



LUNDS
UNIVERSITET

Research Programmes Board

Processing decisions regarding withdrawal and recovery of the right to supervision and other resources for a doctoral student

Approved by the Research Programmes Board on 9 April 2018.

The withdrawal of supervision and other resources from a doctoral student is regulated in Chapter 6, sections 30–31 of the Swedish Higher Education Ordinance (1993:100) and in sections 8.3–8.4 of the Regulations for Third-Cycle Education at Lund University (reg. no STYR 2018/562).

Higher Education Ordinance, Chapter 6, sections 30–31:

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Resources may not be withdrawn for any period in which the third-cycle student has been appointed to a doctoral studentship or is receiving a doctoral grant.

If study resources have been withdrawn pursuant to Section 30, the doctoral student may, on application to the vice-chancellor, recover his or her entitlement to supervision and other resources.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.

In the present document, you will find further guidelines for processing cases concerning withdrawal of a doctoral student's resources and for handling requests to recover the right to resources.

Allocation of work when processing cases

The faculty, i.e. the Faculty Board or function at faculty level to which the task has been delegated, is responsible for the investigation of the matter and for providing decision-support documentation to the vice-chancellor. The faculty is to present the case to the review group and the vice-chancellor.

The university administration offers continuous support and guidance. The Legal Services and Research Services offices gather experiences from all cases within the University, and use them to support and provide guidance in the individual matter.

Pursuant to the University's regulations for third-cycle education, the decision to withdraw resources is to involve an assessment performed by a review group composed of three teaching staff representatives and one student representative. The teaching staff representatives are to be appointed by the university-wide Research Programmes Board among its members. One of them shall be made chair, or deputy chair, of the board. The group is to conduct an assessment of the matter and recommend the vice-chancellor to either grant or reject the faculty's request.

The administrative support of the Research Programmes Board handles the meeting administration of the review group.

Processing cases regarding withdrawal of a doctoral student's resources

If a follow-up of an individual study plan reveals that a doctoral student has substantially neglected their undertakings in the individual study plan, the faculty must promptly report this to the vice-chancellor.

The faculty is to contact Legal Services and Research Services within the university administration as soon as the processing of the matter has begun.

Pursuant to the Higher Education Ordinance, resources may not be withdrawn for any period in which the third-cycle student is appointed to a doctoral studentship. A doctoral studentship is a fixed-term appointment, which means that any decision to withdraw resources will begin to apply only after the appointment has expired. The case, however, may be initiated already during the doctoral student's appointment.

Requests to withdraw supervision and other resources for a doctoral student shall be submitted to the vice-chancellor by the faculty concerned, i.e. by the Faculty Board or function at faculty level to which the task has been delegated. The request must include supporting documentation containing the following:

- Name, personal identity number and contact details of the doctoral student
- Names of the supervisors, as well as contact details of any external supervisors
- Information on the form of financing, and period of employment if applicable
- Current Ladok transcript
- General syllabus for the third-cycle subject
- All approved individual study plans and the follow-ups of them

- An account of the faculty's position on the individual study plan and follow-ups, and a comprehensive assessment of whether or not the doctoral student has substantially neglected their undertakings
- An account of how the University has fulfilled its undertakings in accordance with the individual study plan
- Statements from the doctoral student and the supervisor

If necessary, the faculty may consult an external expert for an assessment.

The faculty's request is processed by a review group, which assesses the documentation and recommends the vice-chancellor to grant or reject the request to withdraw the doctoral student's right to supervision and other resources.

The review group submits a written, justified statement, in which it grants or rejects the faculty's request. Rules on conflict of interest must be observed.

The faculty presents the case to the vice-chancellor. The documentation is to include the review group's proposal, as well as a statement from the doctoral students and the supervisor.

Processing of a doctoral student's request to recover the right to resources

Requests from doctoral students to recover the right to supervision and other resources are to be submitted to the vice-chancellor. Legal Services and Research Services shall be informed whenever a request to recover recourses for third-cycle education has been received. The faculty is also to be informed.

The vice-chancellor is to reject the doctoral student's request if the student is unable to present a new study result of significant quality or scope, or in other ways clearly demonstrate that they are likely to fulfil their remaining undertakings in the individual study plan. Otherwise, the matter is to be processed and investigated at faculty level.

The faculty presents the case to the vice-chancellor. The faculty's proposal for a vice-chancellor's decision is to be submitted together with documentation containing an account of the faculty's assessment of whether the doctoral student is likely to fulfil their remaining undertakings.

The supporting documentation must include the following:

- Name, personal identity number and contact details of the doctoral student
- Current Ladok transcript
- Vice-chancellor's decision to withdraw supervision and other resources
- General syllabus for the third-cycle subject
- All approved individual study plans and the follow-ups of them
- New study results that the doctoral student wants to be taken into consideration
- An account of the faculty's assessment as to whether or not it expects that the doctoral student will fulfil their undertakings in accordance with the individual study plan
- A statement from the doctoral student regarding the faculty's supporting documentation for a decision