

Handbook for Doctoral Students

Contents

ABOUT THE HANDBOOK.....	3
GENERAL INFORMATION ABOUT THE DOCTORAL PROGRAMME.....	3
The purpose and conditions of the doctoral programme	3
Ethical aspects	4
Responsibility, superintendence and key policy documents	4
General study plans	4
Mobility, internationalisation and social dialogue	5
THE DEPARTMENT OF SOCIOLOGY’S ORGANISATION, PROCEDURES AND PRACTICES FOR POSTGRADUATE EDUCATION	5
Department’s organisation	5
Entry requirements, assessment criteria and admission to the doctoral programme	7
Introduction to postgraduate studies.....	8
Establishment of individual study plan	8
Follow-up of individual study plan	9
Supervision.....	9
Problems during postgraduate studies	11
STRUCTURE OF POSTGRADUATE STUDIES	11
Required and elective courses	11
Course evaluations	12
Documentation	12
Seminar activities	12
Doctorate and licentiate theses	14
Public defence	17
Degree	18
PhD Conferment Ceremony	18
THE STUDENT AS AN EMPLOYEE.....	18
Employment status	18
Salary.....	19
Vacation	19

Registration of level of activity	20
Grounds for prolongation	20
Financial resources available to doctoral students	22
Work environment.....	22
Equal opportunities and diversity	23
Postgraduate union work	23
Doctoral student lunches	24
Appendix:.....	25
Appendix 1. Compilation of department-wide policy documents and regulations for doctoral studies at Uppsala University	25
Appendix 2. a; b Outline for Essay and Research Assessment	25
Appendix 3. Guidelines for Appointing Supervisors	25
Appendix 4. Usual Inclusion Practices	25
Appendix 5. Course Evaluation Template	25
Appendix 6. a; b; c Compilation Theses Guidelines	25
Appendix 7. Instructions to Opponents (HP and FUN 5 February 2014)	25
Appendix 8. Publication Policy (HP 19 October 2011).....	25
Appendix 9. Template - Standard Contract for Thesis Printing (external publishers).....	25
Appendix 10. Checklist for Defence.....	25

ABOUT THE HANDBOOK

This handbook provides practical information on postgraduate education at the Department of Sociology. This guide has been developed in consultation with doctoral students in order to best meet the information needs of both new and continuing students.

This handbook does not deal with how the students should write their thesis or how to organise their reading courses or teaching. For these aspects, there are other forms of aid, such as the thesis course and teaching course, and naturally also the entire supervision process. The purpose of this guide is instead to clarify the guidelines of the doctoral training programme and the rules and regulations that shape it, and to describe the practices of the Department that apply to both doctoral students and supervisors. This manual contains many references to relevant documents and information, which are mostly located on the Department's, Faculty of Social Sciences' and Uppsala University's websites. The handbook is continuously updated and the current version can always be found in the Medarbetarportalen.

GENERAL INFORMATION ABOUT THE DOCTORAL PROGRAMME

The purpose and conditions of the doctoral programme

Under the Swedish Higher Education Act, *“in addition to the requirements for first and second-cycle courses and study programmes, third-cycle courses and study programmes shall develop the knowledge and skills required to be able to undertake autonomous research.”* (Higher Education Act, chapter 1, section 9a). The doctoral student shall acquire scientific methodology, critical analysis skills and the ability to independently formulate questions, to structure scientific reasoning, identify researchable questions, find methods and theories for handling problems, and critically reflect on the thesis topic. The student should immerse him or herself in their subject and reach the ‘research frontier’ within their field, and also be able to explain and discuss their research with people who do not have specialist knowledge in the field.

The doctoral programme consists of four years of full-time study and ends with a PhD. There is also the possibility of finishing the programme with a licentiate degree (typically after two years of full-time postgraduate studies). The programme consists of a number of courses and a thesis in which the student completes an individual research project aimed at generating new knowledge in a scientifically interesting area.

We strive to work together to create a safe research environment that is characterised by

- Research and education of the highest quality and by mutual respect among everyone working in the Department, and by openness to different cultures;

- A constructive seminar culture and clarity concerning supervision and working methods in order to give doctoral students the opportunity to develop into knowledgeable, critically thinking, creative and responsible researchers who can take an active role in the global community and thus promote advancement and innovation.

Ethical aspects

Ethics is not just about laws and regulations, but also about an awareness of how one should act. Ethical considerations are particularly important in research because research has a significant long-term impact on society. It is therefore important that all research findings are reported openly so that other researchers can verify and repeat the research. Sometimes the researcher (i.e. the supervisor in collaboration with the student) must apply for permission when they want to use certain methods in their research. When research is conducted on human subjects, the applications are reviewed by the regional ethical review boards. More information on ethical review is available at www.epn.se. The Swedish Research Council's website, CODEX (<http://www.codex.vr.se>), also contains information on the ethical guidelines and laws that regulate and place ethical demands on the research process.

Responsibility, superintendence and key policy documents

The State is responsible for the activities of colleges and universities and the Swedish Higher Education Authority (UKÄ) is the authority that conducts superintendence, i.e. checks to make sure that higher learning institutions comply with the laws and regulations in force. The Higher Education Authority also makes decisions about which higher learning institutions will have the power to award degrees and works with the institutions to assist developments in higher education.

The Higher Education Act and the Higher Education Ordinance are the most important comprehensive laws governing college and university activities, including postgraduate studies. The Higher Education Act contains general provisions and the Higher Education Ordinance regulates the teaching in more detail. The Higher Education Ordinance delegates some finer governing details to the university and as such, there are university-wide policy documents for postgraduate education at Uppsala University. These are compiled on the University's website and a list of these documents are annexed to this document. (*Appendix 1*)

General study plans

According to the Higher Education Ordinance, there shall be a general study plan for all postgraduate subjects (HF chapter 6 section 26). The general study plans are established by the Faculty Board and the plan that is valid at the time the student is admitted to the programme

applies for that student throughout their doctoral studies. If a new general study plan is adopted, the doctoral student can choose to continue to follow the previous plan or switch to the new study plan. The current general study plan for sociology is available on the Faculty of Social Sciences website. In addition to the general study plan that applies for the subject, an individual study plan should be established for each doctoral student. Read more about this in the 'Individual study plan' section below.

Mobility, internationalisation and social dialogue

The Department encourages doctoral students to participate in international research settings and to spend some of their study time at academic institutions abroad. The Department also encourages doctoral students to actively participate in social dialogue and disseminate information about their research. Supervisors and other senior researchers assist doctoral students in establishing international research contacts.

THE DEPARTMENT OF SOCIOLOGY'S ORGANISATION, PROCEDURES AND PRACTICES FOR POSTGRADUATE EDUCATION

The Department is the unit within the University organisation responsible for implementing education and research, for the admission of students and doctoral candidates, and for the supervision of doctoral students. Decisions on the admission of applicants for studies at the postgraduate level with external or own financing, as well as to postgraduate studies of 120 credits that end with a licentiate degree, are, however, taken by the Faculty Board (Faculty of Social Sciences Delegation Rules).

Department's organisation

The Head of Department decides on operational issues, i.e. issues that concern the daily work. The Department Board takes decisions on the budget and department-wide strategic issues. The doctoral students have one regular and one substitute representative on the Board, which consists of a total of eight members as well as the Head of the Department, who is the Chair. Doctoral student representatives are elected annually. Most matters concerning postgraduate education, however, are addressed in two other bodies in the Department: the Board of Supervisors (Handledarkollegiate or HK) and the Postgraduate Studies Committee (Forskarutbildningsnämnd or FUN). The following description of these bodies is an extract from the Department's Organisational Guide. This guide can be found in the Medarbetarportalen.

Board of Supervisors (HK)

The Board of Supervisors is a collegiate body for discussing issues related to postgraduate studies, primarily supervision. Members of the Board of Supervisors are all supervisors employed at the Department of Sociology. External supervisors are invited to the Board of Supervisors. Doctoral student representatives are invited to the Board of Supervisors. They function as a link between HK and the doctoral student collective and can mediate information from HK to the doctoral lunches and vice versa.

The Director of Postgraduate Studies is the Chair of the Board of Supervisors.

The Board of Supervisors normally meets four times during the academic year.

The Board of Supervisors shall

- 1) Regularly discuss quality control of supervision and ways to develop the supervisors' supervisory skills
- 2) Follow up annual reconciliations of individual study plans and identify and discuss any problems that have arisen
- 3) Appoint a preparatory group to prepare proposals for admission to the doctoral programme
- 4) Assist the Director of Postgraduate Studies with proposals for opponents and examination committees for doctoral defences, as well as double readers for thesis manuscripts
- 5) Assist the Director of Postgraduate Studies with suggestions for supervisors and assistant supervisors for the Department's doctoral students.

Postgraduate Studies Committee (FUN) (currently dormant, doctoral representatives participate in the Board of Supervisors)

The Postgraduate Studies Committee (Forskarutbildningsnämnd or FUN) is a preparatory body for the Department Board, Head of Department and, on some issues, the Faculty Board. The Board consists of:

Director of Studies

for Postgraduate Education
2 supervisors + 1 substitute

Chair

(appointed by Department Board for 3 years on proposal from the Board of Supervisors).

2 doctoral students + 1 substitute

(appointed by Department Board for 1 year on proposal from the Department's doctoral students)

Substitutes are entitled to attend and speak at FUN meetings.

Working methods

The Postgraduate Studies Committee has a quorum when more than half of the members, including the Chair, are present. Decisions are taken by simple majority. If someone requests a vote, the vote must be taken openly. In the event of a tie, the Chair has the casting vote.

The Postgraduate Studies Committee may meet four times during the academic year. Notice of the meeting shall be given one week before the meeting.

It is the responsibility of the Postgraduate Studies Committee to

- 1) Examine proposals for general study plans (decisions taken by the Faculty Board)
- 2) Decide on curricula for postgraduate studies and decide on the procedures for examination in the doctoral programme
- 3) Decide on the use of budgetary appropriations for FUN
- 4) Ensure that evaluation and quality development work is carried out on postgraduate studies and otherwise monitor issues related to postgraduate studies
- 5) Prepare and handle Departmental library issues

Entry requirements, assessment criteria and admission to the doctoral programme

Admission to the doctoral programme is regulated by the Higher Education Ordinance. To be accepted, the applicant must meet *'general and specific entry requirements that the higher education institution may have laid down, and [be] considered in other respects to have the ability required to benefit from the course or study programme'*. (HF chapter 7 section 35). The higher education institution may only admit so many doctoral students *'that can be offered supervision and otherwise acceptable conditions for study and whose studies are funded'* (HF chapter 7 section 34).

Eligibility requirements for postgraduate studies in sociology at Uppsala University are stipulated in the general study plan. Vacancies in the doctoral programme shall normally be advertised nationally and sometimes also internationally. When specialised skills are required, focused announcements may be distributed. The availability of supervisors in the particular subject areas may also be taken into consideration.

The general study plan for Sociology at Uppsala University stipulates that:

A selection will be made among qualified applicants on the basis of their ability to benefit from education at the doctoral level and will be based on the following assessment criteria: assessment of the research plan as well as previous independent works of a scientific character in respect of the following:

Breadth and depth of knowledge in the social sciences, ability to stringently manage and interpret various types of data, level of analytical clarity, problematisation capacity, critical independence, logical and conceptual stringency, as well as the ability to present ideas and findings clearly in writing.

A tentative assessment is made on the likelihood that the applicant will be able to complete the doctoral programme within four years of full-time study or the two years required for a licentiate degree.

More detailed guidelines on assessment practices at the Department of Sociology are provided in *Outline for Essay and Research Assessment* and *Instructions for Drafting Research Outlines When Applying for Postgraduate Studies (Appendix 2a and b)*.

The formal decision on admissions to the doctoral programme is taken by the Director of graduate studies, as delegated by the Head of Department, and after consultation with a preparatory group appointed by the Board of Supervisors.

General stipulations for admission are provided in the document *Admissions Ordinance and Regulations regarding Studies at the Graduate Level*, which is available on the Faculty of Social Sciences website.

Introduction to postgraduate studies

At the Department of Sociology, newly admitted students receive an introduction about the conditions of the programme, including practical and administrative procedures, the research approach, and issues relating to teaching.

The Director of Postgraduate Studies and the Head of Department are responsible for the introduction to the doctoral programme's structure and an overview of the research carried out at the Department. This introduction is also considered the first supervision session after admission. The introduction should take place as soon as possible in order to draw up guidelines for the semester's practical research work. The Director of Undergraduate Studies is responsible for an individually adapted introduction to the teaching activities. As soon as possible, doctoral students should also complete a teaching course arranged by the University (see current information in the Medarbetarportalen). Decisions on the scope and focus of the doctoral student's teaching will be made in consultation between doctoral student, supervisor, course coordinator and Director of Undergraduate Studies.

The Department's administrators are responsible for providing information on the practical and administrative matters related to the workplace, computer/equipment, salary and other administrative matters affecting the doctoral student. The doctoral student is given the opportunity to meet work environment coordinators, union representatives and the Equal Opportunities Officer.

Establishment of individual study plan

For each doctoral student, an individual study plan must be prepared and approved by the Head of Department after consultation with the student and his/her supervisor. The individual study plan shall include a schedule for the student's education, information on how the student's supervision is organised, and a description of the commitments the student and the Department have agreed upon. The first individual study plan shall be drafted as soon as practicable and then followed up at least once a year. A form for individual study plans can be downloaded from this link:

<https://mp.uu.se/web/info/forska/forskarutbildning/humsam/samfak-ijfscdqg/forska/forskarutbildning/humsam/samfak/studieplaner>

The individual study plan is an important tool in the planning and monitoring of postgraduate education. It is a documentation of agreements between the doctoral student and the Department about what the student and the supervisor are expected to do. It is therefore important that the individual study plan form is filled in correctly and completely. Remember to save the completed individual study plan so that you can reuse relevant parts of it the following year.

Follow-up of individual study plan

Every year the doctoral student and the supervisor should do a thorough follow-up of the individual study plan. The follow-up must be documented in writing in the individual study plan and a summary presented to the Board of Supervisors. To avoid unpleasant surprises at the end of the student's postgraduate studies, it is important that these follow-ups are carried out systematically and thoroughly.

Supervision

For every doctoral student, and in consultation with the student, two supervisors shall be appointed, including a supervisor with principal responsibility for the student's education – including the thesis.

At least one of the supervisors must be employed by or adjunct to Uppsala University. The supervisors shall have a doctoral degree or equivalent and at least one of the supervisors must have associate professor (docent) qualifications. At least one of the supervisors for the doctoral student must have undergone supervisor training. New supervisors should, no later than during their first year as a supervisor, complete supervisor training. Guidelines for appointing supervisors are compiled in *Appendix 3*.

A doctoral student who so requests may change supervisor. (HF chapter 6 section 28).

A doctoral student whose supervisor is on leave for an extended period of time is entitled to a 'substitute' supervisor.

The doctoral student has the right to supervision during their studies, unless the Vice-Chancellor, with the support of HF chapter 6 sections 30-31, decides otherwise. Resources may not be withdrawn for the time during which the student is employed in the doctoral studentship or is receiving a doctoral grant. (HF chapter 6 section 30).

When the doctoral studentship has ended, the Department offers limited supervision provided that the thesis is in sight, and after an evaluation has been made of the reasons the thesis has been delayed.

The main supervisor has the greatest responsibility for the doctoral student's thesis. Assistant

supervisors shall supplement the supervisor's efforts. The main supervisor, assistant supervisor and doctoral student must conduct a follow-up of the individual study plan and evaluate the previous year's study plan. At this time, a plan for the division of labour between the main supervisor and assistant supervisor(s) must also be established (for example, by semester). This should be made clear and be recorded in the study plan. All parties must agree on this division of labour.

The supervisor should:

- Help with the choice of thesis topic and ensure that it is realistic and feasible
- Continuously review manuscripts and other materials
- Together with the doctoral student, plan which of the elective courses the student will take and make a schedule for the compulsory courses, based on the current general study plan
- Help to establish contacts with other institutions in Sweden and abroad
- Assist the student in visiting and participating in international conferences and meetings
- Recommend foundations from which to seek grants
- Recommend a publishing strategy and appropriate journals
- Support and assist the doctoral student in his/her teaching planning

Preparations for the defence of the thesis

Towards the end of the writing of the thesis, the supervisor must set aside adequate time for reading and critically examining the thesis manuscript or comprehensive summary (kappan) in the case of a compilation thesis. The supervisor has a great responsibility for the ultimate formulation of the thesis and for not releasing the student to public defence if the thesis is not acceptable. The supervisor must also prepare the student for the public defence ceremony and for the defence of the thesis.

Amount of supervision

The number of agreed supervision hours should be included in the individual study plan. If the agreed assistance is not provided, this document can then be referred to.

The doctoral student cannot expect that the supervisor will be available to assist at any time and without notice. However, the student should be able to expect, for example, that they will meet regularly, that the supervisor will comment on materials in a timely manner and that the supervisor will inform the student in good time if he or she will be unavailable for an extended period of time.

Problems during postgraduate studies

If problems arise during doctoral studies that cannot be resolved within the supervisor relationship, the supervisor or the doctoral student can take up the matter with the Director of Postgraduate Studies. There is also the possibility of getting in touch with the PhD Ombudsman at the Uppsala Student Union. The Head of Department has ultimate responsibility.

STRUCTURE OF POSTGRADUATE STUDIES

Required and elective courses

The Doctoral Programme in Sociology ends with a PhD or licentiate degree. The general study plan stipulates that

The doctoral programme in sociology ends with a PhD or licentiate degree. Education shall comprise 240 university credits for a PhD degree and 120 university credits for a licentiate degree. A doctoral student admitted to a doctoral programme intended to be completed with a PhD can, if he/she so wishes, take a licentiate degree as a milestone.

An applicant may also, if he/she so desires and the Faculty Board deems it appropriate, be admitted to postgraduate studies of 120 credits that finish with a licentiate degree (AFUU section 3).

Postgraduate studies in sociology finishing with a PhD comprise four years of net study time, consisting of 75 course credits and a thesis of 165 credits.

Postgraduate studies in sociology finishing with a licentiate degree comprise two years of net study time, consisting of 60 course credits and a thesis of 60 credits.

Postgraduate studies in sociology and social work that end with a PhD consist of one course part of 75 university credits in total, of which 52.5 credits must be in required courses and 22.5 in elective courses. The obligatory courses are listed in the general syllabus for sociology, SAMFAK 2012/12, and for social work SAMFAK 2018/32.

The thesis course is mandatory at Uppsala University. Other required courses, as well as the elective courses (22.5 university credits), may, by agreement with the supervisor, be taken at another higher education institution. Planned transfer of credits for courses should be shown in the individual study plan. Practices for transfers of credits in normal cases have been established by the Board of Supervisors and set out in *Appendix 4*. The student also has the opportunity, in consultation with the supervisor, to take a reading course.

Postgraduate studies in sociology that end with a licentiate degree consist of one course part of 60 university credits in total, of which 52.5 credits consist of required courses and 7.5 consist of elective courses.

Course evaluations

Course evaluations primarily fill two functions: they provide doctoral students with the possibility of reflecting on their education in a structured manner and they provide the basis for quality development.

Course evaluations will be carried out at or near the end of the course and are normally submitted in writing.

Course evaluations must be formulated in such a way that the assessment focuses on factual issues, achievement of course targets, course implementation, and concrete suggestions for improvement. Course evaluations must be individual and submitted to the Director of Postgraduate Studies. A template for course evaluations is provided in Appendix 5.

Documentation

Information on the doctoral student's enrolment, level of activity and funding, supervisor and assistant supervisor and the dates of individual study plans must be documented each semester (and, if necessary, more often) in the University's study documentation system, Uppdok. Course results will be reported on an ongoing basis by the ~~course coordinator~~/examiner (usually the course coordinator).¹ If the course has not been included in the individual study, the information must be confirmed by the supervisor. Information on when the doctoral student has completed 50% and then 80% of their requirements is also registered in Uppdok. The Department also collects data on the estimated defence date, based on the information in the individual study plans. Feedback is given to doctoral students during follow-up of the individual study plan.

Seminar activities

The seminar as a scientific work environment is a key part of the Department's research environment and doctoral students are expected to participate regularly and actively. The higher seminar is the department's main research seminar and is chaired by a senior member of the Department. The department has research groups with regular seminar activity in which the doctoral students are recommended to participate. The research groups are organised around themes and most colleagues belong to one research group, although membership of more than one group is also possible. The research groups meet 4-6 times per term and discuss research papers and also have other activities that the group themselves decide upon.

The seminar has two main functions:

¹The Faculty Board of the Social Sciences has determined that the following teachers may be designated as examiners within postgraduate studies: professors, associate professors (docents), senior lecturers who have received their PhD and are being examined by a recruiting group (sought and received employment in competition), and research assistants (General Study Plan 5.2)

Knowledge production

The structure and open scientific discussions of the seminar provide a solid foundation for the development of knowledge, innovation and reflection. It also provides a forum for discussing the distinctive features of a particular subject and puts it in an interdisciplinary context.

Quality assurance

Seminars allow for discussions on both methodological and theoretical application and on research ethics. The discussions are marked by constructive criticism and the aim is to provide support and create security during both successes and setbacks.

Mandatory seminars during postgraduate studies

In order to assure the quality of the thesis, there are three seminars of particular importance: the planning seminar, the half-time seminar (fifth semester seminar) and the final seminar.

Planning seminar:

At the end of the first year, the doctoral student is expected to present a sophisticated plan for future work on the thesis at a planning seminar. The questions the thesis is exploring and relevant theoretical perspectives and methods are also discussed at this time.

The half-time seminar:

The half-time seminar is held when the student has completed half of her or his doctoral studies. This seminar is aimed at quality assurance and provides the opportunity to get overall feedback on the thesis as a whole. The seminar will also deal with strategic choices in the research process, such as the need for additional data collection, adjustment of purpose or changes as regards theoretical perspective. After the half-time seminar, a clear plan should be able to be established for how the thesis will be completed.

The opponent at the half-time seminar must be a PhD. The reason for this is that half-time seminars often present a crossroads where alternative paths may emerge. It is vital that these are illuminated and discussed in an informed manner. At the half-time seminar, another of the doctoral candidates also participates as an opponent. This cross-examination is part of the seminar participation required under the general study plan.

Both PhD and doctoral student opponents should agree on the division of labour for the opposition. The opposition should be carried out in an educational manner so that it also becomes a learning opportunity for the doctoral student opponent. More detailed instructions to the opponents at the half-time and final seminars are provided in Appendix 7.

The supervisor must play an active and supportive role in all seminar preparations.

Final seminar:

The *final seminar* is held when the main supervisor, after consultation with assistant supervisors, determines that there is a thorough and complete thesis manuscript. Here, the purpose of quality

assurance is very clear: the seminar will serve as a basis for planning for the completion of the thesis, including setting the date for the defence.

The final seminar texts are reviewed by two opponents and a double reader. One of the opponents is a doctoral student and one is a PhD who should come from another department and preferably have at least associate professor qualifications (docent). Final seminar opponents are appointed by the supervisors in consultation with the doctoral student and after the Board of Supervisors has been informed. The double reader is appointed by the Director of Postgraduate Studies. The Board of Supervisors assists the Director of Studies with suggestions.

Doctoral students should take part in most of the final seminars. For doctoral students who are at earlier stages in the research process, the final seminar a very important educational opportunity.

Other compulsory seminars:

- In addition to the planning seminar, the half-time seminar and the final seminar, the student will present papers at a minimum of three more seminars or scientific conferences during the rest of his or her postgraduate studies. PhD students can also participate in seminars in other departments/universities. Seminar participation corresponds to a total of 7.5 credits.

Doctorate and licentiate theses

The doctoral thesis is a demonstration of the doctoral student's ability to independently formulate and discuss scientific problems. The thesis must be structured either as a unified, coherent scientific work (monograph) or as a short comprehensive summary of scientific publications, which the doctoral student has written alone or jointly with another person or people (compilation thesis).

Theses guidelines appear in *Appendix 6a, 6b and 6c*.

Theses and essays in compilation theses authored by several persons can be counted toward a licentiate or doctorate degree only if it is possible, on the whole, to distinguish the scope of each author's contributions. See *Admissions Ordinance and Regulations regarding Studies at the Graduate Level at Uppsala University* (AFUU section 6) UFV 2012/2057)

The thesis topic and language are decided together with the supervisors. Each thesis which is not written in English must be accompanied by a brief English-language abstract and a summary. The Department pays, when needed, for a linguistic review of articles and comprehensive summaries (kappa) in compilation theses, as well as monographs. The texts are sent for linguistic review once the supervisor has approved the final version. The benchmark length is 160 pages and recent departmental monograph dissertations average at just over 200 pages (ranging from 162 to 400+

pages). The comprehensive summary (kappan) of compilation theses averages at 70 pages (ranging from 50 to 90).

Appropriation of State funds for the printing of PhD theses is decided by the Faculty Board.² This applies, in applicable parts, also to licentiate theses.

Final editing of the doctoral thesis

After the final seminar, the preparation of the final version of the thesis begins. In addition to content issues discussed with the supervisor, there are also some formalities to keep in mind. Doctoral theses can be published in the Acta series (*Acta Universitatis Upsaliensis* is Uppsala University's publication series for monographs, dissertations and other work).

At the Department of Sociology, the general rule is that theses are published in the Acta series (compilation theses in the Faculty's Acta series). The publishing policy is described in *Appendix 8*.

When it comes to the final drafting and editing work, the following checklist may be used:

- Linguistic review and proofreading
- Check page numbers in citations and references
- Check list of references and verify that the list is consistently structured in accordance with the practices of the field
- Check consistency in references and notes, verifying in particular that literature references in notes also appear in the list of references
- Consistency with regard to heading styles
- Check of tables, charts, images, captions
- Design of the cover
- Writing of the preface. The formulation of these vary from case to case but should give thanks to those who have been helpful during the various processes of writing the thesis

Doctoral students are encouraged to, at a later stage of the thesis writing, become familiar with and apply the template for theses (final version) provided by the University Library. The University Library also offers courses in the use of the thesis template. The section for thesis production at the University Library manages the entire publication process for theses. More information can be found in the Medarbetarportalen. The doctoral student should always request a quote on printing costs before the thesis is sent for printing and submit the quote to the administrator.

²The same allowance - SEK 40,000 - applies for both monograph theses and compilation theses. This amount shall cover all the costs connected with the defence, including printing and compensation to the opponent and examination committee, and linguistic review and distribution of the thesis. Note that the so-called "duty edition" consists of 112 printed copies.

If the doctoral student decides to contract an external printing/publishing company for thesis production, the student must ask the Department to draft an agreement for this. (See Appendix 9, Agreement Template). The agreement regulates the publication allowance the doctoral student receives from the Department. This allowance corresponds to the standard costs for publishing through the section for graphic publication. The doctoral student is responsible for financing any printing and publishing costs in excess of the printing allowance. The contract is signed by the Head of Department and the doctoral student, and then entered in the official register. If an external printing/publishing company is contracted, it is important to follow the instructions prepared by the section for thesis production (see Medarbetarportalen).

Printing of the thesis

The Departments decide how many copies of the thesis will be printed. The Faculty Board has established a minimum edition of 112 copies, but the Department of Sociology applies a minimum edition of 200 copies. The doctoral student and the Department may agree on an expanded edition of the thesis which, where applicable, is paid for by the student. The standard edition is distributed as follows:

100 copies - the student receives for their own *private* use (friends and family, job applications, networking, etc.)

4 copies – examination committee and opponent

2 copies – supervisor (if applicable, 3 copies)

2 copies – to the Faculty Board

10 copies – to the University Library

~25 copies for the mailing list (can be increased somewhat in the event the student and/or supervisor has special requests about distribution; paid by the Department)

2 copies – Department archive

~30 copies for colleagues, handed out at party to celebrate thesis completion

~10 copies – handed out on day of public defence to attendees

Opponent and grading committee should have the dissertation electronically in advance. Distribution should be carried out in such a way that the thesis is available at least two weeks before the defence. Distribution is managed and paid for by the Department, which is also responsible for the preparation of relevant mailing lists for the thesis. The Department also prepares email lists for national and international dissemination of information on new doctoral theses.

All theses are stored electronically in the digital scientific archive, DiVA. The student decides if and when the thesis will be published digitally. The cost of the DiVA file is paid by the

Department. Questions about procedures for archiving and publishing in DiVA are answered by the University Library.

Public defence

The doctoral thesis must be defended orally at a public defence.

The defence may take place during the semester or during the summer break, though not from 15 June to 15 August. Permission may be granted by the Dean to hold the defence elsewhere.

The defence must be announced in good time (at least three weeks in advance) through electronic dissemination. The notice must thus be published digitally, but can also be posted on the notice board in the University Main Building.

The defence must be headed by a Chair. There must be an opponent and an examination committee at the public defence. Decisions concerning the Chair of the defence, opponent and examination committee are made by the Dean after application using a designated form which can be downloaded on the Faculty's website, www.samfak.uu.se.

Decisions about who will be included in the examination committee and who will be the opponent are taken by the Dean after reviewing proposals from the Director of graduate studies, who is delegated by the Head of Department. The proposal is prepared by the Director of Postgraduate Studies in consultation with the supervisor and the Board of Supervisors.

The opponent has the right to be present at meetings with the examination committee and participate in deliberations, but not in the decisions. The same applies to the supervisors. Examination committees at the Faculty of Social Sciences at Uppsala University are normally comprised of three members, one of whom is elected Chair. The composition should normally be as follows: one member comes from the student's own department, one member from another department in the Faculty of Social Sciences at Uppsala University and one member (sociologist) from another higher education institution.

The examination committee appoints the Chair from among its members.

Gender balance should be strived for in the selection of the examination committee. The examination committee should thus be composed of both men and women, unless there are exceptional reasons to preclude this. An exemption can only be granted by the Dean.

The opponent should normally have associate professor (docent) qualifications.

Doctoral theses are graded as either pass or fail. No justification for a passing grade should be specified in the certificate or in the deliberation records of the examination committee. A member of the examination committee who would like to enter a protest about the majority decision may note this dissenting opinion in the deliberation records or another decision document, though not

in the diploma. Grading shall take into account the contents of the thesis and the defence of the thesis.

All course credits should be completed before the public defence is held.

An administrative checklist of things to complete before the defence is provided as Appendix 10 of this manual. For a detailed description of how the defence is usually implemented, see the Higher Education Authority's website under www.doktorandhandbok.nu

Licentiate seminar

Licentiate theses shall be defended orally at a public seminar. The thesis is graded as either pass or fail. Grading shall take into account the contents of the thesis and the defence of the thesis. The grade is determined by an examiner appointed by the Head of Department. All course credits should be completed before the seminar is held. The time and place of the seminar will be decided by the Head of Department.

Degree

A diploma certifying completed and approved postgraduate studies is issued by the Graduation Office following application by the doctoral student. The application should be submitted only after all the courses have been reported to Ladok (the University's digital documentation system for studies at all levels).

PhD Conferment Ceremony

The very last step is the Conferment Ceremony, an academic celebration for all those who have received PhDs during the semester. You register yourself to the Conferment Ceremony. For more information and a link to the registration form, see the University's website. With questions, please contact doktorspromotion@uadm.uu.se

It is possible to participate in a Conferment Ceremony **up to three years** from the time of the public defence.

THE STUDENT AS AN EMPLOYEE

This section contains summary information about the doctoral student's employment status, salary conditions and rules of prolongation. Practical information about the workplace is compiled in *Practical Issues Related to the Workplace* in the *Medarbetarportalen* (under the *Department's* section).

Employment status

Conditions for doctoral studentships and employment status are regulated by the Higher Education Ordinance (HF chapter 5). For postgraduate students with doctoral studentships,

departmental duties may not comprise more than 20% of a full-time position (HF, chapter 5, section 2).

The period of employment as a doctoral student may extend for up to eight years, but the period of study may not exceed the equivalent of four years of full-time study. If the studies conclude with a licentiate degree, this time is a maximum of two years of full-time study. The general rule is that employment shall be full-time. Part-time employment can be no less than 50% of a full-time position.

Detailed conditions regarding the various benefits, rules for sick leave, parental leave, pension and insurance are provided in the Human Resources Department's HR Guide, which is available through the Medarbetarportalen.

Salary

Doctoral student wages are regulated locally under the ALFA Agreement (general compensation and benefit agreement), which was negotiated with the trade unions and contains local applications of the ALFA Agreement.

Year 1:

SEK 26,700

Year 2:

SEK 27,500

Year 3:

SEK 27,900

50% level: SEK 29,500

80% level: 32,200

“Year” refers to completed years as a doctoral student/assistant with study grants or other active postgraduate studies in the doctoral programme. Salary is increased as of the end of the month after a completed year.

“50%” and “80%” refer to the percentage of the studies completed until the doctoral degree. Normally, 50% should be achieved after 24 months and 80% after 38 months of full-time study. Salary should be increased as of the end of the month after the study results have been achieved.

Salary is not increased with completion of the doctoral degree, which is still paid at 80%. Doctoral studentships are not subject to salary increases due to new qualifications in the form of obtained doctoral degrees under the Guidelines for Salary Increases and other terms for special assignments, or by salary changes for advancement and new qualifications.

Vacation

According to the local union agreement annual vacation should be taken during the period of the summer when no teaching is scheduled, starting on the Monday following the midsummer

holiday, which is the so called “schablon” or standard vacation”. Standard-vacation is registered every year in October by the HR-department, which means you do not have to apply for that period of vacation. If you wish to take vacation during another time period, that does not conform to the standard-vacation, a written agreement between you and the head of department needs to be sent to the HR-department by May 31 at the latest. If the application for vacation is approved, then you should register each period of non-standard vacation in “Primula webb”.

Registration of level of activity

The level of research activity of doctoral students should be documented in [Ladok](#) (the University’s digital documentation system for studies at all levels) each calendar half-year. This applies to all graduate students who have not interrupted their postgraduate studies. This is regulated in the Ordinance on reporting of studies and other matters at universities and colleges (SFS 1993:1153).

Doctoral students submit supporting documents for reporting each semester as instructed by the administrator.

Grounds for prolongation

There are established rules for extension (prolongation) of the period of employment due to departmental duties, parental leave, illness, or elected office. It should be noted that the period of salaried postgraduate studies is extended *‘only if there are special reasons for this. Such reasons may include time off due to illness, leave for service in the armed forces or for elected office in trade unions and student organisations, or parental leave* (HF chapter 6 section 29). See also the rules concerning prolongation in the document *Extensions of Study Grants and Doctoral Studentships* for Doctoral Students Holding Elected Office, which can be found on the Faculty of Social Sciences website.

The grounds for prolongation are summarised here only briefly. More information can be found in the document

Departmental duties

For departmental duties (in normal cases teaching and/or seminar coordination), the four-year doctoral studentship (calculated on a full-time basis) will be extended accordingly. The provisions on working hours for doctoral students are regulated in the Higher Education Ordinance as follows:

Any person who is employed as a doctoral student shall primarily devote themselves to their own studies. Those appointed to doctoral studentships may, however, work to a limited extent with educational tasks, research, artistic research and administration. Before a PhD or a doctorate in the fine, applied and performing arts has been awarded, however, duties of this kind may not comprise more than 20 per cent of a full-time post (HF chapter 5 section 2).

The Department of Sociology applies the policy that the doctoral student can teach 20% the first year. Teaching or other departmental duties in addition to this are offered as may be necessary, though at not more than 20% of a full-time position for the duration of the doctoral programme period. The total of 20% teaching in the first year can be distributed over several years by agreement between the Department and the student. Principles for the conversion factor between teaching hours and clock hours are regulated by the local ALFA Agreement. The standard applied by the Department of Sociology in the case of lectures, seminars and examinations is described in *Academic Staffing and Compensation*, available in the Medarbetarportalen under the Department of Sociology's section.

Doctoral students may devote 10% of the time they spend on teaching (or other departmental duties) to participating in Department-wide activities, such as teacher days. For anyone who teaches 20%, this would mean that 2% could be devoted to Department activities, as described above. Departmental duties other than teaching need to be approved by the Director of studies.

The doctoral student can choose whether the teaching course should be counted as a Departmental duty or settled through prolongation of the period of study.

Parental leave, temporary parental benefits and sick leave

Parental leave entails both prolongation for the time that parental leave has been taken and extra prolongation according to the resolution of the Faculty Board. Parental leave only entails prolongation if the doctoral candidate has been on leave for at least 14 days per calendar year. This applies from 1 January 2019. You can split your parental leave into, at most three separate periods per calendar year. A new period is implied when the percentage of leave being taken changes, i.e. if a doctoral candidate changes from full time to half time leave. Request for a new leave should be applied for at least two months before the leave starts. This is described in more detail in the following document: *Prolongation due to parental leave (SAMFAK 2009/2)*, available on the Faculty of Social Sciences website.

Temporary parental benefits and sick leave entail "day by day" prolongation for the days the sick leave has lasted or temporary parental benefit has been taken out. Reporting is done through Primula according to instructions from the administrator.

Leave of absence must be approved by the director of studies and an application made at least two months ahead of time.

At the end of the doctoral contract, 10 extra prolongation days will be automatically added to the contract. This covers sick leave, temporary parental benefits and single parental leave-days, which should not then be applied for separately. The rule applies from 1 June 2019.

Elected office

From the spring semester of 2012, doctoral candidates are compensated for participating in the Department Board (IS) or the CESAR Board with one (1) day for every board meeting, which covers preparation and reading of documents. Doctoral representatives' attendance at doctoral lunches, FUN and HK are compensated with 8 days. Participation in the work environment group is compensated with one (1) day per meeting, covering preparation and reading of documents.

Prolongation for elected office at the Faculty and University level are regulated in [Extensions of Study Grants and Doctoral Studentships for Doctoral Students Holding Elected Office](#) and in the Faculty of Social Science's supplemented guidelines (SAMFAK 2009/132), *available on the Faculty of Social Sciences website*.

The doctoral candidate is responsible for filling out the prolongation form with all relevant information concerning prolongation and for including documents to support the rationale for prolongation. The completed prolongation form and the supporting documents should be handed in to the HR-generalist once per year. It is possible to book a meeting with the HR-generalist to go over the prolongation document once in the autumn and once in the spring.

Financial resources available to doctoral students

Each doctoral student is allocated a fixed allowance of SEK 25,000 for the entire period of study for e.g. participation in conferences. This allowance is allocated in consultation with the student's supervisor. There are also scholarships and grants that can be applied for. Information on scholarships for undergraduate, graduate and postgraduate students is compiled in the <http://www.uu.se/student/stipendier//> and on the Uppsala University Foundations Management of Estates and Funds website, <http://www.uaf.uu.se/>

The Student Union and Nations also offer scholarships. More information about these can be obtained from the Uppsala Student Union, <http://www.uppsalastudentkar.se>

Work environment

According to the Swedish Work Environment Authority's regulations on systematic work environment management, employers must regularly investigate, take measures and follow up activities in such a way as to prevent ill-health and accidents at work and ensure that a satisfactory working environment is achieved.

A good physical, mental and social working environment should characterise all work at Uppsala University and thus contribute to the success of all University activities. The work environment must be designed so that it sets the stage for job satisfaction, development opportunities and

security. Work environment group will be a natural part of the daily work (Work Environment Policy for Uppsala University UFV 2005/1757).

A plan for the work environment is established annually as part of operational planning in the Department. Serious work environment risks arising in the course of the year must be addressed immediately, if possible.

The current work environment plan is available in the Medarbetarportalen under the Department's section.

In the Work Environment Group the representatives of the employer and the representatives of the employee shall come to an agreement regarding the major features of the work environment work that concern the whole workplace. The Work Environment Group should participate in planning and monitoring the work environment conditions and work with overall and principal matters. The Work Environment Group participates in the planning of the work environmental work but cannot take over any responsibility of the work environment from the employer.

The Work Environment Group also has responsibility for planning and monitoring equal opportunities-work, including establishing and revising the gender equality plan.

The composition and meeting forms of the Work Environment Group are regulated in the Working regulations.

Equal opportunities and diversity

Uppsala University works to ensure equal conditions among the University's students and employees and in the work carried out within the University. The work for equal conditions will meet both internal and external requirements and contribute to the achievement of the objectives formulated in the *Goals and Strategies for Uppsala University* (available on the University's website). The Head of Department has ultimate responsibility for ensuring that goal-oriented initiatives are implemented for equality, diversity and non-discrimination. At the Department of Sociology, the Work Environment Group is responsible for the planning and monitoring of equal-condition work, including the establishment and revision of the gender equality plan.

The Department's equality plan (plan for equal opportunities) is available in the Medarbetarportalen under the Department's section.

Postgraduate union work

This section discusses doctoral student trade union work within the Faculty of Social Sciences and work with the Uppsala Student Union.

The Social Sciences Doctoral Students' Council (SDR) is a council which brings together doctoral students within the Faculty of Social Sciences. Each department may have two representatives on the Council.

Social Sciences Doctoral Students' Council (SDR):

- allocated assignments at various levels where graduate students from our Faculty should be represented. These may include the Faculty Board, Quality Committee, Equal Opportunity Committee, Recruitment Group for Lecturers, Recruitment Group for Professors and Research Assistants and the Scholarship Board (all of these groups are at Faculty level).
- is represented by one representative and one substitute member on the PhD Students' Board (also called the Doctoral Board) of the Uppsala Student Union.
- monitors the ongoing work within the University, and particularly within the Faculty, with a particular emphasis on postgraduate issues, through doctoral student representatives in the various groups.
- exchanges information about what is happening on different departments. The ability to compare departments may make it easier to push through proposed changes. SDR also makes it possible to determine what applies formally – can the Department, under current regulations and guidelines, act in a certain way?

For more information, see

<http://www.samfak.uu.se>

<http://dn.uppsalastudentkar.se/content/about-us>

Doctoral student lunches

The doctoral student lunch is a common forum where doctoral students at the Department of Sociology discuss issues related to doctoral studies, the students' work situation, work environment, and other matters specific to doctoral students. Issues under debate in the Board of Supervisors (HK), the Department Board, the Board of CESAR and FUN are also discussed at the doctoral student lunches. The doctoral student lunches are also a channel for students to raise questions to the Board of Supervisors, the Department Board, the Board of CESAR and FUN. Doctoral student representatives to the Department Board, the Board of CESAR the Board of Supervisors and FUN are also nominated at the lunches. Doctoral student representatives function as a link between HK and the doctoral student collective and can mediate information from HK to the doctoral lunches and vice versa.

Doctoral student lunches are held several times each semester, usually in conjunction with a forthcoming FUN meeting. Lunches are usually held on Mondays from 11.30-13.00 in the Segerstedt room. Each semester, a doctoral student is designated as Convenor for doctoral student lunches during the semester.

Appendixes:

Appendix 1. Compilation of department-wide policy documents and regulations for doctoral studies at Uppsala University

Appendix 2. a; b Outline for Essay and Research Assessment

Appendix 3. Guidelines for Appointing Supervisors

Appendix 4. Usual Inclusion Practices

Appendix 5. Course Evaluation Template

Appendix 6. a; b; c Compilation Theses Guidelines

Appendix 7. Instructions to Opponents (HP and FUN 5 February 2014)

Appendix 8. Publication Policy (HP 19 October 2011)

Appendix 9. Template - Standard Contract for Thesis Printing (external publishers)

Appendix 10. Checklist for Defence