



Rules of procedure for the withdrawal of supervision and other resources

This governance document was approved by the University Director (registration number V-2023-0677) pursuant to Chapter 6, Section 30 of the Higher Education Ordinance (1993:100). The governance document applies from 1 November 2023. These rules of procedure govern when and how a school shall apply for the withdrawal of a doctoral student's supervision and other resources, and how such an application is subsequently dealt with by University Administration. The Management Office of University Administration is responsible for oversight and questions about the governance document.

1 Introduction

1.1 General principles

A higher education institution's option to withdraw a doctoral student's supervision and other resources is based on the provisions of the Higher Education Act (1992:1434), which stipulate that higher education institutions must utilise their resources efficiently. Accordingly, it is possible to decide that a doctoral student should no longer be allowed to use the institution's resources, in the form of supervision, workspace and other resources, if the doctoral student is having very little success in their studies and this is not due to reasons such as parental leave, illness, military service or similar. The assessment shall also consider the extent to which the higher education institution's obligations under the individual study plan have been fulfilled, for example in terms of supervision. A decision to withdraw supervision and other resources may be made even before the time corresponding to 240 higher education credits has elapsed.

Withdrawing a doctoral student's right to supervision and other resources is a drastic measure that is a last resort when other possible solutions have been exhausted. An investigation must therefore be carried out to clarify whether the doctoral student has substantially disregarded their obligations and whether the higher education institution has fulfilled all their obligations under the individual study plan. The investigation shall be conducted in accordance with the provisions of the Administrative Procedure Act (2017:900) and documented in accordance with section 2 of this governance document.

Only the President may decide that a doctoral student is no longer entitled to supervision and other resources. It is only when the President has decided to withdraw supervision and other resources for the programme in accordance with Chapter 6, Section 30 of the Higher Education Ordinance (1993:100) that a doctoral student's resources are withdrawn. Before such a decision has been made, the doctoral student's studies and KTH's obligations to the doctoral student shall continue as usual. Doctoral studies at KTH are regulated in the general syllabus for the third-cycle subject, in the respective doctoral student's individual study plan, and in the *Guideline on Third Cycle Studies* (V-2023-0678).

When a school considers not extending a doctoral student's employment or applying to withdraw a doctoral student's resources due to factors such as lack of progression in the studies, the Director of Third Cycle Education and the doctoral student's principal supervisor must contact Administrative Law and Human Resources at an early stage for support in the further

handling of the matter. This is because a doctoral student's funding and studies must be managed in parallel.

2 Procedure

2.1 Legal regulation

Chapter 6, Section 30 of the Higher Education Ordinance (1993:100) contains the following provision.

Section 30 If a third-cycle student substantially neglects their obligations under the individual study plan, the vice-chancellor must decide that this student is no longer entitled to supervision and other study resources. Before such a decision is made, the third-cycle student and their supervisors must be given an opportunity to make representations. The case must be considered on the basis of their statements and other available records. The assessment must consider whether the higher education institution has fulfilled its own obligations under the individual study plan. The decision must be in writing and provide reasons.

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.

Supervision and other resources may not be withdrawn for the time the doctoral student is employed as a doctoral student. The question of withdrawal therefore needs to be raised in good time before the current employment period is to be extended, if the doctoral student is employed in a doctoral studentship.

Other resources include teaching, costs associated with courses, workspace, computer, telephone, office supplies, library resources, access to laboratory facilities and equipment.

2.2 Measures required before an application for withdrawal of resources can be made

If a doctoral student neglects their obligations as specified in the individual study plan, the doctoral student's principal supervisor shall discuss this with the doctoral student at an early stage. The doctoral student's principal supervisor should have several meetings with the doctoral student over a shorter period of time in order to coordinate and set clear requirements for what the doctoral student is to demonstrate based on what is specified in the individual study plan.

At these meetings, the principal supervisor is responsible for the following:

- meeting notes are taken and retained,
- the meeting notes are written in Swedish and translated into English if necessary,
- the doctoral student is given the opportunity to read and comment on the meeting notes.

The meeting notes must state:

- in what way the doctoral student has neglected their obligations,
- all measures taken, and

- what was agreed with the doctoral student at the meeting.

The decisions made at the meetings shall be documented in the individual study plan and followed up by the principal supervisor.

If the principal supervisor finds that, despite these measures, the doctoral student continues to neglect their obligations during a follow-up period, the length of which is determined in each individual case, the principal supervisor shall inform the Director of Third Cycle Education, Administrative Law and Human Resources in writing.

The Director of Third Cycle Education is responsible for the following:

- giving the doctoral student the opportunity to comment in writing on the principal supervisor's report,
- in consultation with the Head of School, inviting the doctoral student, principal supervisor and programme director to a meeting to discuss the situation that has arisen and hear their respective views,
- prior to the meeting, informing the doctoral student of the content of the meeting and their right to bring a representative or assistant,
- meeting notes are taken and distributed to all participants,
- the doctoral student is given the opportunity to read and comment on the meeting notes,
- the meeting notes are written in Swedish and translated into English if necessary,
- the meeting notes are retained.

If a decision is made to revise the study plan, the revision shall include a timetable for the doctoral student's remaining studies and the doctoral student's obligations. It shall also clearly state the obligations of the principal supervisor and assistant supervisor and the other resources available to the doctoral student.

The Director of Third Cycle Education and supervisors regularly follow up on what has been decided. Further meetings and revisions may be necessary. If the supervisors find that, despite the agreed measures, the doctoral student continues to substantially disregard their obligations set out in the individual study plan, further handling will be in accordance with these rules of procedure.

2.2.1 Consultation

1. When the school is considering applying to withdraw resources, the Director of Third Cycle Education contacts Administrative Law and Human Resources, if they have not already done so.
2. The Director of Third Cycle Education, Administrative Law and Human Resources review the situation and the conditions for initiating a case for the withdrawal of a doctoral student's resources.
3. When the Director of Third Cycle Education, Administrative Law and Human Resources jointly conclude that a withdrawal case can be initiated, the Head of School shall, in

consultation with the Director of Third Cycle Education, make an application as described in section 2.3.

2.3 Application for the withdrawal of supervision and other resources

The application is made by the Head of School. The application is addressed to the President and sent to the Registrar. In normal cases, the application should be sent by e-mail. When e-mail is used, the application must be sent from a KTH e-mail address to registrator@kth.se.

The application must contain the following information:

- in what way the doctoral student has substantially neglected their obligations, and
- how KTH has fulfilled its obligations under the individual study plan.

The application shall also include the following documents:

- all versions of the doctoral student's individual study plan,
- a description of how the school has communicated with the doctoral student about the way in which they have substantially neglected their obligations,
- a description of the measures taken to enable the doctoral student's studies,
- information about when the doctoral student's individual study plans were drawn up and when they were followed up in accordance with Chapter 6, Section 29 of the Higher Education Ordinance,
- documentation from the meetings that have been held with the doctoral student, the doctoral student's supervisor, the Director of Third Cycle Education and the Programme Director,
- where appropriate, documentation of importance to the case, such as e-mail conversations,
- the supervisors' joint assessment of the doctoral student's current performance and ability to fulfil their obligations under the individual study plan.

2.4 The application is received

1. The case is opened by the Registrar and issued a registration number.
2. The case is directed to Administrative Law and a responsible administrative officer is appointed.

2.5 Investigation

1. The responsible administrative officer checks that the information in Ladok is consistent with the information in the application and that the student is enrolled as a doctoral student at KTH.
2. The responsible administrative officer reviews the application and, if necessary, requests any supplementary information from the school and other organisations at KTH.

3. The responsible administrative officer sends the application with appendices for translation from Swedish to English, if necessary.
4. The responsible administrative officer communicates the matter with the doctoral student concerned to give the student the opportunity to comment on the matter. The doctoral student is normally given three weeks to respond. As a general rule, the communication shall be by e-mail to the doctoral student's KTH e-mail address with a read receipt and delivery confirmation. If the doctoral student's KTH e-mail address is not registered in the case or in Ladok, the responsible officer will contact KTH's IT support to obtain it.
5. If the doctoral student has not returned a read receipt or other confirmation that they received the information, or if the doctoral student has not submitted a statement by the deadline for responding, the responsible administrative officer shall send a reminder to the doctoral student concerned to submit a statement.
6. Once the statement from the doctoral student concerned is received, the responsible administrative officer communicates the doctoral student's statement to the Head of School concerned and the Director of Third Cycle Education, who are given two weeks to submit a statement to the responsible administrative officer.
7. The responsible administrative officer communicates the school's statement to the doctoral student concerned. The doctoral student is normally given two weeks to respond.
8. If necessary, there is further communication in order for the case to be fully investigated.

2.6 Decision

1. The responsible administrative officer prepares a proposal for a decision by the President. The President's decision must always be written in Swedish.
2. The responsible administrative officer schedules a meeting with the President to present the matter.
3. After the presentation by the responsible administrative officer, the President makes a decision. If the decision is to withdraw resources, instructions on how to appeal are included with the decision.

2.7 Distribution

1. The responsible administrative officer sends the decision for translation from Swedish to English, if necessary.
2. The responsible administrative officer is responsible for distribution of the decision. The decision is sent to the doctoral student as the main recipient, with a copy sent to the school concerned. If the decision is to be translated, it is distributed once the translation is available. If translation is not required, the decision is distributed immediately after it has been made. If resources are to be withdrawn, the doctoral student shall also be informed of the process for getting their resources restored in accordance with Chapter 6, Section 31 of the Higher Education Ordinance. Distribution shall normally be by e-mail to the doctoral student's KTH e-mail address.

2.8 Appeal

Pursuant to Chapter 12, Section 2, Item 6 of the Higher Education Ordinance, a decision to withdraw resources for a doctoral student's studies may be appealed to the Higher Education Appeals Board. KTH's *Handläggningsordning för inkomna överklaganden* [Rules of procedure for appeals received] (V-2021-0597) contains more detailed provisions on how received appeals must be handled.

The responsible administrative officer informs the Director of Third Cycle Education, the school concerned and Human Resources that an appeal has been received.

3 Application to have resources restored

A doctoral student who has had supervision and other resources withdrawn is still enrolled in third-cycle studies at KTH. The doctoral student has the right to pursue third-cycle studies on their own and has the right to be assessed, i.e. to apply to submit a thesis and defend it at a public defence or at a licentiate seminar. The doctoral student can also apply to have their right to supervision and other resources restored.

Chapter 6, Section 31 of the Higher Education Ordinance (1993:100) contains the following provision.

Section 31 If educational resources have been withdrawn under Section 30, the third-cycle student may have their right to supervision and other resources restored after application to the vice-chancellor. The third-cycle student must then convincingly demonstrate, by presenting prospective study results of considerable quality and scope or in some other way, that they can fulfil their remaining obligations under the individual study plan.

3.1 The application is received

When an application is received from the doctoral student, it shall be handled as follows.

1. A doctoral student who requests to have their resources restored shall do so in an application addressed to the President and sent to the Registrar (registrator@kth.se). The case is opened by the Registrar and issued a registration number.
2. The case is directed to Administrative Law and a responsible administrative officer is appointed.
3. The responsible administrative officer informs the Director of Third Cycle Education at the school concerned that an application to have the right to supervision and other resources restored has been received from the doctoral student.

3.2 Investigation

1. The responsible administrative officer refers the case to the Director of Third Cycle Education at the school concerned to assess whether the additional credits awarded fulfil the requirements of Chapter 6, Section 31 of the Higher Education Ordinance.
2. The Director of Third Cycle Education's assessment is submitted to the responsible administrative officer.

3. If necessary, there is further communication from the administrative officer in order for the case to be fully investigated.

3.3 Decision

1. The responsible administrative officer prepares a final proposal for a decision by the President. The President's decision must always be written in Swedish.
2. The responsible administrative officer schedules a meeting with the President to present the matter.
3. After the presentation by the responsible administrative officer, the President makes a decision. If the decision is that the doctoral student's resources are not to be restored, instructions on how to appeal are included with the decision.

3.4 Distribution

1. The responsible officer sends the decision for translation from Swedish to English, if necessary.
2. The responsible administrative officer is responsible for distribution of the decision. The decision is sent to the doctoral student as the main recipient, with a copy sent to the school concerned. If the decision is to be translated, it is distributed once the translation is available. If translation is not required, the decision is distributed immediately after it has been made. Distribution shall normally be by e-mail to the doctoral student's KTH e-mail address.

3.5 Appeal

Pursuant to Chapter 12, Section 2, Item 6 of the Higher Education Ordinance, a decision that a student is not to recover withdrawn resources may be appealed to the Higher Education Appeals Board. KTH's *Handläggningsordning för inkomna överklaganden* [Rules of procedure for appeals received] (V-2021-0597) contains more detailed provisions on how received appeals must be handled.

The responsible administrative officer informs the Director of Third Cycle Education, the school concerned and Human Resources that an appeal has been received.

4 Document management

The responsible administrative officer is responsible for ensuring that documents in the case are registered and managed as specified in the information management plan and instructions for document management at KTH (UF-2013/0216). These governance documents state whether the documents must be registered or handled in another way, and whether they must be retained or destroyed.