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Regulations for third-cycle education at Södertörn University

1. Admission to third-cycle programmes

1.1. Information about places on programmes

Legislative regulation

Higher education ordinance chapter 7

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

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

1. about the admission of a third-cycle student who is to complete the course or study programme within the framework of employment by an employer other than the higher education institution,

2. about the admission of a third-cycle student who has previously begun third-cycle studies at another higher education institution, or

3. if there are similar special grounds. (Ordinance 2006:1053)

Regulations for local implementation

- Admission to third-cycle programmes should normally take place collectively after the provision of information regarding available places. This not only applies to doctoral studentships, but also to other forms of doctoral positions.
- Available doctoral positions shall be announced on the website of the relevant research area and third-cycle subject area, on the university's main website, on notice boards and, where appropriate, in newspapers. Vacancies at the Baltic and East European Graduate School (BEEGS) shall be announced on the Centre for Baltic and East European Studies' (CBEES') website. Available doctoral positions shall normally also be announced internationally.
- The announcement of available doctoral positions shall preferably take place on fixed dates during the year.
- All announcements shall be approved by the graduate school's steering group. In relevant cases, a representative from CBEES is co-opted. Each third-cycle subject area sends proposals to the research area for further preparation. The announcements are quality assured and checked so that the relevant regulations are applied.
- If the university announces a vacant position on a programme, and if a doctoral studentship is linked to that position, the studentship shall be advertised in the same announcement.
- An application for admission to a programme is a valid application for a doctoral studentship if this is stated in the announcement.
- Examples of instances in which announcements do not need to be made due to special circumstances are if the applicant has his/her own stipend or other financial support for their studies.
- If, in cases other than those above, a person submits an application to a programme, the Faculty Board shall decide, without delay, either that the applicant is not admitted or that the vacant place must be advertised.

1.2. Entry requirements and admissions procedure

Legislative regulation

Higher education ordinance chapter 7

Section 35 The requirements for admission to third-cycle courses and study programmes are that the applicant:

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

Section 39 A person meets the general entry requirements for third-cycle courses and study programmes if he or she:

1. has been awarded a second-cycle qualification

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

The higher education institution may permit an exemption from the general entry requirements for an individual applicant, if there are special grounds. (Ordinance 2010:1064)

Section 40 The specific entry requirements laid down shall be essential for students to be able to benefit from the course or study programme. These requirements may comprise:

- 1. knowledge from one or more higher education courses and study programmes or corresponding courses and study programmes,
- 2. specific professional or vocational experience, and
- 3. requisite language skills or other conditions determined by the course or study programme. (*Ordinance 2010:1053*)

Section 41 In selecting between applicants who meet the requirements laid down in Sections 35 and 36 their ability to benefit from the course or study programmes shall be taken into account.

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

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

Regulations for local implementation

Specific entry requirements

- The specific entry requirements shall be precise and relevant. Specific entry requirements are not an expanded form of general entry requirements, but demand the knowledge base that is necessary for the third-cycle programme.
- Specific entry requirements shall be validated by the Faculty Board. The specific entry requirements laid down shall be essential for the doctoral student to be able to benefit from the programme.

Selection

- The selection criteria for admission to a third-cycle programme shall be listed in each third-cycle subject area's general syllabus and in the admission regulations.
- The selection process shall be predictable and transparent as regards the applied grounds for assessment.

Admission

 Applications for admission to a third-cycle programme shall be submitted to the university.

- Admission to a place on a programme shall be prepared by an assessment panel (*Kriterier för sammansättning av och anvisningar till ämnenas bedömargrupper vid doktorandantagning, diarienummer: 51/1.1.2/2014*) that is appointed by the Faculty Board and proposed by the relevant subject and steering group. This preparation is carried out according to the selection criteria stated in the general syllabus for the subject and the admission regulations. The assessment panel assesses all the eligible applicants and ranks a leading group. The assessment of all the eligible applicants shall be done in writing.
- When admitting doctoral students to Södertörn University's graduate schools, a representative from the relevant graduate school must be part of the preparatory process at the level of the third-cycle subject area and the research area.
- People who participate in the admissions procedure must be familiar with the applicable regulations. Doctoral students must be represented during the preparatory process. This is provided by a doctoral student representative in each steering group.
- Decisions on admission are made by the Faculty Board after preparation in the assessment panel and a proposal from the steering group.
- The applicant's eligibility shall be checked before admission. Decisions regarding both acceptance and rejection shall be documented in a written statement, to guarantee the doctoral student's legal rights in the admissions process. The statement shall present the assessment panel's members.
- The Faculty Board decides whether to admit or reject an applicant on the basis of the steering group's overall assessment of the application and the results of interviews with the applicant and his or her references.
- Before making a decision on application, the Faculty Board shall assess:
 - the applicant's merits and competence,
 - the quality of the research project,
 - the suitability and feasibility of the research project as a doctoral project,
 - the funding plan,
 - whether issues of research ethics have been considered, and
 - whether sufficient collected supervisory capacity exists to provide good and professional guidance and relevant expertise.

1.3. Student finance

Legislative regulation

Higher education ordinance chapter 7

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

Regulations for local implementation

- In general, doctoral students studying at Södertörn University shall be offered employment as a doctoral student (doctoral studentship) in order to finance their studies. Financing is normally done using faculty funding, direct government funding and through external research funding.
- The Head of School is responsible for ensuring a funding plan covering the entire period of study is drawn up before a final decision is taken about admission.
- For students with alternative funding, an agreement must be signed with the party providing the funding (company, public authority, other higher education institution, etcetera). In cases where funding is provided through employment with another employer, the manager of the organisation must approve the entire study plan and thus certify that third-cycle studies can take place as described.
- Only in exceptional cases may doctoral students with stipends be accepted, and only on the condition that they can be offered the same conditions as doctoral students on studentships as regards insurance coverage, etcetera.
- Decisions on admission in which the applicant has a form of student funding other than a doctoral studentship must be considered with special care in order to guarantee the student's legal rights. Decisions regarding this are taken by the Faculty Board and may not be delegated.
- Applicants who cannot obtain doctoral studentships and who do not have another acceptable source of funding cannot be admitted to third-cycle programmes.

1.4. Admission to third-cycle programmes for the purpose of earning a licentiate degree

Admission to third-cycle programmes may be done with the final objective of gaining a doctoral degree or a licentiate degree.

Regulations for local implementation

- Admission to third-cycle programmes for the purpose of earning a licentiate degree shall be seen as an exception from the normal regulations and should therefore be considered with special care. Decisions regarding this are taken by the Faculty Board and may not be delegated.
- A doctoral student who has been admitted to a licentiate programme and who applies to continue on a doctoral programme shall be considered in competition with other applicants.

1.5. Opportunities for credit transfer during selection

Legislative regulation

Higher education ordinance chapter 6

Section 6 If a student at a higher education institution in Sweden has successfully completed a higher education course or study programme, she or he is entitled to transfer the credits awarded for a course or study programme at another higher education institution. This does not apply, however, if there is a substantial difference between these courses or study programmes.

The same applies for students who have successfully completed a course or study programme:

- at a university or higher education institution in Denmark, Finland, Iceland or Norway or a signatory to the Council of Europe's Convention of 11 April 1997 on the Recognition of Qualifications concerning Higher Education in the European Region (Swedish Treaty Series 2001:46), or
- 2. at Nordiska högskolan för folkhälsovetenskap (NHV The Nordic School of Public Health). (Ordinance 2006:1053)

Section 7 A student is entitled to transfer credits from a course or study programme other than that laid down in Section 6 if the nature and extent of the knowledge and skills cited by the student are such that they correspond on the whole to the course or study programme for which the credits are to be recognised. A student may also be given credit for corresponding knowledge and skills acquired in a vocational or professional capacity. *(Ordinance 2006:1053)*

Section 8 The higher education institution shall assess whether credits can be awarded for the prior course or study programme or professional or vocational experience. Credits may only be awarded to those who are students unless otherwise provided by statute or ordinance. (*Ordinance 2010:1064*)

Higher education ordinance chapter 7

Section 41 In selecting between applicants who meet the requirements laid down in Sections 35 and 36 their ability to benefit from the course or study programmes shall be taken into account.

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

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

Regulations for local implementation

- A routine credit transfer of parts of a Master's degree is not permitted.
- Credit transfers from previous courses and programmes may not take place in association with admission.
- Any credit transfer shall always be initiated by the student and considered individually for each separate course in relation to the degree requirements for third-cycle programmes.
- Decisions regarding credit transfers from previous courses and programmes are made by the relevant steering group. Cases regarding credit transfers from previous courses and programmes are prepared in the subjects in each steering group's area of responsibility before a decision is made by the steering group. The Faculty Board is informed of the credit transfer in the form of a memorandum.
- Doctoral students may appeal decisions on credit transfers to the Faculty Board.

2. General syllabus

Legislative regulation

Higher education ordinance chapter 6

Section 26 For each subject in which third-cycle courses or study programmes are offered a general study syllabus is required. (*Ordinance 2010:1064*)

Section 27 A general study syllabus shall indicate the following: the main content of the study programme, specific entry requirements and any other regulations required. *(Ordinance 2010:1064)*

Regulations for local implementation

- The general syllabus for a third-cycle programme is prepared by the relevant third-cycle subject area and approved by the relevant graduate school's steering group.
- After approval by the steering group, the general syllabus is sent to the Faculty Board for validation.
- Revisions to the general syllabus are prepared and approved according to the above and then validated by the Faculty Board.

3. Individual study plan

Legislative regulation

Higher education ordinance chapter 6

Section 29 An individual study plan shall be drawn up for each doctoral student. This plan shall contain the undertakings made by the doctoral student and the higher education

institution and a timetable for the doctoral student's study programme. The plan shall be adopted after consultation with the doctoral student and his or her supervisors.

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

Regulations for local implementation

Drawing up an individual study plan

- The individual study plan clarifies the rights, obligations and expectations that link the university, the supervisor(s) and the doctoral student.
- The individual study plan is jointly drawn up by the doctoral student and the principal supervisor. The university template that has been validated by the Faculty Board is used.
- The individual study plan shall be drawn up when the doctoral student starts his or her employment and shall be approved by the relevant steering group no later than five months after this date. The Faculty Board is sent the written decision for information purposes.
- The subject of the thesis is planned by the doctoral student in consultation with the supervisor and is stated in the individual study plan.

Review and revision of the individual study plan

- The individual study plan shall be annually reviewed. The doctoral student and supervisor inform the steering group about how studies are progressing by submitting a completed and signed individual study plan for the previous year and for the year ahead.
- The relevant steering group approves the presentation of the review and revision. The Faculty Board is informed in the form of a memorandum.
- In the intervening semester, the supervisor and doctoral student update the individual study plan and report to the steering group if there are considerable deviations or problems. The steering group sends this in writing to the Faculty Board and the relevant Head of School for information purposes.
- Validated, reviewed and revised individual study plans are kept in the university's central archive. This is handled by the responsible administrative function at the school at which the graduate school/steering group is located. The first individual study plan that is drawn up shall be registered (a unique registration number for each doctoral student) and shall follow all the reviews and revisions to the study plan.
- After the revision of the individual study plan, the doctoral student and principal supervisor must confirm in writing that they have received any changes by signing the new version.
- The doctoral student may appeal the decision to the Faculty Board.

Deviations

• Significant deviations from the individual study plan may mean that the doctoral student is denied access to the university's resources (see Chapter 5, Withdrawal of Resources).

General information about work on a thesis

- A thesis is intended to document the doctoral student's ability to autonomously apply scholarly methods to a research question in a specific subject. Part of the thesis work is keeping up to date with the scholarly literature in the thesis' subject area and participating in research seminars and other activities.
- A doctoral thesis may be either one cohesive work (monograph thesis) or a compilation thesis made up of separate papers. If the thesis or a paper is jointly authored, the individual contributions must be clearly differentiated during the examination process.
- Each steering group is responsible for common guidelines for the research area or subject regarding volume, number of manuscripts/publications, etcetera.
- The doctoral thesis should be written in Swedish, Norwegian, Danish or English. Applications for exceptions to these languages should be submitted to the Faculty Board.
- If the doctoral student intends to use a language for his or her thesis that deviates from those stated in the above regulation, this should be stated in the individual study plan.
- A thesis that is not written in English shall include a summary in English. An abstract in English is to be appended to the thesis.
- If a thesis has been written in a language other than Swedish, Norwegian or Danish, it shall include a summary (about ½ an A4 page) in Swedish.

4. Supervision

Legislative regulation

Higher education ordinance chapter 6

Section 28 At least two supervisors shall be appointed for each doctoral student. One of them shall be nominated as the principal supervisor. Doctoral students are entitled to supervision during their studies unless the Vice-Chancellor has decided otherwise by virtue of Section 30. A doctoral student who so requests shall be allowed to change supervisor. (Ordinance 2010:1064)

Regulations for local implementation

Supervisor

- The supervisor(s) are appointed by the Head of School after being proposed by the steering group.
- Supervisors are appointed as soon as possible after the start of the doctoral studentship.
- The principal supervisor must have a level of competence equivalent to professor or associate professor. The other supervisors must have doctoral degrees.

- At least one of the supervisors must have completed supervisor training or have been assessed as possessing the equivalent competence by the Faculty Board.
- At least one of the supervisors must be employed by Södertörn University.
- In cases where the third-cycle programme is organised in cooperation with another higher education institution (HEI), one of the supervisors may be employed at that HEI.
- Supervisors that work at a cooperating HEI must be offered access to supervisory colleagues and the equivalent bodies at Södertörn University.
- Supervisors at a school at Södertörn University other than the one at which the doctoral student is employed must be offered access to supervisory colleagues and the equivalent bodies.

Supervision

- Supervision shall be provided continually and be needs-based. The supervisor and doctoral student must meet to review and plan studies at least once per semester.
- Supervision entails, but is not limited to, discussion of work and the manuscript, reading
 and discussion of working texts, text reviews, discussions of experiments, seminar
 planning, planning which courses the doctoral student should take, preparations for
 conference presentations and the public defence of the thesis. Supervision also includes
 drawing up and reviewing an individual study plan and assessment of the need for ethical
 review.

Scope of supervision

• At Södertörn University, supervision is normally compensated with a maximum of 480 clock hours for the entire period of study (320 clock hours per doctoral student for the principal supervisor and 160 clock hours per doctoral student for the other supervisor. A re-allocation of the total supervisory hours will be carried out if there are additional supervisors). More detailed terms for supervision shall be stated in the doctoral student's individual study plan.

Change of supervisor

- A request to change supervisor shall be sent to the Head of School by the doctoral student.
- The doctoral student may appeal the decision to the Faculty Board.

5. Withdrawal of resources

Legislative regulation

Higher education ordinance chapter 6

Section 30 If a doctoral student substantially neglects his or her undertakings in the individual study plan, the Vice-Chancellor shall decide that the doctoral student is no longer

entitled to supervision and other study resources. Before such a decision is made, the doctoral student and the supervisors shall be given an opportunity to make representations. The case shall be considered on the basis of their reports and any other records available. The assessment shall take into account whether the higher education institution has fulfilled its own undertakings in the individual study plan. A written record of the decision shall be made, which is to include reasons for the decision.

Resources may not be withdrawn for any period in which the third-cycle student has been appointed to a doctoral studentship or is receiving a doctoral grant. (Ordinance 2010:1064)

Section 31 If study resources have been withdrawn pursuant to Section 30, the doctoral student may, on application to the Vice-Chancellor, recover his or 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 or she can fulfil his or her remaining undertakings in the individual study plan. (*Ordinance 2010:1064*)

Section 36 The Vice-Chancellor may not delegate decisions pursuant to Sections 30 and 31. (*Ordinance 2010:1064*)

Higher education ordinance chapter 12

Section 2 Appeals may be made to the Higher Education Appeals Board against the following decisions of a higher education institution: [...]

5. a decision to withdraw study resources from a doctoral student pursuant to Section 30 of Chapter 6 and a decision that a student is not to recover these resources pursuant to Section 31 of Chapter 6.

Regulations for local implementation

- Significant deviations from the individual study plan may entail the doctoral student is denied access to the university's resources.
- The principal supervisor must, in association with the steering group's review of the individual study plan, assess whether the doctoral student is following the individual study plan. The supervisor shall inform the doctoral student of any significant deviations in writing, and these must be investigated without delay.
- If a deviation is significant and continues throughout the following semester, it shall be
 reported to the Vice-Chancellor and the Director of Studies for the third-cycle programme
 in the form of a written report (including copies of the individual study plan). The Head of
 School must give the doctoral student the opportunity to make a written statement
 regarding the supervisor's report, after which a decision shall be taken regarding whether
 the proposal for the withdrawal of resources shall be submitted to the Vice-Chancellor.
 The supervisor's report and the doctoral student's statement shall be appended to the
 proposal to withdraw resources, which shall be motivated.

6. Examination grades, rules relating to the public defence of thesis and grades for doctoral/licentiate thesis

6.1. Examination grades

Legislative regulation

Higher education ordinance chapter 6

• Section 32 Examinations that form part of third-cycle courses and study programmes shall be assessed in accordance with the grading system prescribed by the higher education institution.

The grade shall be determined by a teacher specially nominated by the higher education institution (the examiner). (*Ordinance 2010:1064*)

Regulations for local implementation

- Examinations that are included in third-cycle programmes at Södertörn University shall be graded in accordance with the university's grading system: pass or fail.
- For courses within one research area, the examiner is appointed by the research area. For courses within a third-cycle subject area, the examiner is appointed by the subject.

6.2. Public defences and grading of doctoral theses

Legislative regulation

Higher education ordinance chapter 6

Section 33 The qualification descriptors for PhD:s and doctorates in the fine, applied and performing arts lay down that an approved doctoral thesis is required for the award of these degrees.

The doctoral thesis shall be presented and defended orally in public. A faculty examiner (opponent) shall be appointed for this presentation. (Ordinance 2010:1064)

Section 34 At least one of those participating in the grading of a doctoral thesis shall be someone who does not have a post at the higher education institution awarding the degree.

Section 35 A higher education institution may issue regulations on the grading system to be used and on public defences and grading in other respects. (*Ordinance 2010:1064*)

Regulations for local implementation

- The time and place of for the public defence of thesis is decided by the Vice-Chancellor at least three months in advance.
- The public defence of thesis must take place during a semester.

- A final seminar should be held for all doctoral theses. An external reviewer should normally be hired.
- Two public defences may not be held at the same time at Södertörn University.

Notice

- Notification of the date of the defence of a doctoral thesis (spikning) is given at least three semester weeks before the public defence.
- Electronic notification of the date of the defence of a doctoral thesis shall be done through the Academic Archive On-line, DiVA.
- On notifying the date of the defence of a doctoral thesis, the relevant thesis shall be made available in the University Library.
- A presentation ceremony (spikningsceremoni) may be held in Södertörn University Library.
- The school is responsible for the thesis being disseminated in accordance with Södertörn University's distribution list.
- Two semester weeks before the notification of the date of the defence, a popular summary in Swedish of no more than one A4 page shall be emailed the department of Communication and Public Relations, as a basis for press releases and news items on the university's website.

Faculty examiner, examining committee and chairman of the public defence

- The steering group submits proposals for the faculty examiner and members of the examining committee to the Faculty Board. Where a research area has several third-cycle subject areas, the issue is first prepared by the relevant subject.
- The faculty examiner, examining committee and chair of the public defence must be confirmed by the Faculty Board no later than two months before the public defence.
- The examining committee shall have three or five members. The majority of the members of the examining committee must come from outside the third-cycle subject area at Södertörn University to which the examinee belongs. On an examining committee with three members, at least two members must be appointed from another HEI; if there are five members, at least three of them must be from another HEI.
- The members of the examining committee must be competent to at least associate. A substitute member of the examining committee shall always be appointed in association with decisions about other members. Where necessary, the Faculty Board may appoint an additional substitute; this shall only be applied in situations in which the professor level or the equivalent. Exceptions may, in exceptional circumstance, be made for one of the members. Such circumstances shall be stated in the proposal. At least one member shall have professor-level competence.
- Unless there are exceptional circumstances, a person who has supervised the doctoral student may not be a member of the examining committee.
- Even gender distribution shall be aimed for when appointing members of the examination committee.
- Examining board risks a quorum not being present because of a member being prevented from attending due to force majeure.

• The appointed faculty examiner must be a person who has a PhD and who is not active at Södertörn University, unless there are particular reasons for this.

Examining committee meeting and grading

- After a completed public defence of thesis, the examining committee grade the thesis as either a pass or fail. Consideration must be paid to both the content of the thesis and its public defence.
- The examining committee is quorate when all the members are present. The decision of the examining committee is that which has majority support. A member of the examining committee who wishes to register a reservation regarding the majority decision may have this noted in the minutes of the meeting.
- The faculty examiner, principal supervisor and other supervisors have the right to be present at the meeting of the examining committee and to participate in the discussion, but not to participate in the decision itself.
- After the examining committee meeting has ended, the chair of the examining committee sends the minutes of the meeting to the Faculty Board.

6.3. Examination of Licentiate theses

Legislative regulation

Higher education ordinance Annex 2 – Qualifications Ordinance

For a Degree of Licentiate the third-cycle student shall have been awarded a pass grade for a research thesis of at least 60 credits.

Regulations for local implementation

The following are the university-wide regulations for licentiate degrees. Steering groups for research areas for doctoral studies are otherwise tasked with creating their own routines for the examination of licentiate degrees.

- The licentiate thesis shall be available at least 3 weeks prior to the examination.
- The licentiate thesis does not need to be published in printed form unless there are special circumstances.
- The licentiate thesis shall be reviewed by a faculty examiner and be defended publically. The chair of the examining committee must have competence that is at least that of associate professor.
- No later than two semester weeks before the examination, a popular summary in Swedish of no more than one A4 page shall be emailed to the department of Communication and Public Relations, as a basis for press releases and news items on the university's website.
- After a completed public defence of the licentiate thesis, the examining committee grade the thesis as either a pass or fail. Consideration must be paid to both the content of the thesis and its public defence.

7. Reviews of decision

Routines for reviews of delegated decisions

The Faculty Board is responsible for the following. The steering group for each graduate school is responsible for collecting and submitting the requested information from the subjects in the research area on the occasion of each review.

- Routines relating to admissions, student funding, credit transfers, etcetera, shall be continually reviewed.
- Each semester, meetings shall be held with representatives for the research areas, thirdcycle subject areas and graduate schools for discussions on university-wide issues relating to third-cycle studies.
- Information about third-cycle programmes is also requested when annual reports and activity plans are requested from the schools.
- Third-cycle subject areas that do not comply with the rules for third-cycle programmes at Södertörn University may be subject to restrictions in the right to admit and/or supervise doctoral students.