



Admission regulations for doctoral studies at Umeå University

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1. Introduction

Admission regulations refer, according to chapter 6, section 3 in the Higher Education Ordinance (2010:1064), abbreviated as HEO in the following text, to the regulations for doctoral studies (named third-cycle courses and study programmes in the Higher Education Ordinance), which the university applies with regard to application, entry requirements and exceptions from entry requirements as well as selection, and in part how decisions about admission and exceptions from entry requirements are made and can be appealed.

Umeå University has admission regulations for education at first and second-cycle levels. This document constitutes the Umeå University admission regulations for doctoral studies and has been approved by the University Board pursuant to chapter 2, section 2 HEO (SFS 2010:1064). Additions to the requirements stated in the HEO also include payment of tuition fees, an individual study plan, and supervision of relevance to admission.

Questions of responsibility and rules applying to doctoral studies shall in other respects follow national and local rules at Umeå University, which also include the current order of delegation.

These admission regulations are a revision of the previously approved admission regulations (Ref. 500-1168-11) and approved by the Board of the University on 20 February 2014.

2. Definition

Chapter 1, section 4 HEO: In this ordinance 'student' refers to those who have been admitted to and pursue higher education studies, 'third-cycle student' to those who have been admitted to and pursue third-cycle studies, in both cases in so far as not otherwise specifically stated. Ordinance (2006:1053).

3. Advertising, application and admission

Chapter 7, section 34 HEO: The number of doctoral students admitted to third-cycle 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 pursuant to section 36. Ordinance (2006:1053).

Chapter 7, section 35 HEO: The requirements for admission to third-cycle courses and study programmes are that the applicant:

1. meets the general and specific entry requirements that the faculty board may have laid down, and

2. is considered in other respects to have the ability required to benefit from the course or study programme. Ordinance (2010:1064)

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

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

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

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

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

What is said in the first paragraph is to apply similarly at a higher education institution that in having been granted the title of university is entitled pursuant to Section 11 of Chapter 1 of the Higher Education Act (1992:1434) to award third-cycle qualifications. Ordinance (2010:1064).

Local regulations for applications and admissions with a doctoral degree as the aimed degree

The Vice-Chancellor's delegation of authority at Umeå University:

The Vice-Chancellor's delegation of authority to the Dean

3.3.7.1. Decide on exceptions for the advertising of vacancies for studies. NOT TO BE FURTHER DELEGATED.

3.3.7.3. Decide on admissions with a doctoral degree as the aimed degree.

5.2.2.6. Decide on attendance requirements at the workplace for teachers, doctoral students, and technical/administrative personnel.

5.2.2.7. Decide on another location for teachers, doctoral students and technical/administrative personnel. NOT TO BE FURTHER DELEGATED.

In addition to national regulation and the Vice-Chancellor's order of delegation of authority, the following applies to applications and admissions with a doctoral degree as the aimed degree.

Vacancies in doctoral studies shall be advertised publicly or through an equivalent process. Vacancies must always be advertised on the Umeå University website.

Each Faculty Board must inform about how admission takes place and how it is organised. Furthermore it must inform about eligibility rules, assessment criteria and how applications must be structured. The general syllabus for the subject in question must be made available. Such information is to be published on each faculty's website.

The provisions stated in the Language Act (2009:600) are to be observed in conjunction with advertising, such that there is always a Swedish version of an advertisement. Advertising should be carried out both nationally and internationally, which may require the use of other languages in addition to Swedish.

In special cases, information about available study places need not be provided, as stated in the individual points in chapter 7, section 37 of the HEO. Available programme places must be advertised at least three weeks before the last day of application.

When the intention is to finance part of the education through stipends, this must be clearly stated in the advertisement. Consultation with the Dean on the design of the advertisement and a copy of his/her written consent must be made prior to advertising, or there must be an agreement with a financier if the programme is to be funded through a stipend.

Decisions on admission to doctoral studies must be clear and implemented with transparency. Proposals for admission of a doctoral student will be considered and decided by well-defined quality criteria and documented decision proposals.

The same criteria shall be applied to admission with funding from external resources, such as where the employment is funded through faculty means. Preparation as far as proposals for decisions on admission shall be conducted through collegial means.

At least one doctoral student representative has the right to participate in the preparation of admissions cases.

Doctoral students must be admitted to the studies to participate in doctoral studies. Preparatory training for doctoral studies is to be carried out at the first or second-cycle level.

An information document that states which regulations are valid for entry requirements, admission, financing and supervision for doctoral studies must be established well in advance of the start of the studies and sent to the student to be admitted to doctoral studies. Students must acknowledge receiving the information in writing in good time before admission.

A doctoral student who originally planned to take a doctoral degree may complete his/her studies with a licentiate degree if the requirements for such a degree are fulfilled.

A decision that an applicant has not been admitted to doctoral studies cannot be appealed (refer to HEO ch. 12 section 2).

Local regulations for application and admission with a licentiate degree as the aimed degree

The Vice-Chancellor's order of delegation of authority at Umeå University:

The Vice-Chancellor's delegation to the Dean

3.3.7.1. Decide on exceptions to the advertising of vacancies for studies. NOT TO BE FURTHER DELEGATED.

3.3.7.2. Decide on admissions to doctoral studies with a licentiate degree as the final goal. NOT TO BE FURTHER DELEGATED.

In addition to national regulation and the Vice-Chancellor's order of delegation of authority, the following applies to applications and admissions with a licentiate degree as the aimed degree.

Vacancies in doctoral studies shall be advertised publicly or through an equivalent process. Vacancies must always be advertised on the Umeå University website.

Each Faculty Board must inform about how admission takes place and how it is organised. Furthermore it must inform about eligibility rules, assessment criteria and how applications must be structured. The general syllabus for the subject in question must be made available. Such information is to be published on each faculty's website.

The provisions stated in the Language Act (2009:600) are to be observed in conjunction with advertising, such that there is always a Swedish version of an advertisement. Advertising should be carried out both nationally and internationally, which may require the use of other languages in addition to Swedish.

When the intention is to finance part of the education through stipends, this must be clearly stated in the advertisement. Consultation with the Dean on the design of the advertisement and a copy of his/her written consent must be made prior to advertising, or there must be an agreement with a financier if the programme is to be funded through a stipend.

An information document that states which regulations are valid for entry requirements, admission, financing and supervision for doctoral studies must be established well in advance of the start of the studies and sent to the student to be admitted to doctoral studies. Students must acknowledge receiving the information in writing in good time before admission.

Decisions on admission to doctoral studies must be clear and implemented with transparency. Proposals for admission of a doctoral student will be considered and decided by well-defined quality criteria and documented decision proposals. The same criteria shall be applied to admission with funding from external resources, such as where the employment is funded through faculty means.

Preparation as far as proposals for decisions on admission shall be conducted through collegial means.

At least one doctoral student representative has the right to participate in the preparation of admissions cases.

Doctoral students must be admitted to the studies to participate in doctoral studies. Preparatory training for doctoral studies is to be carried out at the first or second-cycle level.

When advertising available study places leading to a Licentiate, it must be clearly stated that these places cannot be extended into places leading to a Doctoral degree.

In cases of admission where the doctoral student will at the same time participate in a doctoral school, questions concerning courses and supervision are to be clarified beforehand. This may be done either through written agreement or by the information being provided in some other way.

If the doctoral student intends to continue studying for a Doctoral degree, a new application process will be required.

A decision that an applicant has not been admitted to doctoral studies cannot be appealed (refer to HEO ch. 12 section 2).

4. Entry requirements

Chapter 7, section 35 HEO: The requirements for admission to third-cycle courses and study programmes are that the applicant:

1. meets the general and specific entry requirements that the higher education institution may have laid down, and
2. is considered in other respects to have the ability required to benefit from the course or study programme. Ordinance (2010:1064).

General entry requirements

Chapter 7, section 39 HEO: A person meets the general entry requirements for third-cycle courses and study programmes if he or she:

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

The higher education institution may permit an exemption from the general entry requirements for an individual applicant, if there are special grounds. Ordinance (2006:1053).

Interim regulations for SFS 2006:1053 HEO:

11. Those who fulfil the general entry requirements before 1 July 2007 for admission to doctoral studies shall thereafter be considered to meet the general entry requirements for admission to doctoral courses and study programmes, but only until the end of June 2015.

Specific entry requirements

Chapter 7, section 40 HEO: The specific entry requirements laid down shall be essential for students to be able to benefit from the course or study programme.

These requirements may comprise:

1. knowledge from one or more higher education courses and study programmes or corresponding courses and study programmes
2. specific professional or vocational experience, and
3. requisite language skills or other conditions determined by the course or study programme. Ordinance (2006:1053)

Local regulations for entry requirements

The Vice-Chancellor's order of delegation of authority at Umeå University:

The Vice-Chancellor's delegation to the Faculty Board

3.2.2.1. Decide on the establishment of a general syllabus for doctoral studies. NOT TO BE FURTHER DELEGATED.

3.2.2.2. Establish specific admission requirements for doctoral subjects.

In addition to national regulation and the Vice-Chancellor's order of delegation of authority, the following applies to entry requirements

The entry requirements must be stated in the general study plan for each subject.

5. Selection and transfer of credits for admission

Chapter 7, section 41 HEO: In selecting between applicants who meet the requirements laid down in Sections 35 & 36 their ability to benefit from the course of study programmes shall be taken into account.

The higher education institution determines which assessment criteria shall be used in determining the ability to benefit from the courses and study programmes.

However, the fact that an applicant is considered able to transfer credits from prior courses and study programmes or for professional or vocational experience may not alone give the applicant priority over other applicants. Ordinance (2010:1064).

Local regulations for selection and transfer of credits for admission

The Vice-Chancellor's delegation of authority at Umeå University:

The Vice-Chancellor's delegation to the Dean

3.3.3.1. Decide on accreditation during doctoral studies.

3.3.3.2. State an opinion in appeal cases concerning accreditation at doctoral level. NOT TO BE FURTHER DELEGATED.

3.3.3.3. Decide on accreditation of the second year of a master's degree to doctoral studies. NOT TO BE FURTHER DELEGATED.

In addition to national regulation and the Vice-Chancellor's order of delegation of authority, the following applies to selection and transfer of credits for admission.

Selection is to be characterised by transparency and be made through collegial means.

In order to prevent systematic prioritisation being given to applicants with a master's degree for the purpose of shortening the education on a doctoral level to less than four years, a conventional credit transfer of the second year of the master's degree is not allowed.

A student who has completed higher education at second-cycle level and has passed may transfer credits from parts of such education on admission to doctoral level.

Priority for admission will not automatically be given to students who apply for credit transfer of parts of previous second-cycle courses. If parts of a previously completed second-cycle courses are to be credited for admission, this shall be done in each case only after application by the student in connection with an application for admission.

* This document has been translated into English. In case of divergence of meaning between the English and Swedish wording of this document, the Swedish wording shall prevail.

Application for credit from parts of second-cycle education by the student must be in writing, and at the same time the student must be given written information about the consequences of credit transfer.

Proposals for decision on the recommendation or rejection of transfer of credits shall normally be prepared by the examiner or equivalent.

Transfer of credits shall always take place for every individual course in relation to the qualification ordinance (Appendix 2, HEO) for doctoral studies. The criteria for transfer of credits must be reported in every single case.

The person admitting students to doctoral studies decides on transfer of credits for admission.

6. Funding

Chapter 1, section 11c HEO: 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 grants. This insurance is to apply when the doctoral student's grant ceases to be paid because of absence from study on the grounds of illness or parental leave. This insurance shall not entitle remuneration if the doctoral student is entitled to corresponding remuneration through some other insurance policy.

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

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

Chapter 5, section 2 HEO: Those appointed to doctoral studentships shall primarily devote themselves to their studies.

Those appointed to doctoral studentships may, however, work to a limited extent with educational tasks, research, artistic development and administration. Before a PhD or at doctorate in the fine, applied and reforming arts has been awarded, however, duties of this kind may not comprise more than 20 per cent of a full time post. Ordinance (2009:933).

Chapter 5, section 3 HEO: Only those who are or have been admitted to third-cycle courses and study programmes at a higher education may be appointed to doctoral studentships. Ordinance (2002:139).

Chapter 5, section 3a HEO: A doctoral studentship shall be a full-time post. If a third-cycle student so requests, the appointment may be a part-time post but for no less than 50 percent of a full-time post. Ordinance (2002:139).

Chapter 5, section 4 HEO: 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 two years of full-time study before the award of a PhD or a doctorate in the fine, applied and performing arts. This does not apply, however, if the vice-chancellor has decided on the withdrawal of the student's resources pursuant to Section 30 of Chapter 6 of this Ordinance or of the doctoral grant pursuant to Section 14 of the Ordinance on Doctoral Grants for Doctoral Students (1995:938). Ordinance (2010:1064).

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

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

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

Chapter 5, section 6 HEO: Appointment to a doctoral studentship shall be decided by the vice-chancellor. Ordinance (1998:80).

Chapter 5, section 7 HEO: 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.

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

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

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

Chapter 5, section 10 HEO: Only those in receipt of doctoral grants may be employed as assistants. Only those admitted to first or second-cycle courses and study programmes may be employed as teaching assistants. Only those who have been awarded the degree of Master of Science in Medicine or Master of Science in Dental Surgery or are admitted or have been admitted to third-cycle studies in medicine or odontology may be employed as clinical assistants. Ordinance (2009:933).

Chapter 5, section 11 HEO: Employment as an assistant, teaching assistant or clinical assistant shall be decided by the vice-chancellor. Ordinance (1998:80).

Chapter 5, section 12 HEO: Assistants, teaching assistants and clinical assistants shall be employed for an indefinite period, however, for no longer than one year. These appointments may be extended. The total employment period as a teaching assistant or a clinical assistant may not, however, exceed three years. Ordinance (1998:80).

Local regulations for funding

The Vice-Chancellor's delegation of authority at Umeå University:

Matters on which the Vice-Chancellor decides

3.1.10.2. Decide on exceptions to the two-year limit that applies for stipend funding of doctoral studies.

The Vice-Chancellor's delegation to the Dean

3.3.2.1. Decide on whether tax-free stipends may be used to finance living costs for first-cycle, second-cycle, doctoral and postdoctoral employment. NOT TO BE FURTHER DELEGATED.

5.2.1.3. Decide on employment as doctoral student.

5.2.2.3. Decide on salaries for doctoral students in accordance with the local agreement on salary levels for doctoral students.

3.3.7.17. Establish agreements with other employers around issues of rights and financing in cases where doctoral students conduct doctoral studies through external employment.

In addition to national regulation and the Vice-Chancellor's order of delegation of authority, the following applies to funding.

It is the duty of the person granting admission to doctoral studies to carefully assess that the planned financial resources, regardless of whether they be from employment or in the form of a doctoral grant, other funding or scholarship, are sufficient for the funding for an admitted applicant whose ultimate objective is a doctoral degree to be secured for a period of study equivalent to 4 years' full-time study.

In the same way, the person granting admission shall make a corresponding assessment of the financial resources for a period of study equivalent to 2 years' full-study for an applicant admitted with a licentiate degree as their ultimate objective.

Doctoral studies should be primarily financed with a doctoral studentship. Faculty funded doctoral positions are to be allocated to doctoral studies that result in a doctorate degree and not a licentiate degree.

Doctoral grants as a form of funding will be phased out in 2015 and as of 01/01/2015 no new doctoral grants will be given. From 01/01/2014 doctoral grants may be given for a maximum of 1 year. Doctoral students funded by doctoral grants from 01/01/2014 must be employed after a maximum of one year on a doctoral grant.

Tax-free stipends may be used in exceptional cases, but only if the appropriate dean permits it. Grants to cover living costs may be used as funding for a maximum of two years of study, after which doctoral students must be employed. In special cases, such as in stipend funding from another country, the Vice-Chancellor may decide on exemptions from the two-year limit.

Financing through external stipends is governed by the Umeå University *Rules for externally funded stipends at Umeå University*.

To establish a stipend to cover living costs, the written consent of the grantor is required, or a decision or stipend agreement stating that the stipend may be used for doctoral studies. A copy of the agreement or consent shall be attached to the documentation for a decision on admission to the Dean.

In special cases additional stipends may be paid to cover increased living expenses for international doctoral students who receive funding in another way from their home country.

Admissions on so-called other fundings must be treated restrictively at Umeå University. The University is under obligation to pay for supervisors and other resources even for doctoral students with this funding. Admissions on so-called other fundings may only take place if supervisors and other resources can be offered to the applicant without encroaching on other doctoral students or better qualified applicants in need of such resources.

A person who has other permanent employment than a doctoral studentship or receives grant funding (e.g. assistant lecturers, practicing doctors or nurses) may be admitted to doctoral studies and within the context of such employment may conduct doctoral studies that can be completed within a maximum of eight years. In cases where a person is admitted to doctoral studies at the same time as being employed by an employer other than Umeå University, an agreement shall be drawn up that clarifies the right of the employee to pursue doctoral studies and how funding will be governed and secured throughout the period of education.

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The amount of study financing must, regardless of form, be equivalent to at least the doctoral grant level after taxes.

Supervision and other resources can only be withdrawn if the doctoral student severely breaches his/her obligations under the individual study plan. Such decisions are made by the Vice-Chancellor.

7. Individual study plan

Chapter 6, section 29 HEO: An individual study plan shall be drawn up for each doctoral education institution and a timetable for the doctoral student's study programme. The plan shall be adopted after consultation with the doctoral student and his or her supervisors.

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

Local regulations for individual study plan

The Vice-Chancellor's delegation of authority at Umeå University:

The Vice-Chancellor's delegation to the Dean

3.3.7.14. Decide on guidelines for the establishment and monitoring of individual study plans. NOT TO BE FURTHER DELEGATED

3.3.7.15. Establish and monitor individual study plans.

In addition to national regulation and the Vice-Chancellor's order of delegation of authority, the following applies to individual study plan.

For each doctoral student an individual study plan shall be made in conjunction with the application or admission in accordance with the university's common model. Questions of responsibility and procedures as regards the individual study plan shall conform to the local regulations in force at Umeå University.

When a student is admitted to studies leading to a Licentiate, a special statement of reasons shall be included in the individual study plan.

In cases of admission where the doctoral student will at the same time participate in a doctoral school, questions concerning courses and supervision may need to be clarified when the individual study plan is drawn up. This may be done either through written agreement or by the information being provided in some other way.

Where a doctoral student who has been awarded a licentiate degree and is re-admitted with a doctoral degree as their ultimate objective, the corresponding time and funding used in earlier doctoral studies shall be deducted and shown in the time and financing plan in the student's individual study plan.

8. Supervision

Chapter 6, section 31 HEO: At least two supervisors shall be appointed for each doctoral student. One of them shall be nominated as the principal supervisor. Doctoral students are entitled to supervision during their studies unless the vice-chancellor has decided otherwise by virtue of Section 30.

A doctoral student who so requests shall be allowed to change supervisor. Ordinance (2010:1064).

Local regulations for supervision

Vice-Chancellor's delegation of authority at Umeå University:

Vice-Chancellor's delegation to the Dean

3.3.7.8. Appointment of principle supervisors and assistant supervisors (not to be delegated beyond the head of department).

3.3.7.13. Establish agreements with other institutions and active parties when external supervision is engaged.

In addition to national regulation and the Vice-Chancellor's order of delegation, the following is valid for supervision in connection with admissions.

Those admitted to doctoral studies must be assured of supervision during the study period. Issues of responsibility and the regulation of supervision shall be in accordance with the *Regulations for doctoral studies at Umeå University*.

Gender balance should be aimed for in the selection of supervisors.

In cases where the principle supervisor and assistant supervisor are employed at different faculties and/or in cases where one of the supervisors is not employed at Umeå University, a written agreement governing supervision must be established between the departments and the supervisor, or in cases where the supervisor is not employed at Umeå University, between Umeå University, via the Dean, and the supervisor and his/her employer at the time of admission.