

**Instructions and comments
regarding individual study plans
within the Humanities and Social
Sciences Academic Area, Stockholm
University**

Board of Humanities, Law and Social Sciences

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General regulations	<p>General regulations</p> <p>These instructions and the forms for individual study plans were designed with reference to the general regulations of the Higher Education Act (HL)ⁱ and the Higher Education Ordinance (HF)ⁱⁱ, Stockholm University's local regulations for doctoral studiesⁱⁱⁱ (found in Book 2^{iv} of the Rules & Regulations), as well as the decision-making and delegation policies for Stockholm University and the Humanities and Social Sciences Academic Area. Additional documents used include the Swedish Higher Education Authority's (UKÄ) reports and regulatory decisions.</p> <p>In addition, each faculty has local guidelines for doctoral studies describing the implementations in more detail.^v</p>
Ladok	<p>As decided by the Vice-Chancellor, Ladok is the University's official register of doctoral students since 1 January 1996.^{vi} What information about a doctoral student should be documented in Ladok is described in the document <i>Beslut om studiedokumentation vid Stockholms universitet (Decision regarding study documentation at Stockholm University)</i>.^{vii} This information forms the basis of the individual study plan.^{viii}</p> <p>These instructions should serve as guidelines in the preparation, review, and revision of individual study plans. Together with the forms, the instructions help ensure that the preparation and adoption of doctoral students' individual study plans are carried out in a legally secure manner. Both the instructions and the forms for individual study plans apply throughout the Humanities, Law, and Social Sciences. The forms are available on the website of each faculty.^{ix}</p>
Directors of studies	<p>If you have any questions about individual study plans, please contact the faculty director of studies at the relevant faculty office.</p>
Distribution of responsibilities	<p>Distribution of responsibilities</p> <p>The distribution of responsibilities in various parts of the process relating to doctoral students' individual study plans is determined by the relevant department.</p> <p>Both the appointed supervisors and the doctoral student should contribute to making the study plan a living document.</p>
Registration	<p>Registration and filing</p> <p>As a government agency, Stockholm University is required to register and file public documents in archives. As a general rule, documents created at Stockholm University are public.</p>



Confidentiality However, when someone requests to see a public document or a piece of information therein, a confidentiality assessment should always be carried out in order to determine whether the entire document or parts thereof can be disclosed. Please refer to the Staff website for more information about transparency and confidentiality.^x

For practical reasons, one might thus consider putting information relating to the individual study plan that may be perceived as sensitive in appendices. This may facilitate disclosure in the event of partial confidentiality.

Filing The department is responsible for registering and filing the originals. A copy should be provided to the doctoral student, the supervisors, and other concerned parties in accordance with the current guidelines at each respective faculty.

An individual study plan must be drawn up for each doctoral student

The study plan should include the obligations of the university and the doctoral student, as well as a timetable for the doctoral student's training.^{xi}

In addition, Stockholm University prescribes that the individual study plan should include a financial plan for the doctoral student's training, information relating to the way in which the supervision is organised, and anything else required for the studies to be pursued in an effective manner.^{xii}

ASP – ISP When drawing up and revising the individual study plan (ISP), the course and knowledge requirements of the general syllabus (ASP) must be taken into account.

ISP as support in reviews The individual study plan should be sufficiently detailed to serve as support and a basis for discussion for the student and the supervisors. In addition, it should be designed to facilitate the annual review of the training. This does not mean that the initial plan cannot be less detailed with regard to later parts of the training; however, the plan that constitutes the basis for the annual review should be as detailed as possible.

ISP as a means of control The individual study plan is an important means of control for the university when the doctoral student or the University neglects their obligations under the individual study plan. When the doctoral student and the University have different opinions on how the training should be conducted, it may be difficult for the doctoral student to determine what rights and obligations he or she has if an individual study plan has not been adopted.

Individual study plan – General information

The forms The individual study plan is divided into two documents.



Establishment	<p>The first individual study plan, including a financial plan, should be drawn up in connection with admission.</p> <p>The form for individual study plans should also be used for doctoral students who resume their studies after an extended break, but for whom an individual study plan has previously not been adopted.</p>
Follow-up review	<p>The review form is normally used in the planned follow-up review of the most recently adopted individual study plan.</p> <p>In addition, the review form should be used in any necessary revision of an adopted individual study plan. A revision should be carried out as soon as possible if called for due to changes that affect the department's or the doctoral student's ability to fulfil their obligations in accordance with the most recent plan (e.g. a change of supervisors).</p> <p>The reasons for the revision should always be specified.</p>
Period of validity	<p>It should be specified to which time period the individual study plan applies (no more than one year). The first individual study plan, which is drawn up in connection with admission, applies to the entire period of study, but must be reviewed within a year.</p>
Admission	<p>Admission details should be specified in the form for individual study plans.</p>
Credit transfer	<p>If the period of study (net study time) is shortened due to credit transfer, this should be specified in the relevant comments field.</p>
Change of general syllabus	<p>The general syllabus for the field of study to which the doctoral student has been accepted applies to the entire period of study regardless of any newer versions. If the doctoral student, upon request, decides to move over to a newer version, this should be specified as a reason for revision during the follow-up review.</p>
<p>Work space and other resources</p> <p>The number of doctoral students admitted to third-cycle programmes may not exceed the number that can be offered supervision and otherwise acceptable conditions for study, and whose studies are funded.^{xiii}</p> <p>“Otherwise acceptable conditions for study” means that the doctoral student will be provided with a work space and the working conditions required to complete the training.^{xiv}</p>	
Access to resources	<p>Each faculty may have more specific terms and conditions regarding the access to additional financial resources, beyond the doctoral student's regular funding, that are</p>



used to cover costs for conferences, etc.

Doctoral students with a doctoral studentship at Stockholm University have the same benefits, rights, and obligations as other employees.^{xv}

Financial plan

An applicant may only be admitted to a third-cycle programme if he or she will be appointed to a doctoral studentship. However, an applicant with another type of funding may be admitted if the higher education institution believes that funding can be secured throughout the training and the applicant is able to devote enough time to the training for it to be completed within four years in the case of a licentiate degree or eight years in the case of a doctoral degree.^{xvi}

Funding

Information concerning the doctoral student's funding should be specified in the individual study plan. Doctoral students are normally employed through a doctoral studentship,^{xvii} although other types of funding may occur.^{xviii xix}

A doctoral student may have a combination of different types of funding, but the specified funding should only relate to those activities that constitute doctoral studies. Moreover, the total sum of all types of funding should always amount to 100 per cent.

The following types of funding are available as options in Ladok:

Doctoral studentship

Doctoral studentship at a university, regardless of who is funding the employment.

Other types of funding

Other university employment (than as a doctoral student) at any university (including universities in other countries) that allows for doctoral studies to be pursued within that employment. Enter the registration number of any applicable agreement.

Externally employed doctoral student, i.e. a doctoral student who is employed at, and receives salary from, a company^{xx} and is pursuing doctoral studies within that employment (sometimes called industry-employed doctoral student). University employment funded by a company should not be specified here, but under another appropriate type of funding.

Gainful employment with a connection to doctoral studies – Other employment outside the university (other than at a company) that allows for doctoral studies to be pursued within that employment, e.g. employees of government agencies, municipalities, county councils, or trade unions. Gainfully employed teachers in primary and secondary schools who are studying at a graduate school for teachers also fall into this category.

Scholarship – including foreign scholarships (however, a so-called *allowance* from



Sida is treated as *Other university employment*).

Private funding
Funding
depleted

Other funding with no connection to doctoral studies – Either no funding or gainful employment with no connection to doctoral studies.^{xxi} This includes doctoral students whose funding is depleted, as well as doctoral students admitted without a funding requirement before 1 April 1998.^{xxii}

General planning of studies

General
timetable

The form for individual study plans should contain a general plan for the studies. If necessary, this plan can be revised in the review form.

Type of thesis

Here it should be stated whether the thesis is planned to be written as a monograph or compilation thesis. If necessary, this can be revised in a future review.

Rate of study

The planned rate of study (degree of activity) should be specified as a percentage of full-time study. A doctoral studentship should be a full-time position. The position may be part-time if the doctoral student so desires, but never less than 50 per cent of full-time.^{xxiii}

Students appointed to a doctoral studentship should primarily devote themselves to their own education. However, they may, to a limited extent, engage in teaching, research, artistic research, and administration. Before the completion of a doctoral degree, such duties may not exceed 20 per cent of a full-time position.^{xxiv}

Departmental
duties

The individual study plan should state whether the doctoral student will have any departmental duties, as well as the planned extent and scheduling of any such duties. The first plan may need to be revised in subsequent years, but the departmental duties may not exceed 20 per cent of full-time, spread over the entire period of study, and should lead to a corresponding extension of the doctoral studentship.^{xxv}

When it comes to doctoral students who are conducting their training in the context of another type of employment than a doctoral studentship at Stockholm University, the conditions regarding any departmental duties should be specified in an agreement between the department and the employer.

Doctoral student
pay scale

When drawing up the individual study plan, times should be specified for when the doctoral student is expected to advance on the doctoral student pay scale (“doktorandstegen” – the requirements for which are specified under *Planned content of the doctoral student’s studies*) and during what semesters the final seminar (or equivalent) and the public defence of the thesis are planned to take place. If necessary, these preliminary times may be revised in the review form.

Planned content of the doctoral student's studies

In addition to the provisions for first- and second-cycle studies, third-cycle (doctoral) studies should provide the knowledge and skills required to be able to conduct independent research.^{xxvi}

The general degree objectives for doctoral studies are specified in the *System of Qualifications*.^{xxvii}

The plan for how the individual doctoral student will achieve the objectives can either be documented using one of the models provided by the academic area, or in another way.

Courses and
other elements

This section of the forms should contain a plan regarding what courses and other mandatory elements the doctoral student should complete during the individual study plan's period of validity, as well as which intermediate goals in the thesis project the doctoral student is expected to achieve. In addition to a plan for the following year, the individual study plan should include a rough plan of the content of the doctoral student's training until the planned public defence. This plan should ensure that the doctoral student is able to meet the requirements to advance on the doctoral student pay scale ("doktorandstegen") in accordance with the plan in the *General planning* section.

Both credit-bearing and other non-credit-bearing elements should be specified, e.g. conferences, seminars, workshops, project work, research visits, and planned thesis components (chapters, articles, data collection, etc.).

The extent of other mandatory elements, including parts of the thesis project, should, where applicable, be specified in higher education credits.

Supervision

Two supervisors

At least two supervisors should be assigned to each doctoral student. One of them should be appointed principal supervisor. Doctoral students are entitled to supervision during their training, unless the Vice-Chancellor decides that the doctoral student is no longer entitled to supervision or other study resources. Doctoral students are entitled to change supervisors upon request.^{xxviii}

At least one of a doctoral student's supervisors should have undergone training in supervision or be considered by the academic area board to have corresponding qualifications.^{xxix}

When planning the supervision, the distribution of responsibilities – both in terms of time and content – between the supervisors during the study plan's period of validity



should be specified. The plan should be sufficiently detailed to facilitate a follow-up review.

Extent and distribution of responsibilities

The extent of supervision may vary depending on how far along in the studies the doctoral student has come and will be adapted to the doctoral student's rate of study. However, continuous supervision is assumed regardless of the rate of study.

Change of supervisors

A change of supervisors must be documented in both Ladok and the individual study plan.

Follow-up review

The individual study plan should be reviewed regularly and, in consultation with the doctoral student and his or her supervisors, be amended to the extent necessary.^{xxx}

The responsibility for ensuring that the individual study plan is reviewed is specified in the decision-making and delegation policies of the relevant faculty.

Review interval

The individual study plan should be reviewed at least once a year. The doctoral student and the principal supervisor should confirm in writing that they have read the individual study plan and any changes made to it.^{xxxi}

The study plan should be reviewed at least once a year regardless of the rate of study, the type of funding, or whether the funding has ceased.

Extension of doctoral studentship

A doctoral studentship should last for an indefinite term, but no longer than until a specific date, and never longer than one year after the student is awarded his or her doctoral degree. The term of the initial contract may not exceed one year. The contract may be extended for a maximum of two years at a time.^{xxxii}

The review should be planned in good time before the end of the doctoral studentship. Both the doctoral student and the supervisors are responsible for the review meeting taking place on the appointed date and in good time before a new individual study plan needs to be adopted.

The employment should not be extended until a qualitative review of the doctoral student's progress has been conducted. In addition, not too much time should pass between the review and the decision whether or not to extend the doctoral studentship.

Progression of studies

In the review, the doctoral student's progress should be evaluated in accordance with the planning in the most recently adopted study plan.

Fill in the completed courses, other mandatory elements in the general syllabus, and intermediate goals in the thesis project. Credit-bearing courses and other elements



should be documented in Ladok and can be checked against a Ladok certificate.

If it is found that the doctoral student has not fulfilled his or her obligations in accordance with the most recent individual study plan, it should be specified in which respect the plan has not been followed. Where appropriate, additional documentation should be enclosed with the individual study plan.

An assessment of whether a doctoral student has substantially neglected the obligations described in the individual study plan should take into account whether the university has fulfilled its own obligations described in the individual study plan.^{xxxiii}

Review of supervision

Supervision is a part of the university's obligations and should thus be included in the review.

A third party at the department – the head of department or another appointed person – should be responsible for verifying that the supervision has been carried out in accordance with the most recent individual study plan.

Remaining part of doctoral studies

A person may be appointed to a doctoral studentship for a total of eight years. However, the total period of employment may not exceed the equivalent of four years of full-time study.^{xxxiv}

The period of study may only be extended under special circumstances, which may involve sick leave, military service, elected positions in trade unions or student organisations, or parental leave.^{xxxv}

In practice, this means that a doctoral student who takes a temporary leave from his or her studies – and thus will not receive a doctoral student salary due to illness, parental leave, or military service – will have his or her period of employment extended by the corresponding time period.

Ladok support

Activity and funding should be registered in Ladok in June and December. Statistics Sweden (SCB) is a recipient of the information registered in Ladok, and in order for SCB to receive as accurate information as possible, it is good to use the calculation support in Ladok when a doctoral student is not studying at 100%. In the calculation support in Ladok, it is possible to divide the semester into very small parts if necessary. The average degree of activity during each six-month period will then be displayed as a percentage.^{xxxvi}

Absence report

There is no direct link between the HR system Primula and Ladok. It is possible to retrieve an absence report from Primula and use this as the basis for the registration in Ladok.^{xxxvii}



If a doctoral student is employed by a different employer than Stockholm University, the doctoral student should submit an equivalent absence report to the department.

Doctoral students funded by scholarships are also required to report absence due to illness or parental leave.^{xxxviii}

Please note that it is primarily the doctoral student's responsibility to notify the department that his or her absence will affect the planning of the training and that it will be necessary to revise the current individual study plan. The supervisor is responsible for calling for a revision of the individual study plan if it is clear that the original timetable cannot be met.

Net study time Information about the remaining net study time should be retrieved from Ladok, which is the official register of the doctoral student's activities.

If the doctoral student's net study time (equivalent to four years of full-time study) has been used up, this should be specified by checking the box. However, the doctoral student is still entitled to supervision and other resources.

Prolongation A doctoral student with a doctoral studentship should, as compensation for student union work, be granted prolongation. The prolongation should correspond to the required work effort. Only assignments as an elected representative can be used as a basis for prolongation (no more than 40 working days a year). The assignments should be documented in an appendix to the individual study plan. Please refer to *Prolongation av doktorandanställning och utbildningsbidrag (Prolongation of doctoral studentship and doctoral grant)* for more information about what type of assignments can be used as a basis for prolongation, as well as how to calculate the level of compensation.^{xxxix}

Additional comments

Additional comments Any additional comments that do not fit in any other section of the forms can be entered here.

Appendices to the individual study plan

Appendices Appendices that complement the documentation in the individual study plan should be listed in the appropriate place in the forms and enclosed with the individual study plan.

Signatures

Signature Normally, the doctoral student and his or her supervisors should approve the content in the individual study plan with their handwritten signature. If any party is unable to sign the original, they may, for example, scan a signed copy and send it by e-mail to the department, which will add it to the original.

If there are any reservations against the content, this should be stated in the comments field and, if necessary, an appendix.

Approval

Approval

The study plan should be adopted upon consultation with the doctoral student and his or her supervisors.^{x1}

The adoption of an individual study plan normally requires consultation with the doctoral student and the supervisors, but when the doctoral student and the university have different opinions on how the training should be conducted, the ultimate responsibility for adopting the individual plan rests with the university.^{x1i}

Entitlement to supervision and other resources

If a doctoral student substantially neglects his/her obligations described in the individual study plan, the Vice-Chancellor should decide that the doctoral student is no longer entitled to supervision or other study resources. Before such a decision is made, the doctoral and his/her supervisors should be given an opportunity to be heard. The case should be considered on the basis of their accounts and any other records available. The assessment should take into account whether the higher education institution has fulfilled its own obligations described in the individual study plan. A written record of the decision should be made, which is to include reasons for the decision.^{x1ii}

When necessary, it is the department board that recommends to the faculty board that the right to supervision and other resources be revoked. Otherwise, the process follows the provisions adopted by the Vice-Chancellor in the *Regulations for Doctoral Studies at Stockholm University*.^{x1iii}

Resources may not be withdrawn for any period in which the doctoral student is appointed to a doctoral studentship or is receiving a doctoral grant.^{x1iv}

Therefore, it is important that a qualitative review of the individual study plan takes place before the employment is extended.

If study resources have been withdrawn pursuant to a decision by the Vice-Chancellor, the doctoral student may, on application to the Vice-Chancellor, recover his/her entitlement to supervision and other resources. The doctoral student must then demonstrate convincingly, by presenting prospective study results of considerable quality and scope (or in some other way), that he/she can fulfil his/ her remaining

obligations in the individual study plan^{xlv}

The doctoral student should submit the application concerning recovery of resources to the Vice-Chancellor. Otherwise, the process follows the provisions adopted by the Vice-Chancellor in the *Regulations for Doctoral Studies at Stockholm University*.^{xlvi}

References and endnotes

- ⁱ Higher Education Act SFS 1992:1434 <http://www.notisum.se/rnp/sls/lag/19921434.htm>
- ⁱⁱ Higher Education Ordinance SFS 1993:100 <http://www.notisum.se/rnp/sls/lag/19930100.htm>
- ⁱⁱⁱ Primarily Admission Regulations for Doctoral Studies at Stockholm University (University Board 2014-12-05, Reg. no. SU FV-1.1.2-3204-14), *Regulations for Doctoral Studies at Stockholm University* (Vice-Chancellor 2014-12-18, Reg. no. SU FV-1.1.2-0138-14) and *Prolongation av doktorandanställning och utbildningsbidrag (Prolongation of doctoral studentship and doctoral grant)* (Vice-Chancellor 2011-10-13, Reg. no. SU 617-2653-11)
- ^{iv} <http://www.su.se/regelboken/>
- ^v Faculty of Humanities <http://www.hum.su.se/>, Faculty of Law <http://www.jurfak.su.se/>, Faculty of Social Sciences <http://www.samfak.su.se/>
- ^{vi} *Dokumentation av uppgifter om forskarutbildning vid Stockholms universitet (Documentation of information about doctoral studies at Stockholm University)* (Vice-Chancellor 1995-11-30)
- ^{vii} *Beslut om studiedokumentation vid Stockholms universitet (Decision regarding study documentation at Stockholm University)* (Student Services 2009-09-11, Reg. no. SU 40-2057-09)
- ^{viii} For more information, see *Manual – Forskarladok* on the Staff website (in Swedish) <http://www.su.se/medarbetare/it/st%C3%B6dsystem/ladok/manualer-och-handb%C3%B6cker-1.162221>
- ^{ix} Faculty of Humanities <http://www.hum.su.se/>, Faculty of Law <http://www.jurfak.su.se/>, Faculty of Social Sciences <http://www.samfak.su.se/>
- ^x <http://www.su.se/medarbetare/service/juridik-upphandling/juridik>
- ^{xi} HF 6:29
- ^{xii} *Regulations for Doctoral Studies at Stockholm University* Vice-Chancellor 2014-12-18, Reg. no. SU FV-1.1.2-0138-14
- ^{xiii} HF 7:34
- ^{xiv} *Admission Regulations for Doctoral Studies*, Adopted by the University Board 2014-12-05. Reg. no. SU FV-1.1.2-3204-14

^{xv} See Villkorsavtal-SU (in Swedish)

<http://www.su.se/medarbetare/personal/anst%C3%A4llningsvillkor/avtal>

^{xvi} HF 7:36

^{xvii} The labour organisations have expressed the need for certain additional information when hiring new staff and admitting new doctoral students. Information and forms are available on the Staff website: <http://www.su.se/medarbetare/personal/personaladministration/doktorandanställning>

^{xviii} If the training is not funded by means of employment, the financial plan should specify what social benefits apply to the type of funding in question, for example in the event of illness or parental leave (*Regulations for Doctoral Studies at Stockholm University*, Vice-Chancellor 2014-12-18, Reg. no. SU FV-1.1.2-0138-14).

^{xix} The decision to admit a doctoral student funded by other means than a doctoral studentship or a doctoral grant may not be delegated further than the faculty level in accordance with Stockholm University's decision-making and delegation policies (Vice-Chancellor 2014-02-12, Reg. no. SU FV 1.1.2-3792-13, doc. no. 2).

A minimum level for other types of funding is what might have been obtained in the form of a doctoral studentship, after tax (*Admission Regulations for Doctoral Studies at Stockholm University*, University Board 2014-12-05. Reg. no. SU FV-1.1.2-3204-14).

^{xx} "Company" refers to any limited company (including state-owned companies, banks, and insurance companies), trading partnership, limited partnership, or sole proprietorship.

^{xxi} A doctoral studentship may be funded by grants or external funding to the university. For other types of funding than doctoral studentships, the money is tied to a specific individual, e.g. through employment with another employer than Stockholm University, scholarships, or private funding. Private funding refers to full-time or part-time work, personal wealth, retirement pensions, or financial support from another person or organisation.

^{xxii} Requirements for guaranteed funding for admission to doctoral studies were introduced in the research education reform in 1998. *Forskarutbildningsreformen 1998 – genomströmning och examination*, HSV 2007:35R

^{xxiii} HF 5:3a

^{xxiv} HF 5:2

^{xxv} Doctoral students who teach first- or second-cycle courses must have completed introductory training in teaching and learning in higher education or have otherwise acquired equivalent knowledge. *Regulations for Doctoral Studies at Stockholm University*, Vice-Chancellor 2014-12-18, Reg. no. SU FV-1.1.2-0138-14.

^{xxvi} HL 1:9a

^{xxvii} *Examensordningen (System of Qualifications)* (HF Annex 2)
<http://www.notisum.se/rnp/sls/lag/19930100.htm>

^{xxviii} HF 6:28 – The provisions that at least two supervisors should be assigned to each doctoral student, and that at least one of them should have undergone training in supervision or be considered to have corresponding qualifications, apply to doctoral students who start their training after the end of June 2007 (HF *Transition arrangements*).

^{xxix} *Regulations for Doctoral Studies at Stockholm University*

^{xxx} HF 6:29

^{xxxi} *Regulations for Doctoral Studies at Stockholm University*, Vice-Chancellor 2014-12-18, Reg. no. SU FV-1.1.2-0138-14

^{xxxii} HF 7:5

^{xxxiii} HF 6:30

^{xxxiv} HF 5:7

^{xxxv} HF 6:29

^{xxxvi} *Manual – Forskarladok*, Ladokgruppen 2013 <http://www.su.se/medarbetare/it/http-www-su-se-medarbetare-it-st%C3%A3-dsystem/ladok/forskarstuderande-1.162199>

^{xxxvii} The Human Resources Office's staff administration pages
<http://www.su.se/medarbetare/personal/personaladministration>

^{xxxviii} The Human Resources Office's information on health and parental insurance for doctoral students with scholarships <http://www.su.se/medarbetare/personal/anstallningsvillkor/forsakringar>

^{xxxix} *Prolongation av doktorandanställning och utbildningsbidrag (Prolongation of doctoral studentship and doctoral grants)*, Vice-Chancellor 2011-10-13, Reg. no. SU 617-2653-11

^{xl} HF 6:29

^{xli} *Upprättande av en individuell studieplan och byte av handledare i utbildning på forskarnivå (Drawing up an individual study plan and change of supervisors)*, Regulatory decision 2014-02-26, UKÄ Reg. no. 31-475-13

^{xlii} HF 6:30

^{xliii} Vice-Chancellor 2014-12-18, Reg. no. SU FV-1.1.2-0138-14

^{xliv} HF 6:30

^{xlvi} HF 6:31

^{xlvi} Vice-Chancellor 2014-12-18, Reg. no. SU FV-1.1.2-0138-14