

Admission to third-cycle education financed by scholarship – Conditions and management rules

Conditions

Conditions for the candidate

The basic requirements for admission to third-cycle education are the same regardless of the type of financing. The candidate must:

- fulfil the general and specific entry requirements (see general syllabus for the third-cycle subject concerned), or be granted an exemption from the entry requirements. (Decisions on admission are taken by the dean. Decisions on exemptions from the entry requirements are therefore also taken by the dean, based on a proposal from the head of department.)
- otherwise be deemed to have the ability required to benefit from the study programme (in accordance with the faculty's guidelines for selection, see Link 1 below).

Conditions concerning the origin and purpose of the scholarship

The Swedish Higher Education Ordinance (Chapter 5, Section 4) states that a doctoral student in receipt of a doctoral grant shall be appointed to a doctoral studentship no later than the date on which there remains a period of study of three years, i.e. after one year. However, the doctoral student does not need to be appointed if the grant is awarded “as part of 1) an aid and capacity building programme in which grants are an accepted form of funding with reasonable terms and conditions and the admitting higher education institution has insight into these terms and conditions and into how the grant is paid, or 2) a programme funded by the European Union or other partnerships, in which grants with reasonable terms and conditions comprise an accepted form of funding and where requirements for funding through employment are a barrier to participation for the admitted higher education institution.”

The dean has decided (16 January 2018) that scholarship holders shall not be admitted to the Faculty of Science unless they fall under the exception above, and thus do not need to be appointed after one year.

A scholarship is therefore only allowed if it meets the conditions above. The Higher Education Ordinance does not provide any clear definition of what “aid and capacity-building programme” means, but at LU, the Research Programmes Board, after consulting with several other major higher education institutions in Sweden, has agreed on the following interpretation, which has also been approved by the management of the Faculty of Science:

Aid and capacity-building programmes are programmes from countries included in the list from the DAC/OECD that applied at the time of the doctoral student's admission to third-cycle education, and involves capacity-building cooperation in accordance with the Swedish International Development Cooperation Agency's definition: capacity-building is a process in which individuals, groups and organisations develop their ability to identify and manage challenges that they face during the development process.

In addition, the LU admission rules (STYR 2017/409) state that an external scholarship may not have conditions attached by the funder relating to performance during the doctoral student's studies.

Financial conditions of the department

The Higher Education Ordinance (Chapter 7, Section 36) states that for a doctoral student financed by a scholarship, the funding is regarded as guaranteed if the level of the scholarship is equivalent to the pay level for appointed doctoral students at the same department, after tax. (The average tax rate, which is annually published by Statistics Sweden, shall apply when calculating the equivalent doctoral student salary after tax. In 2019, the rate was 32.19%). If the scholarship does not correspond to a doctoral student salary after tax, according to the LU admission rules, a supplementary scholarship must be provided to ensure that the initial scholarship together with the supplementary scholarship amount to the corresponding doctoral student salary after tax. Decisions on supplementary scholarships must be taken before admission. In addition, the supplementary scholarship shall gradually be increased, so that the level of remuneration corresponds to the incremental salary increase for doctoral students.

The LU admission rules state that supplementary scholarships may not account for more than 49 per cent of the total scholarship sum. (Therein lies ambiguity, however: the incremental salary increase for doctoral students may be revised during the doctoral student's education, which means that the final pay level is not known at the time of admission. The assessment of the scholarship's level of remuneration must therefore allow for some margin.)

Scholarships may not be based on direct government funding, which means that the department must have other funds available to be able to offer a supplementary scholarship. The funding may come from the Wallenberg Foundation or other private foundations where the funding body explicitly allows the funds to be used for scholarships. The Finance Division has announced the following:

Only funds from funding bodies that fall under activity 35 [in Raindance], Research grants, starting with a digit 3–6 may be used for supplementary scholarships. Certain external grants under activity 11 may also be used.

And:

Agency capital [under area of activities 35] may be used to establish scholarships if it is clear that we are not required to pay back any funding to the funding body. If we are allowed to retain the agency capital, we do not need approval from the funding body.

In addition to the supplementary scholarship, the department must also cover the cost of Kammarkollegiet's special insurance for scholarship holders, and guarantee the doctoral student's livelihood if the doctoral student loses their scholarship for reasons beyond their control. The cost of Kammarkollegiet's insurance is currently SEK 10 000 per year. This insurance is taken out centrally at LU but the cost is charged to the department.

Management rules

The dean, and not the head of department, takes decisions on the admission of scholarship holders and on the establishment of supplementary scholarships. The final processing of each admissions case is therefore handled at the faculty office. The department is responsible for the initial processing and compilation of supporting documents, including:

- assessment of the candidate's general and specific eligibility

- assessment of the candidate's capacity to benefit from the study programme, pursuant to the faculty's guidelines on selection (in accordance with Link 1 below).
- assessment of whether the scholarship meets the requirements concerning origin and purpose (aid and capacity-building, or an EU-funded programme or similar, in accordance with the above), level (amount and time) and other conditions. (For the DAC-list, see link 2 below.)
- preparation for the establishment of a supplementary scholarship and submission of a request for such a scholarship to be established in connection with admission.

Documents to be submitted to the faculty office:

- A written documented review of the general and specific eligibility, as well as the candidate's CV with academic qualifications and diplomas or equivalent that support their eligibility. If the candidate does not meet the entry requirements, but the department still recommends admission, a justification for an exemption from the entry requirements must be included.
- A documented assessment of the candidate's capacity to benefit from the study programme. (Minutes or similar from the review group, as well as the head of department's decision on the appointment of the review group.)
- A documented review of the scholarship and funding body with enclosed certificates etc. that support the scope and conditions.
- A report of the department's financing of a supplementary scholarship, and the request for the establishment of such scholarship using the designated form.
- A completed form for admission to third-cycle education (Link 3), signed by the doctoral student and head of department.
- Document with information on the scholarship conditions at LU (Link 4), signed by the doctoral student.
- Certificate of the department's guarantees, in accordance with the template (Link 5).

The faculty office reviews the documents in the case and presents the case to the dean, who takes a decision on admission and the establishment of a supplementary scholarship.

The faculty office registers the admissions case and informs the Ladok unit, enabling the doctoral student to be registered in Ladok.

Links to documents

Link 1: Guidelines for selection

<https://www.science.lu.se/sites/science.lu.se.internal/files/guidelines-advertisement-selection-admission-phd.pdf>

Link 2: The DAC list

<http://www.oecd.org/dac/financing-sustainable-development/development-finance-standards/daclist.htm>

Link 3: Admission form

https://www.science.lu.se/sites/science.lu.se.internal/files/application_admission_p_ostgraduate_studies.pdf

Link 4: Scholarship conditions

https://www.naturvetenskap.lu.se/internt/sites/naturvetenskap.lu.se/internt/files/overenskommelse-villkor-kring_stipendiefinansiering.pdf

Link 5: The department's guarantees

https://www.science.lu.se/internal/sites/science.lu.se/internal/files/garantier_vid_antagning_av_stipendiat_3.docx (in Swedish)