

Implementing Regulations for Ph.D. Studies at the Department of Political Science, Stockholm University

The implementation regulations are decided on by the Board of the Department and supplement the General Syllabus, which is proposed by the Board of the Department and decided on by the Faculty Board. They are based on the Higher Education Act, the Higher Education Ordinance and the regulations of Stockholm University and the Faculty of Social Sciences and include decisions of the Department of Political Science.

Adopted by the Board of the Department on 2015-10-20.

1. Funding

Forms of Funding

In accordance with the Higher Education Ordinance (Chapter 9), as of 1998 only applicants "that are given doctoral positions or that are granted special educational assistance for PhD students" may be admitted to PhD studies. Other applicants may also be admitted if they have "some other form of educational funding", i.e. if they finance their studies themselves, have a scholarship or have an external financier. Thus, according to these admission regulations, only PhD students that have funding, either their own funding or funding guaranteed by the Department, can be admitted to PhD studies.

The right to educational funding comprises 48 months full-time and can be utilized under a maximum of 8 years. The period of employment is extended in the case of work performed for the Department (see below). The period of employment can also be extended in the case of illness, parental leave, work performed within the defense sector, certain positions of trust or for other special reasons as determined by the Department.

In accordance with common practice at the Department, funding of PhD studies for PhD students with internal funding is provided through a scholarship during the first year and through a doctoral position during the following three years. During the first 12 months, a scholarship is provided that should correspond to the lowest level on the wage ladder for a doctoral position after tax. The scholarship is tax free. During the remaining 36 months, PhD students have a doctoral position that follows the so-called doctoral wage ladder. PhD students with external funding may receive a doctoral position from the start. If a financier can only guarantee 36 months of funding and the Department is to pay for one year, the PhD student is expected to receive a scholarship during the first year.

The Higher Education Ordinance states that teaching and administration is not to comprise more than 20 percent of full-time work for persons holding a doctoral position. PhD students at the Department can choose to have full-time funding for research for four years or can apply for up to 20 percent teaching or other work at the Department per academic year. In that case, the period of educational funding is extended until 48 months have been received (e.g. five years with 80% educational funding).

Annual Re-appointment

PhD students that are given a doctoral position or granted special educational assistance or a scholarship have the right to an annual re-appointment. In order to receive an appointment to a doctoral position, a PhD student is required to have followed an individual study plan. If a PhD student disregards her or his commitments according to the study plan to a significant extent, it is up to the Chancellor of the University to decide whether the PhD student shall no longer have the right to supervision and other support. Before the decision is made, the PhD student and the supervisor are to be given the opportunity to provide statements, and the Faculty Board is to prepare the case. The established time plan for PhD studies may only be extended if there are special reasons for doing so, such as sick leave, work performed within the defense sector, certain positions of trust in union organizations or student organizations or parental leave. In accordance with common practice at the Department, PhD students are re-appointed for twelve months at a time under the

condition that studies have been actively pursued.

After the End of the Funding Period

It is the policy of the Department to offer PhD students whose funding has ended, to the extent possible, up to 50% teaching for one year, depending on the needs at the Department. Similarly, PhD students that have completed their PhD degree (at the Department) are offered the possibility of teaching, although for a maximum of two years.

2. Social Benefits for PhD Students

A doctoral position entitles a person to the same social benefits and conditions as other employees at Stockholm University. In case of illness or parental leave, a PhD student may retain her or his scholarship in order to apply for an extension of the assistance and funding period at a later date. Scholarships are tax free and normally do not afford any social benefits. During the period of the scholarship, the Department is to reserve funds, in addition to the educational funding, for a pension (at least 10,000 SEK per year) that makes it possible for the PhD student to save money for retirement on her or his own. For those that are not employed (i.e. do not teach or perform other work at the Department), Stockholm University has taken out a group insurance policy through the Legal, Financial and Administrative Services Agency (*Kammarkollegiet*) for accident insurance called Personal Injury Insurance for Students (*Personskadeförsäkring för studenter*), which includes PhD students. This is valid during study time as well as during direct travel between place of study and residence.

3. Individual Study Plan

Each PhD student is to establish an individual study plan in consultation with her or his supervisor no later than three months after admission. In this plan, a time plan for the dissertation work and proposed courses is to be set. The study plan is to include a working

plan with concrete short-term interim goals for one year at a time. The form of funding, as well as possible credit for courses taken on the Masters level, should also be clearly stated. In the case of such credit, one week of funding is deducted for every 1.5 higher education credits received. A PhD student is required essentially to follow the individual study plan. A PhD student that disregards her or his study plan “to a significant extent” can have the right to supervision and other support for PhD studies rescinded by the Chancellor of the University.

4. Supervision

The First Year and Assignment of a Supervisor

During the first year, PhD students are to work within the supervisory group (*handledningsgruppen*) where they receive guidance in the formulation of their dissertation plans from a smaller group of researchers at the Department. Initially, the Director of Graduate Studies is the primary supervisor. Later in the first year, a permanent primary supervisor and an additional supervisor are assigned in consultation with the PhD student and on the basis of her or his wishes. The primary supervisor must have a permanent position at the Department and must be a docent or have corresponding competence. At least one of the supervisors must have completed supervisor training or to be judged to have corresponding competence.

The Board of the Department takes the final decision on supervisors. Overall responsibility for PhD studies and supervising rests with the Faculty of Social Sciences Board.

At the first meeting between the primary supervisor and the PhD student, a planning talk is to be held at which the following points are to be taken up:

- What expectations do the supervisor and the PhD student have in relation to each other?
- Is there anything in particular that should be considered with regard to the specific dissertation project?

- How often is it anticipated that there will be a need for some form of contact during various phases of the dissertation work?
- Under what forms should the contact take place?
- How should one think about critique of the dissertation text? How do the supervisor and the PhD student view providing and receiving critique?
- How should they together make sure that the PhD student finishes within the time frame of the funding?
- In what way can the supervisor assist the PhD student in building up a research network?
 - Contacts at other universities – nationally and internationally?
 - Support in conjunction with conferences
 - Support in conjunction with publications
- Which research contexts can be of value for the PhD student?
- How should possible differences of opinion be dealt with?

The Director of Graduate Studies is to be the chairperson at this planning meeting.

The Responsibilities of the Supervisor

PhD students at the Department of Political Science have the right to supervision for a total of 75 teaching hours (which corresponds to 300 clock hours). During the first year supervision takes place in a group, while supervision during the following years is taken care of by a primary supervisor and an additional supervisor. The hours are equally distributed among the supervisors, unless some other agreement has been made in conjunction with the supervisors being assigned or when the individual study plan for the PhD student is revised. Five teaching hours accrue to the primary supervisor alone in conjunction with the disputation. If the PhD student has additional supervisors, the total number of supervising hours is redistributed. In special cases – after a decision by the Director of Graduate Studies – a third supervisor can be assigned during the final two years without this affecting compensation for the other supervisors. If there is a change of supervisors, the new supervisor receives compensation in proportion to how long the dissertation work has

progressed.

Supervisors are to provide a student with advice and guidance as to how the dissertation work should be approached, planned and conducted and how special courses should be chosen. PhD students are to keep the supervisor informed about the progress of the work through regular contact. The supervisor is required by the Faculty of Social Sciences to take the initiative every semester to a discussion of whether the studies are progressing at the rate specified in the study plan. The supervisors are also to have career guidance discussions with the PhD student continuously during her or his studies.

Change of Supervisor – The Right to Change Supervisors

If differences of opinion or dissatisfaction arises, the PhD student and supervisor should first attempt to discuss their way to a solution. If this does not work, the PhD student or supervisor can turn to the Director of Graduate Studies, in the first place, or to the Head of the Department, in the second place. If the PhD student is not satisfied with the proposed solutions, she or he has the right to change supervisors.

5. The Dissertation

The Dissertation Work

PhD students formulate their own dissertation topics. The topic is to be formulated during the initial year of studies with the support of the supervisory group (see the section "Supervision") and other senior researchers at the Department with expertise in the field. PhD students have the right to change dissertation topics during the course of their PhD studies.

Dissertation work is to be presented for other researchers and teachers at the Department on three occasions at the general research seminars at the Department:

1. At the end of the first academic year, the dissertation plan that has been

developed during the year is to be presented.

2. At an interim seminar, when approximately half of the dissertation work has been completed, a text that includes a draft of the essential parts of the dissertation is to be presented. In conjunction with the interim seminar, the PhD student can choose to discuss strategies for proceeding from the interim seminar to a final dissertation in a closed seminar with reviewers and supervisors.
3. At a final seminar when there is in principle a complete dissertation, this is to be presented.

The texts are to be reviewed and discussed by two researchers or teachers, one of which is to hold a PhD degree.

In addition to the three seminars, a PhD student has the possibility of inviting in “extra readers”, most appropriately at a point between the interim seminar and the final seminar.

The Lead-up to the Disputation

1. The dissertation manuscript is to be presented at a final seminar. Manuscripts that are presented are, in principle, to be complete, i.e. to include all of the chapters. The time for the final seminar is to be decided on by the supervisor and the PhD student in consultation with each other. The decision is to be reported to the Head of the Department, who together with the supervisor appoints the chairperson of the review committee. The chairperson is usually the professor at the Department with the most research experience within the subject area of the dissertation, with the exception of the supervisor.
2. The supervisor and the chairperson of the review committee, in consultation with the Head of the Department, decide on the review committee. The review committee is to be comprised of at least three persons in addition to the supervisor and to be appointed prior to the final seminar. All of the

members of the committee are to be present at the seminar. The chairperson of the review committee acts as chairperson at the final seminar.

3. At the final seminar the manuscript is to be discussed by two specially appointed opponents, of which one is to be a PhD and one a PhD student. The dissertation manuscript should be made available to the review committee and the discussants three weeks prior to the seminar.
4. The review committee is to hold at least one meeting with a protocol in close proximity to the final seminar. The committee, which has an advisory function, is to work to ensure that the dissertations presented at the Department are of high quality.
 - a) The PhD student is to be invited to the meeting of the committee in order to be apprised of the views of the committee and to discuss the dissertation manuscript. The purpose is both to facilitate for the committee to determine the extent of potential weaknesses in the dissertation and to provide the PhD student the opportunity to defend her or his writings. The PhD student also has the right to receive comments from each of the members of the committee.
 - b) The members of the committee provide an assessment, jointly or individually, as to whether the dissertation should be presented in its current state with minor changes or whether greater revisions are needed. Comments are to be specified in broad and clear terms in written form. The PhD student is to respond likewise to the comments in written form ("revise and resubmit") in conjunction with a new version of the dissertation being submitted to the review committee for a final assessment.
5. The composition of the review committee and the minutes recorded in conjunction with its meeting are reported to the Council for PhD Studies.
6. The chairperson of the review committee in consultation with the supervisors determines whether the manuscript has been revised in accordance with the recommendations and conditions stipulated in the minutes. In the case that the chairperson of the review committee is not a professor, this is determined by the supervisor in consultation with the professor at the

Department with the most research experience within the subject area of the dissertation, with the exception of the supervisor.

7. Reviews of licentiate theses are conducted in the same manner, with the exception that the committee is comprised of two members in addition to the supervisor.

Language Editing of the Dissertation Manuscript

PhD students have the right to language editing of their dissertation manuscripts paid for by the Department on the basis of an approved cost estimate.

Printing of the Dissertation

PhD students can have their dissertation printed at a printing shop or, if she or he finds a publisher that is interested, have the dissertation published. 190 copies of the dissertation are to be printed, of which 50 copies may be retained by the PhD student. Additional personal copies must be paid for by the PhD student at cost. Dissertations that are not published by a publisher must be printed at one of the printing shops procured by state contract. A so-called "suborder request" should be made. There are special regulations for contracts, loose "nail pages", etc. Relevant information can be found at <http://www.su.se/forskning/utbildning-pa-forskarniva/disputera-vid-universitetet/4-tryck-av-doktorsavhandling-1.10165>

6. Courses in Ph.D. Studies

As part of PhD studies, students take doctoral courses corresponding to 75 higher education credits. There are an additional 165 higher education credits for dissertation work. PhD students can take doctoral courses at the Department as well as at other departments, both in Sweden and abroad.

Mandatory courses are taken primarily during the first year and are specified in a separate

list that is adopted by the Board of the Department. The supervisor and the PhD student decide in consultation with each other which other courses should be taken. The supervisor approves completed courses and reports the results to the administrator in charge. Course titles should be translated into English as well. With regard to the compulsory courses, the teacher in charge reports the results directly to the person responsible for registering grades for PhD studies in Ladok.

PhD students can also take courses based on individual literature lists, preferably related to the dissertation. Literature lists of this kind are to be decided on in consultation with a supervisor, and the examination for the course is administered by the supervisor or another examiner.

Participation in courses abroad can be financed either by funds from the so-called pot for PhD students or by scholarships. In the case of an application for a scholarship not being awarded, the Department can offer funding for participation in certain courses, primarily method courses or the like (on the basis of an application to the Deputy Head of the Department).

For participation in ECPR's Summer School (Essex), the Department covers costs for participation up to 30,000 SEK on the basis of a special application (which can be submitted at any time). Even other PhD courses at foreign institutions of education can be financed in particular cases on the basis of a special application.

7. Conferences

The first year of studies concludes with participation in a national political science method seminar. An important part of PhD studies is participation in national and international conferences and workshops, such as the annual meetings of the Swedish Political Science Association (*Statsvetenskapliga förbundet*), NOPSA and ECPR, as well as conferences focused on the student's research field. In addition, PhD students are encouraged to spend at least one semester of their doctoral studies at a foreign university. Supervisors can

usually be of assistance in establishing contacts via their own international networks.

Participation in conferences abroad can be financed either by funds from the so-called pot for PhD students or by scholarships (from, for example, the Siamon Foundation - *Stiftelsen Siamon* - and Stockholm University's scholarship fund). PhD students with positions or other funding can apply for financial assistance for costs in conjunction with participation in conferences (on the basis of an application to the Deputy Head of the Department). The criteria for granting applications are stipulated in the Conference Policy of the Department (see the Department's *internsidor*).

8. The Pot for Personal Expenses During Studies

At the beginning of studies, each PhD student receives a pot of 35,000 SEK at her or his disposal for expenses related to studies, e.g. purchase of research literature, research trips, courses and conferences. The administrative officer responsible for finances at the Department pays out reimbursements upon the submission of receipts. The purchase of computers and other related equipment is regulated by the Department's Policy for Acquisition and Use of Computers (see the Department's *internsidor*). PhD students can apply for further funding through various scholarships and foundations at Stockholm University and elsewhere. In relation to needs for special funding, e.g. for field studies, PhD students should apply, in the first place, for funding from Stockholm University donation scholarships. If funding cannot be obtained in that way, the Department can cover these costs on the basis of a separate application to the Deputy Head of the Department.

PhD students with external funding are presumed to have funds for incidental costs. If this is not the case, the funding mentioned above applies to them as well.

9. Rooms and Computers

Every PhD student with funding has the right to a room or workplace and a computer. The policy at the Department is that PhD students share rooms during the first two years, after which PhD students are provided with a room of their own. Every PhD student that is actively pursuing studies also has the right to a workplace for at least 12 months after funding has ended (one's own room, subject to availability). PhD students with rooms at the Department also have the possibility of working at home without losing the right to their room or workplace. If a PhD student does not use her or his room or workplace for a longer period of time due to parental leave, a stay abroad, completion of a manuscript somewhere else, etc., the room or workplace can be utilized by other staff members at the Department.

10. Teaching

Those PhD has the ambition to offer every PhD student an opportunity to participate in teaching on the undergraduate level after the first year of PhD studies. Through teaching, PhD students are involved in collegial collaboration with senior researchers and teachers at the Department, which should serve as support for planning lectures and seminars. Teaching also comprises an important merit for future employment at the University. Teaching is compensated in the form of corresponding time for research.

Teaching on the part of PhD students is always voluntary, but should not comprise more than 20% during the period of funding.

The Center for University Teacher Education (*Centrum för universitetslärarutbildning*) at Stockholm University arranges an introductory course on teaching every year. PhD students are also offered the opportunity of taking a course on university pedagogics and have the right to receive credit for pedagogical courses as part of their PhD studies. Teaching 20% corresponds to 87 teaching hours (lecturer hours) per year, of which 78 teaching hours are comprised of teaching and 9 teaching hours are reserved for pedagogical development. For the first semester that a PhD student teaches, five hours are granted for planning. One teaching hour corresponds to three working hours if examination is not included and four hours if examination is included.

PhD students are offered teaching primarily on the undergraduate level for those courses in which the work takes place in teaching teams. In accordance with prevailing policy, teaching is assigned on the basis of the needs of the Department as well as the competence and interests of the PhD student. Teaching is to be planned in such a way as to encroach as little as possible on the time available for research. In a situation in which there are fewer teaching assignments than PhD students interested in them, those PhD students that wish to continue to teach a course are given priority.

The allocation of teaching at the Department is done on the basis of the following order of priority: (1) permanently employed lecturers; (2) PhD students with funding; (3) teachers with a PhD employed on a short-term basis; (4) PhD students whose funding has ended.

11. Seminars and the Role of Discussants

PhD students are urged to participate actively in the various seminars held at the Department, however in consideration of the fact that the primary activity during PhD studies is the dissertation work. PhD students should also act as opponents at seminars for dissertation plans, interim seminars and final seminars. No PhD student should, though, be an opponent at this kind of seminar more than once per academic year. Under certain circumstances, a PhD student can undertake lesser assignments as a discussant within the framework of the special seminars during the academic year, but dissertation work should be given priority. In order to achieve a reasonable distribution of assignments as discussants among PhD students, the person responsible for arranging discussants for seminars for dissertation plans, interim seminars and final seminars should check with the Director of Graduate Studies in advanced as to which PhD students have previously taken on various assignments as discussants.

12. Co-determination

All PhD students have, in accordance with the charter of the PhD Council, the right to participate in the meetings of the PhD Council. The PhD Council is an association and can,

thus, in principle pursue those issues or conduct those activities that the PhD Council itself decides on. The PhD Council has no obligations to the Department. In relation to PhD students, the PhD Council operates as a democratic association. The PhD council can contact whoever it wishes. All of the members have the right to influence the activities of the PhD Council and to attend its meetings and to become involved in the Council in other ways. The PhD Council appoints members to the Board of the Department and to the Council for PhD Studies (*Forskarutbildningsrådet*). PhD students have the right to express their opinions about the activity of the Department. The Department is a public authority, an education provider and often even an employer of PhD students. Since the University and, thereby, the Department are public authorities, they are subject to the Public Administration Act. PhD students can, therefore, express their opinions on their own as well as via the PhD Council (if the Council so decides). As employees, PhD students also have the right to express their opinions via their union organizations. PhD students as employees are also covered by the right to anonymity in publishing information that public employees have if they choose to contact the media.

13. Staff Member Talks

PhD students, as other employees, are to be invited to a staff member talk each year. PhD students can book a time with the Director of Graduate Studies or with the Head of the Department. During the talk, the following matters can be taken up:

1. the work environment in general and cooperation with senior and junior colleagues, well-being at the workplace, etc., including seminar activity
2. how supervision is working and how PhD studies are following the individual study plan
3. other important aspects of the work environment, such as the general work load, development of pedagogical competence through teaching and other work at the Department
4. life after the completion of PhD studies - career paths in society outside of the University or continued employment as a researcher or teacher

The purpose of the staff member talks is to give PhD students an opportunity to discuss their work situation at the Department in a broader sense. The staff member talks can also help the Department to continue to improve the work environment for PhD students.

14. Disputation

General Regulations

Disputations take place after the approval of the supervisor and the chairperson of the review committee. Formally, even a PhD student that has been advised against a disputation has the right to defend her or his manuscript. In the case of failing after having been advised against a disputation, the PhD student has to pay for the cost of printing the dissertation her or himself.

According to the principles for disputation of the Faculty of Social Sciences, the following applies: Within the Faculty of Social Science, the examination board is normally comprised of three members and one alternate. Two of the members are to be working somewhere other than Stockholm University and should not be from the same department. If the third member is from one's own department, the alternate is to be from another department within the Faculty of Social Sciences. Otherwise, the alternate can be appointed from one's own department and the third member from another department within the Faculty of Social Sciences. All of the members of the examination board, including the alternate, are to be docents. Barring special circumstances, both sexes are to be represented on the examination board.

A proposal for chairperson at the disputation, opponent and examination board are to be submitted to the Faculty by the supervisor, if this person is a professor. Otherwise, the proposal is to be submitted to the Faculty by the chairperson of the review committee (most closely specialized professor). The proposal is to be submitted after consultation with

the Head of the Department. The PhD student should be informed of the substance of the proposal and have an opportunity to present her or his opinion about it.

Directives for the Disputation

The following directives for disputations have been discussed and agreed upon at the Department.

1. The recommended time that the disputation should take is two hours. The room should be reserved for three hours.
2. The supervisor is expected to inform the opponent and the examination committee of the following instructions.
3. The supervisor is to request the opponent to inform the PhD student in advance about the points that she or he is going to take up during the disputation. At this time, the opponent can also ask the author of the dissertation whether there are any key points that she or he would like to have discussed.
4. The supervisor is to encourage the PhD student to formulate questions that can be discussed during the disputation. This presupposes, however, that contact with the opponent has been established in good time prior to the disputation.
5. The supervisor is to encourage the examination committee in advance to contribute to the discussion following the critical review by the opponent.
6. At the beginning of the disputation, the chairperson is to inform that an open discussion is to follow the critical review by the opponent and that contributions to the discussion on the part of the examination committee and the audience are welcome.
7. The PhD student is to be given the opportunity to begin with a brief presentation (5-15 minutes) of her or his contribution and research field. This does not mean that the opponent does not need to present a thorough summary of the dissertation before the critical review begins.

8. In accordance with prevailing standard procedures, the opponent formally assigned by the Board of the Faculty of Social Sciences is to emphasize during the summary of the dissertation what can be considered to be the main contributions of the dissertation. This is done in order to demonstrate the opponent's understanding of the dissertation and in order to offer the author an opportunity to comment on and respond to the picture presented. The supervisor is to encourage the PhD student to make use of this opportunity to present her or his own view of the contributions. The PhD student can prepare for this by making a list of key issues that she or he would like to emphasize.
9. The PhD student is to be prepared to participate actively in the discussion of the dissertation. However, this presupposes an open dialogue between the opponent and the PhD student. The opponent is to be informed of the fact that it is desirable to allow the PhD student to demonstrate her or his skill in arguing for the dissertation. For this reason, the opponent should provide ample opportunity for response to the critique.
10. The supervisor should encourage the PhD student to inform the general public about the dissertation, through press releases and the like, in good time prior to the dissertation.

15. Scientific Honesty

After some high-profile cases of research fraud, the Faculty of the Social Sciences has issued guidelines on good practices in scientific work. In these guidelines, the individual PhD student is deemed to have primary responsibility for any fraud that she or he may commit. At the same time, it is stressed that the Department is obligated to attempt to prevent fraud by diligently informing PhD students of what is considered to be fraud. On a general level, fraud is defined as plagiarism, as well as fabrication or falsification of data or source material. The principles underline the importance of a transparent reporting of procedures in the scientific working process, clarity in the reporting of what are sources/previous

research and what is one's own contribution, accuracy in providing citations and references and accuracy in the use/application of statistics.