plan, the Research Studies Board can decide about the changes that need to be made, after consultation with the DHoD for PhD studies. Before a change is made, the doctoral student and supervisors are given an opportunity to comment on the matter.

Comprehensive Generic Skills

Comprehensive Generic Skills is a compulsory course in which the doctoral student through continuous reflection and self-evaluation receives support and insight into their learning, and documents fulfilment of learning outcomes for the course. The doctoral student continuously documents their experiences within different areas of the study programme and use these as a point of departure for reflections. The documentation is recorded in a portfolio. At the annual appraisal and/or when revisions are to be made to the individual study plan there is to be a discussion between the doctoral student and supervisors regarding progress in the study programme.

At the half-time review, the portfolio is assessed by the half-time reviewers and thereafter by the DHoD for PhD studies. Prior to the thesis defence the DHoD for PhD studies examines the portfolio. The material that is assessed and examined is the doctoral student’s own selection of documentation as well as reflections about the different areas to show that the learning outcomes have been achieved.

Half-time review

Aim

All doctoral students admitted to PhD studies are to undergo a review of their project approximately halfway through their period of study. This is known as the half-time review.

The aim of the half-time review is for the supervisors and the doctoral student to determine whether the project is progressing and achieving the results in accordance with the individual study plan established at the time of admission to PhD studies.

Once the supervisor and the doctoral student are in agreement that half the period of PhD studies has passed, the supervisor takes the initiative to implement a half-time review. The review takes the form of a public seminar, which is announced within the department in an appropriate way and in good time. In addition to information

26 Reg. no LS 2012/718
about where and when the seminar will take place, an abstract in English should be sent to the DHoD for PhD studies.

**Appoint reviewers**
The supervisor appoints two external reviewers (outside their own research team) who are to be holders of doctoral degrees and not linked to the project. The reviewers must not have co-authored works with the supervisor and/or the doctoral student within the project in question. One of the reviewers should have specialist expertise within the subject of the thesis project, while the other should have broader expertise within the subject in question. One of the reviewers should be an associate professor. The Research Studies Board further recommends that the same associate professor acting as reviewer is also to be a member of the examining committee at the thesis defence.

**Documents**

**Summary**
The doctoral student is to write a brief summary of the project. This summary is to be sent to the external reviewers at the latest two weeks before the half-time review and is to be distributed to those attending the seminar. If there is a complete manuscript/offprint available, the summary is to be a 1–2 page description of the project with the manuscript/offprint attached. If no manuscript is available, the summary should be longer, approximately 10–15 pages, in manuscript form.

**Individual study plan**
The doctoral student is also to send the original study plan and at least one updated version to the external reviewers and the DHoD for PhD studies for inspection.

**Portfolio**
In addition, the portfolio relating to the course Comprehensive Generic Skills is to be sent to the half-time reviewers for assessment two weeks before the half-time review. The portfolio should be sent in the form of a display page from the electronic portfolio or as a PDF file. The portfolio will be assessed by the halfway reviewer with support from an assessment form which is included in the certificate, where also input and suggestions for improvement will be given.

**Conducting the half-time review**
At the seminar, the doctoral student presents the work completed so far and the plans for further project work up to the thesis defence. The presentation is followed by a question and answer session in which the external reviewers discuss the results and the further planned work up to the degree, as well as checking the doctoral student’s expertise in the subject. The seminar concludes with a general discussion between the doctoral student, the audience, supervisors and reviewers. All supervisors are to take part in the half-time review.

After this, a private discussion takes place between the doctoral student, the supervisors and the external reviewers, addressing both the research work and the
doctoral student’s portfolio and general development. The doctoral student is also to get a chance to speak privately with the external reviewers. The external reviewers are then responsible for filling in the assessment template that is provided as support in the evaluation of progression. In cases where the half-time review reveals that progress is unsatisfactory and/or that it has proved impossible to follow the individual study plan, it is up to the DHoD for PhD studies, in consultation with the doctoral student, supervisors and external reviewers, to discuss the continued work towards the thesis defence and, where appropriate, a revision of the study plan.

Courses and seminars

Courses
PhD courses are an important element in the PhD programme and are to provide insights and skills in statistics, ethics, scientific communication etc. The study programme includes a compulsory course package including the course Comprehensive Generic Skills. The other courses that are included are indicated in the general study plan. In addition, elective courses are also offered.

Syllabi
There is to be a set syllabus for each course offered in PhD programmes. The course director in cooperation with a course drafting group drafts new syllabi prior to a decision on adoption by the Research Studies Board. The syllabus is to be approved in a Swedish version and after adoption it is translated into English.

Admission to PhD courses
The Research Studies Office is responsible for handling the selection and admission of applicants. For admission to courses, the following general selection criteria are to be followed:

- doctoral students admitted at the Faculty of Medicine
- doctoral students admitted at other higher education institutions
- other applicants who fulfil the qualification requirements at the Faculty of Medicine
- other applicants who fulfil the qualification requirements

The processing of an application requires that the doctoral student’s individual study plan has been updated in the past year. Applicants are prioritised according to the admission date unless otherwise stated in the syllabus.

Examination and registration of credits
The Research Studies Board appoints examiners for the PhD courses at the Faculty of Medicine. A person eligible to be an examiner for PhD courses is employed as a teaching staff member at Lund University, for which the requirement is holding a doctoral degree or equivalent academic competence and is an associate professor. For the programme components in which no examiner is appointed, the principal supervisor acts as the examiner. This applies, for example, to courses that doctoral students have taken at another higher education institution or abroad.
The examiner for each PhD course is responsible for reporting Pass results to the research studies coordinator who registers the results in LADOK.

Course evaluations and course reports
The Research Studies Board has decided on a common template for the course evaluations of the compulsory PhD courses, as well as the elective courses funded by the Research Studies Board. The courses are to be evaluated according to the provisions of Regulations on course evaluation and course evaluation reports at Lund University.\textsuperscript{27} Course evaluations are to be used for continuous development of the courses. Work on the course evaluations is reviewed and reported to the Research Studies Board.

In addition to the course evaluations, a course report is carried out per course according to the template from the Research Studies Board. The course reports are to present the course director’s reflections on the course content and opportunities for development, as well as statistics concerning applicants, applicants on waiting lists and drop-outs.

Seminars
It is compulsory for all doctoral students\textsuperscript{28} during at least three years of their PhD studies (for doctoral students admitted to a licentiate degree, the period is 18 months) to take part in at least six seminars per year within the subject of medical science. This includes thesis defences, half-time reviews or equivalent. Participation is documented by the doctoral student in their portfolio, and the component is examined by the DHoD for PhD studies in connection with assessment of the course Comprehensive Generic Skills.

Departmental duties
Doctoral students may have the opportunity to take on administrative duties and participate in boards and committees. The department has the right to decide whether departmental duties are to be included in the position. Departmental duties are planned in consultation between the supervisors and doctoral student. If possible, this is to be discussed at an early stage in connection with admission to PhD studies. Departmental duties are not to exceed 20\% of working hours. Those who take on departmental duties have their doctoral studentship extended to the corresponding extent.

The agreement on departmental duties is to be regulated in the individual study plan. It is important to agree on the extension of the study period that may be linked to departmental duties and also note this in the individual study plan.

Teaching
The doctoral student may teach within the framework of PhD studies. Teaching in first and second-cycle studies requires the doctoral student to have completed at least a two-week course in teaching and learning in higher education. Compensation for

\textsuperscript{27} Reg. no PE 2010/341

\textsuperscript{28} According to general syllabus Reg. no U 2018/411
teaching comes from the department’s GU funds and this is used for the extension of the doctoral studentship. The basis for calculation of an extension of the doctoral studentship due to teaching duties is regulated in the local working hours agreement. The calculation of time spent teaching is according to the calculation method used for teaching staff at the faculty.

**Supervision during PhD studies**

All doctoral students are to have a principal supervisor and at least one assistant supervisor. The Research Studies Board makes a formal decision on the supervisor and assistant supervisors when the doctoral student is admitted.

All supervisors are to be familiar with the Faculty of Medicine’s rules for PhD studies. See also the criteria for supervisors under the heading *Supervisor requirements.*

**Principal supervisor’s responsibilities**

The principal supervisor is to have overall responsibility for supervision regarding the structure and implementation of the research project, and together with the doctoral student has a joint responsibility for the completion of PhD courses and other components as specified in the general study plan and the individual study plans. More specifically the supervisor is to:

- introduce the doctoral student to the research work/project and to activities relevant to the PhD study programme
- participate in the formulation and review of the doctoral student’s individual study plan
- ensure that adequate resources are provided to the doctoral student for the realisation of the research project
- facilitate the doctoral student’s participation in relevant PhD courses, seminars, symposia and conferences
- be supportive, encouraging and available for discussions with the doctoral student to the extent stated in the study plan. It is often advisable to expand the student’s contacts within the department by arranging seminars at which the doctoral student presents his/her work from the outset and at regular intervals thereafter
- ensure that the research progresses at a reasonable rate so that it will be concluded within the time stipulated. The best way to achieve this is through close and continuous involvement in the research project
- initiate the half-time review and be responsible for its completion.
- determine when the doctoral student’s research has reached the level required for a thesis defence. The primary responsibility for determining when the research meets the requirements of an academic thesis, in terms of both scope and quality, lies with the supervisor
• carry out plagiarism checks in accordance with instructions prior to the thesis defence
• propose an external examiner and members of the examining committee, attend the examining committee’s meeting, and participate in its deliberations.

Duties of assistant supervisors
Assistant supervisors are to act as supervisory support for the doctoral student and can be selected on the basis of a need for subject or methodology expertise for the doctoral student’s project. The respective roles of the assistant supervisors are to be clearly specified before admission and be documented in the individual study plan.

Supervision period
The Research Studies Board has decided that at the Faculty of Medicine, supervisors must devote a minimum of 100 hours to supervising a doctoral student. How that time is allocated should be linked to the doctoral student’s needs and activity level, as well as their current stage in the programme. Supervisory hours include the time that the supervisors and doctoral student spend on the doctoral student’s education, e.g. research project and courses. Supervisory hours also include time spent reviewing work and planning the thesis defence. Supervisory time is to be divided among the principal and assistant supervisors. The principal supervisor and the doctoral student are to review, and if necessary, update, the individual study plan at least once a year.

Change of supervisor
The doctoral student’s right to change supervisor is stated in the Higher Education Ordinance. The Research Studies Board makes the formal decision regarding the appointment of principal supervisor and assistant supervisors when the doctoral student is admitted, as well as any subsequent decision on a change of supervisor. If the principal supervisor reaches retirement age during the doctoral student’s period of study or is absent due to long-term illness or redeployment elsewhere, an assistant supervisor with associate professor status, availability as a supervisor and funding options should be engaged on the project.

Applications to change supervisor are made to the Research Studies Board and are to be signed by all parties involved (the doctoral student and new and previous principal supervisors, new and previous assistant supervisors and the DHoD for PhD studies).

Conflicts between supervisors and doctoral students
The Research Studies Board has drawn up an action plan for management of conflicts between supervisors and doctoral students. The action plan contains

29 Higher Education Ordinance, Chapter 6, Section 28
30 Reg. no Styr 2017/573
advice on how to work on preventing conflicts and how a conflict can be managed if it arises. The plan includes details for all the contacts that can provide advice and support.

**Withdrawal of supervision and other resources**

The Higher Education Ordinance stipulates that 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. This process is detailed in the regulations for doctoral education at Lund University.31

### 4. Assessment

There are two levels of PhD degree in Sweden: a Degree of Doctor and a Degree of Licentiate. A Degree of Doctor corresponds to 240 credits, a Degree of Licentiate to 120 credits. The learning outcomes for the two degrees are outlined in Appendix 1.

**Degree of Doctor**

The doctoral thesis is to be structured as a summary of the research articles the doctoral student has written as sole author or jointly with one or more other persons (compilation thesis). Theses in the form of a unified, coherent research project (monograph thesis) are allowed as exceptions and after a specific application has been made to the Research Studies Board.

A doctoral thesis should be written in English, but the introductory summary can be written in Swedish.

**Requirements for a Degree of Doctor**

The doctoral student is to have completed their research assignment in accordance with the individual study plan, which means that he or she has:

- completed and been awarded a grade of Pass in the set compulsory courses and any further courses for the PhD studies stated in the individual study plan
- completed a half-time review
- been assessed and awarded a grade of Pass for the course Comprehensive Generic Skills

**Thesis requirements**

The scope of the thesis project is a qualitative assessment. The quality of the thesis is to be assessed from a perspective based on the doctoral student’s programme.

31 Reg. no STYR 2018/562
In order for the doctoral student to demonstrate sufficient competence the doctoral student is generally required to have authored three to four papers of which two are to have been published or accepted. The doctoral student is to be the sole first author of the published paper as well as first author for at least one of the other papers. The number of papers that should be included depends on the extent of the doctoral student’s contribution to each of the papers. The research papers are to be of a quality that corresponds to the requirements for publication in recognised international peer-reviewed research journals.

Other types of paper that can be included in the thesis

- Articles containing original data published in international peer-reviewed journals
- Meta-analyses and meta-syntheses or systematic reviews according to established methodology. Only one of the papers may have this form and cannot replace the paper for which the doctoral student is the sole first author.
- Letter to the editor – provided that original data is presented. It cannot replace the paper for which the doctoral student is the sole first author.
- Study protocol – provided that the protocol is clearly linked to the other research papers. It cannot replace the paper for which the doctoral student is the sole first author.

Other types of work may be included following individual review by the Research Studies Board

A review to determine whether these quality requirements are fulfilled is carried out in connection with the thesis defence application. In other cases, the thesis is reviewed by a working group within the Research Studies Board, which can reject the application for a thesis defence. This can occur even though the thesis fulfils the quantitative requirements.

**Applying for a thesis defence**

An application for a thesis defence is made using a special template and together with appendices is to include:

- External examiner
  - Proposal for external examiner: The external examiner is to be an associate professor, professor or equivalent and come from a higher education institution other than Lund University.
- Chair
  - Proposal for chair of the thesis defence: The chair must have relevant expertise within the subject of the thesis. The chair must be someone of senior rank who feels comfortable in the role of chair, and who can maintain a high standard during the thesis defence. There is, however, no requirement for the chair to be a senior lecturer/professor/associate professor. For example, it is possible for
a member of the examining committee to act as chair. The principal supervisor or assistant supervisor cannot be the chair.

- **Exchanging committee members**
  - Proposal for examining committee members: Three ordinary members are to be proposed, of whom at least one is to be external i.e. not from Lund University. Two substitutes are also to be proposed. If possible, one of the ordinary members of the examining committee is to have acted as reviewer in the half-time review. All members are to be associate professors or professors, and to have been asked to take part and to have accepted at the time of the application for the thesis defence. The examining committee can also comprise five ordinary members.
  - If committee members find out at short notice that they are unable to attend, the substitutes take their places. If the external examiner finds out at short notice that they are unable to attend, the examining committee members can jointly take on this role. Attendance via a digital link is acceptable for the external examiner in special circumstances.

- **Papers**
  - A list of all the original articles included in the thesis. The list is to include information on co-authors, where the articles have been published or accepted, and if they have been submitted to a journal or are still in manuscript form. All the papers included in the thesis are to be attached and a preliminary review is to be made by the examining committee.

- **Supervisor statement**
  - A statement relating to the main content of the thesis and its newsworthiness. In the case of a compilation thesis the statement is to explain the papers’ interrelationship and detail the doctoral student’s own contribution to each article. However, the most important aspect is to detail the doctoral student’s contribution to each article in terms of planning, follow-up, practical work, manuscript writing and use of initiative. It is to be stated whether the papers have been or will be used in a thesis other than the thesis in question. It is also to indicate if any of the supervisors is an editor of the journals in which the doctoral student has been published. The supervisor statement is to be signed by all supervisors.

- **Other information**
  - Preliminary thesis title and date of the thesis defence.
  - A list of completed and passed PhD courses.
  - Conflict of interest certification signed by all supervisors and the doctoral student, which certifies that there are no connections or
relations involving conflict of interest with the proposed external examiner and the examination board.

Conflict of interest
According to the Administrative Procedure Act, a conflict of interest exists when a member of a decision-making body, who is taking part in the deliberation on or reporting of a matter, can be assumed to be lacking in impartiality when making his/her final decision. The Administrative Procedure Act also states that “anyone who knows of any circumstance that could constitute their disqualification is obliged to disclose it of their own volition.” Members of the examining committee and the external examiner must therefore be entirely independent of the doctoral student, the supervisor and the project.

The Faculty of Medicine adheres to the conflict of interest policy set out by the Swedish Research Council. Their policy sets out the following:

- A conflict of interest exists in the case of close collaboration on a scientific project and coproduction that has taken place within the last 5-year period. A co-written article is deemed to be coproduction.
- A conflict of interest can exist for longer than 5 years if close collaboration has taken place.
- The doctoral student’s relationship to his/her supervisor is deemed to be a conflict of interest regardless of how long ago the collaboration took place.
- Exceptions to the 5-year rule can be made if the collaboration was in the form of multi-centre studies. These cases are judged on an individual basis.

Processing applications for a thesis defence

- The application for a thesis defence is reviewed by the DHoD for PhD studies, who then sends it to the Research Studies Board at the latest three months before the thesis defence.
- The Research Studies Board checks that there is no conflict of interest associated with the proposed examining committee and external examiner, that the required number of PhD credits have been obtained, and that the application otherwise follows the existing rules.
- The chair of the Research Studies Board on behalf of the board appoints the external examiner, chair of the thesis defence seminar and the members and substitutes of the examining committee.
- The examining committee makes a preliminary assessment and justifies approval for the thesis defence or in certain cases turns down the application.

Preliminary assessment
The Research Studies Board appoints the examining committee and then assumes responsibility for sending the papers and thesis defence application to the examining committee members for preliminary assessment. The assessment is to review the
quality and scope of the papers regarding study design, material and methodology, data analysis and conclusions, in relation to four years of full-time study. A summarising assessment, with a clear justification of approval or rejection is required. The review is only to result in an approval or rejection of the thesis defence application.

**Introductory summary**

The introductory summary is to provide an up-to-date description of the subject of the doctoral thesis and how the doctoral project fits into this. The introductory summary must be written autonomously by the doctoral student and is to present the doctoral student’s contribution to the various papers in their shared context. The introductory summary is to demonstrate that the doctoral student has obtained specific subject knowledge. A critical description and discussion of the methods is to be included in which alternative methods are also discussed. The text should integrate obtained results in the current field of research. It is to present what the doctoral thesis has contributed to the subject. The summary is also to include how the results of the thesis can be utilised as well as a proposal for continued research.

**Printing and notification of the thesis**

The Research Studies Board has decided that a minimum of 25 copies is to be available prior to a thesis defence and that compensation is to be paid to cover the production costs of the print run.

The written notification of the thesis defence date is issued by the Research Studies Office. The notification contains details of the time and place for the thesis defence, the doctoral student’s name, the thesis title, the thesis subject and the names of the external examiner and chair. The doctoral student complements the notification with electronic publication of the thesis.

**The thesis defence**

At the thesis defence the examining committee makes an updated assessment of the thesis and the doctoral student’s expertise in the light of the external examiner’s observations and assesses the summary and defence of the thesis.

**Minutes**

The examining committee meets immediately after the thesis defence and a chair is chosen from among the committee members. The principal supervisor is obliged and the external examiner, chair and assistant supervisor have the right to be present at the examining committee meeting and participate in the deliberations, but may not participate in the decision. The examining committee members can request that others who are present leave the room before they make their decision.

The doctoral thesis is awarded the grade of Pass or Fail. The committee's decision is based on both the content of the thesis and its defence. If the examining committee’s members have differing views, a majority decision applies. Provided the thesis receives a grade of Pass no justification for the decision, or the reasons for individual member’s differing opinions is entered in the minutes. However, if the thesis receives a grade of Fail the reasons are to be entered in the minutes (the minutes are taken even in the case of a grade of Pass). The doctoral student is then to have the
opportunity at a later date to submit an application for a new thesis defence of the revised thesis. The minutes of the examining committee’s meeting are sent to the Research Studies Board.

Degree of Licentiate

The Degree of Licentiate of Medical Science corresponds to 120 credits. This includes courses and the licentiate thesis.

Requirements for a Degree of Licentiate

For a Degree of Licentiate of Medical Science the norm is that the student has written at least one research manuscript as well as a short introductory summary. The doctoral student is to be the sole first author of the manuscript. The manuscript(s) are to carry academic weight and be structured in the form of a research article, be in publishable condition and contain an indication of the journal in which the manuscript can potentially be published.

Introductory summary

The introductory summary is to provide an up-to-date description of the subject and how the licentiate project fits into this. The introductory summary is to demonstrate that the doctoral student has obtained specific subject knowledge. A critical description and discussion of the methods is to be included in which alternative methods are also discussed. The results are to be summarised and critically reviewed in a discussion. It is to present what the licentiate thesis has contributed to the subject as well as detail the student’s contribution and role in each of the papers.

Applying for a licentiate exam

The application for a licentiate exam is submitted to the Faculty of Medicine’s Research Studies Board approximately 2.5 months before the planned date of the examination.

The application is to include:

- A proposal for the critical examiner. The critical examiner is to hold a doctoral degree, and is not to work at the faculty in question
- A proposal for the chair of the examination
- A proposal for 3 ordinary members of the examining committee (no more than one of the members may be from the student’s research environment) and 2 substitutes. The examining committee members are to be researchers with doctoral degrees
- The title of the licentiate thesis
- A brief account from the supervisor describing the student's research project and individual input in the work, and a certificate stating that the student has passed all the assessed components.
- A list of papers included in the licentiate thesis. The list is to include information on co-authors, if they have been submitted to a journal or are
still in manuscript form. All the papers included in the licentiate thesis are to be attached.

The chair of the Research Studies Board appoints the critical examiner, chair and members of the examining committee. The decision is sent by the Research Studies Office to all those concerned.

**Submitting a licentiate thesis**

Three weeks before the examination date the doctoral student is to send the licentiate thesis and related papers to:

- the critical examiner
- the chair of the examining committee
- the examining committee members and substitutes
- the Research Studies Office, (3 copies of which 2 are forwarded to the University Library)
- one copy of the licentiate thesis must be available at the department 3 weeks ahead of the examination date.

The Research Studies Office ensures that the availability of the licentiate thesis as well as the time and place of the examination are announced in the calendar on the Faculty of Medicine’s website.

**Examination**

The licentiate thesis is to be defended orally at a public seminar. The members of the examining committee meet immediately after the examination, appoint one of their own number to chair the proceedings, and arrive at a grade of Pass or Fail. The principal supervisor is obliged and the critical examiner, chair and assistant supervisor have the right to be present at the examining committee meeting and participate in the deliberations, but may not participate in the decision. Minutes are recorded and are to be signed by the chair of the Research Studies Board and sent to the Research Studies Office.

**Degree certificate and diploma supplement**

Once a doctoral student has defended their thesis and the minutes from the meeting of the examining committee has been received by the Research Studies Board, all requirements for a doctoral degree have been fulfilled and a degree certificate can be issued.

The faculty has the right to issue certificates for a Degree of Doctor of Philosophy in Medical Science and a Degree of Licentiate of Medical Science. The degree certificates for the doctoral and licentiate degrees are to be signed by the dean. Among other things the degree certificate states the title of the licentiate thesis and which PhD courses are included in the degree. In addition to the degree certificate a diploma supplement is issued, which describes the doctoral degree’s place in the Swedish educational system.
Joint degrees

Within PhD studies there are opportunities, within the framework of an agreement, to conduct part of your studies at another higher education institution and thereby obtain a joint degree or a double degree. A joint degree refers to two national degrees that are based on a jointly organised PhD study programme that leads to one thesis/thesis defence and one degree certificate. A double degree refers to two national degrees that are based on two partly overlapping PhD study programmes that lead to at least one thesis/thesis defence and two degree certificates.
Appendices

Appendix 1, Learning outcomes for PhD studies

Learning outcomes for a Degree of Doctor

Knowledge and understanding

- 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

- 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

- 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.

Local goals at Lund University

- demonstrate knowledge of sustainable development of relevance to the individual topic
- demonstrate the ability to apply an international perspective in the individual topic

- demonstrate the ability to apply gender equality and equal opportunities perspectives in the individual topic

**Learning outcomes for a Degree of Licentiate**

*Knowledge and understanding*

- 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*

- demonstrate the ability to identify and formulate issues with scholarly precision critically, autonomously and creatively, and to plan and use appropriate methods to undertake a limited piece of research and other qualified tasks within predetermined time frames in order to contribute to the formation of knowledge as well as 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*

- 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.

**Local goals at Lund University**

- demonstrate knowledge of sustainable development of relevance to the individual topic
- demonstrate the ability to apply an international perspective in the individual topic

- demonstrate the ability to apply gender equality and equal opportunities perspectives in the individual topic