



# PROCEDURE FOR THE WITHDRAWAL OF RESOURCES FROM DOCTORAL STUDENTS AT UMEÅ UNIVERSITY

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<sup>1</sup> This document has been translated from Swedish into English. If the English version differs from the original, the Swedish version takes precedence.



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# 1. Description

This document regulates the administrative procedure for the withdrawal of supervision and other resources at Umeå University. It also describes the handling of appeals concerning a doctoral student's application to regain his or her entitlement to resources. This administrative procedure applies to studies with a Doctoral degree as the intended degree or a Licentiate as the intending degree.

# 2. Background

The administrative procedure describes more in detail how the withdrawal of resources takes place for doctoral students who have significantly neglected their commitment at Umeå University. In the rules for doctoral education at Umeå University, part 5.6, the process is stated more comprehensively.

## **National regulations**

Chapter 6 Section 28 Higher Education Ordinance: At least two supervisors shall be appointed for each doctoral student. One of the supervisors is to be appointed principal supervisor. The doctoral student is entitled to supervision during his or her education, unless the Vice-Chancellor decides otherwise pursuant to Section 30. A doctoral student who so requests shall be allowed to change supervisor. Ordinance (1993:100)

Chapter 6 Section 30 Higher Education Ordinance: If a doctoral student substantially neglects his or her commitments under the individual study plan, the Vice-Chancellor is to rule that the doctoral student is no longer entitled to supervision and other educational resources. Before such a decision is made, the doctoral student and the supervisors are to be given the opportunity to comment. The case is to be considered on the basis of their accounts and any other available reports. The assessment must take into account whether the higher education institution has fulfilled its own commitments under the individual study plan. The decision must be in writing and must include reasons for the decision. Resources may not be withdrawn for any time during which the doctoral student holds a doctoral studentship or is receiving a doctoral grant. Ordinance (1993:100).

Chapter 6 Section 31 Higher Education Ordinance: If educational resources have been withdrawn under Section 30, the doctoral student can, after application to the Vice-Chancellor, regain his or her entitlement to supervision and other resources. The doctoral student must then convincingly show, by presenting a prospective educational result of considerable quality and scope or in some other way, that he or she can fulfil his or her remaining commitments under the individual study plan. Ordinance (1993:100).

Under Chapter 6 Section 36, the Higher Education Ordinance, the Vice-Chancellor may not delegate decisions falling under sections 30 and 31.

Resources can be withdrawn from a doctoral student on the basis of the provision in the Higher Education Act (1992:1434) that universities must use their resources efficiently and in cases when the inadequate educational result of the doctoral student is not because of the special grounds stated in Chapter 5 Section 7 of the Higher Education Ordinance.

This document regulates the administrative procedure for the withdrawal of supervision and other resources at Umeå University. It also describes the handling of appeals concerning a doctoral student's application to regain his or her entitlement to resources. This administrative procedure applies to studies with a Doctoral degree as the intended degree or a Licentiate as the intending degree.

The administrative procedure for the withdrawal of resources from doctoral students is as follows:

- 1) Written report with enclosures
- 2) Opportunity for the doctoral student and supervisors to comment
- 3) When withdrawal may take place



- 4) Decision by the Vice-Chancellor
- 5) The doctoral student's application for the return of withdrawn resources
- 6) Appeal

## 3. Process

### 3.1. Written report with enclosures

The question of withdrawing a doctoral student's entitlement to supervision and other resources is initiated by the head of the department at which the doctoral student is registered when the head reports the matter to the Dean. The doctoral student is informed in conjunction with this. The dean of the faculty where the doctoral student is registered decides whether or not the question of withdrawal of resources is to be investigated.

The purpose of the investigation is:

1. to establish whether the doctoral student has substantially neglected his or her commitments under the individual study plan, thereby presenting grounds for a decision of withdrawal of resources.
2. to establish to what extent Umeå University and the supervisors have fulfilled their commitments under the individual study plan.

The report is to be in writing and must conclude with a proposal for a decision including a statement of reasons. The investigation is to be carried out by the head of the Dean's office, or a member of the office staff appointed by the head, in consultation with the university lawyer.

The report must state whether the individual study plan has been drawn up and followed up on in accordance with Chapter 6 Section 29 of the Higher Education Ordinance and the local rules and regulations at Umeå University (Dnr. FS 1.1-1212-22). Moreover, the report must describe in what way the doctoral student has neglected his or her commitments. It must also be stated what steps the university has taken to help the doctoral student fulfil his or her commitments. Documentation must be enclosed with the report.

If the subject of the investigation is a non-Swedish-speaking doctoral student, any written documents and statements that are of decisive importance for the decision must be translated.

If required, an interpreter may be used for providing information to a non-Swedish-speaking doctoral student.



### 3.2. Opportunity for the doctoral student and supervisors to comment

Before the case is passed on to the Vice-Chancellor for decision, the doctoral student and supervisors shall be given the opportunity to comment in writing. The Dean decides whether their accounts give rise to further investigation or whether the accounts together with the report shall be passed on to the Vice-Chancellor for decision.

### 3.3. When withdrawal may take place

Supervision and other resources may not be withdrawn for any time during which the doctoral student is employed or is receiving a doctoral grant. He or she retains his or her entitlement to resources during that time. Therefore the question of withdrawal of resources must be raised in good time before a doctoral studentship or period with doctoral grant is to be extended.

### 3.4. Decision by the Vice-Chancellor

When the investigation is completed, the Dean rules whether there are grounds for the withdrawal of resources and whether the case is to be passed on to the Vice-Chancellor for decision. Recommendations for the Vice-Chancellor's decision shall be accompanied by appropriate documentation and any statements that may be available.

If there are no grounds for the withdrawal of resources, the Dean decides what other steps are to be taken. It must be stated in the Vice-Chancellor's decision to withdraw resources that the doctoral student may appeal against the decision, and appeal instructions must be given explaining the procedure for applying for a return of the resources. The decision is accompanied by the appeal instructions in the form of the template for the appeal.

### 3.5. Opportunity for the doctoral student to apply to regain his or her entitlement to resources

The doctoral student can apply to the Vice-Chancellor to regain his or her entitlement to supervision and other resources. In the Vice-Chancellor's decision to withdraw resources, it must be stated that the doctoral student has this right and there must be instructions describing how to go about it.

In the application to regain the entitlement to supervision and other resources, the doctoral student must show a prospective educational result of considerable quality and scope. The doctoral student can also show convincingly in some other way that he or she can complete his or her studies and fulfil his or her commitments under the individual study plan. The application is to be addressed to Rektor, Umeå universitet, 901 87 Umeå.

The Dean processes each application to regain the entitlement to resources before the Vice-Chancellor takes a decision.

The investigation process must result in a written report. The purpose of the investigation is to establish whether the doctoral student's prospective educational result will be of



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considerable quality and scope or whether the doctoral student has been able to show convincingly that he or she can complete his or her studies and fulfil his or her commitments under the individual study plan. The report must include a summary of the doctoral student's application and prospective educational result. It must also include an analysis by the dean of the quality and scope of the prospective educational result or of the other reasons put forward by the doctoral student in the application. The doctoral student's application to regain the entitlement to resources is to be enclosed with the report.

The report shall be in writing and must conclude with a proposal for a decision including a statement of reasons.

If the subject of the investigation is a non-Swedish-speaking doctoral student, any written documents and statements that are of decisive importance for the decision must be translated.

If required, an interpreter may be used for providing information to a non-Swedish-speaking doctoral student.

It is possible to appeal against a decision taken by the Vice-Chancellor not to reinstate a doctoral student's entitlement to supervision and other resources.

### 3.6. Appeal

The doctoral student is able to appeal against the Vice-Chancellor's decision to withdraw supervision and other resources and against the Vice-Chancellor's decision not to reinstate the doctoral student's entitlement to supervision and other resources. It must be stated in the decision that the student can appeal to the Higher Education Appeals Board. The letter of appeal must state which decision is being appealed against, what change in the decision is being demanded and why the decision is to be changed. The letter of appeal shall be addressed to the Higher Education Appeals Board but must be sent to Umeå universitet, Registrator, 901 87 Umeå. The appeal shall be submitted to Umeå University latest three weeks after the appellant was informed of the decision.

If an appeal is submitted, under Section 23 § 2 of the Administration Act (1986:223), Umeå University must assess whether the appeal has been submitted in time. If the appeal has been submitted too late, Umeå University will reject the appeal. Otherwise, the case must be passed on to the Higher Education

Appeals Board. With certain exceptions, Umeå University is not to consider the matter of the appeal before it is passed on to the Appeals Board. The case must be passed on to the Appeals Board as soon as possible, normally within one week.

The original of the letter of appeal is to be sent to the Higher Education Appeals Board together with copies of the other case documents. A copy of the letter of appeal and the assessment of the correct time of submission are to be given to the university lawyer.

When the Higher Education Appeals Board receives the appeal, it commences the handling of the case. If the Higher Education Appeals Board contacts Umeå University



and requests further statements, the university will appoint the university lawyer to deal with the case. The university's statement is decided by the Vice-Chancellor.

A decision taken by the Higher Education Appeals Board cannot be appealed against under Chapter 12 Section 5 Higher Education Ordinance.