

# DOCTORATE REGULATIONS





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SECTION I	GENERAL PROVISIONS	P. 4
SECTION II	ADMISSION TO THE PHD PROGRAMME	P. 7
SECTION III	THE SUPERVISOR AND CO-SUPERVISOR	P. 8
SECTION IV	THE DOCTORATE COMMITTEE	P. 10
SECTION V	THE PROGRAMME	P. 11
SECTION VI	THE DISSERTATION	P. 12
SECTION VII	THE ASSESSMENT OF THE DISSERTATION	P. 14
SECTION VIII	THE PHD CEREMONY	P. 16
SECTION IX	THE DISTINCTION OF <i>CUM LAUDE</i>	P. 18
SECTION X	DOUBLE DOCTORATE PROGRAMME AND JOINT DEGREE	P. 19
SECTION XI	DISPUTES	P. 20
SECTION XII	THE DEGREE OF DOCTOR <i>HONORIS CAUSA</i>	P. 21
SECTION XIII	FINAL AND TRANSITIONAL PROVISIONS	P. 22
	PROCEDURAL REGULATIONS	P. 23



# SECTION 01

## GENERAL PROVISIONS

### ARTICLE 1 DEFINITION OF TERMS

These regulations assume the following definitions:

Act	The Higher Education and Research Act (WHW; <i>Wet op Hoger Onderwijs en Wetenschappelijk Onderzoek</i> )	Final attainment levels	A specification of the knowledge and skills that the graduate must have demonstrated at the conclusion of the PhD programme
Doctorate Committee	The board established by the College of Deans, pursuant to Article 7.18, paragraph 4 of the Act, which decides whether the PhD candidate can be admitted to defend his Dissertation and in the presence of whom the PhD Ceremony takes place	Final <i>Doctoraal</i> examination:	The final degree exam for students in academic higher education prior to 2002
College of Deans	The College of Deans as defined in the Management Regulations	<i>lus promovendi</i>	The right to act as Supervisor.
Co-supervisor	The individual who, as an expert in (an area of) the field described in the Dissertation, assists the Supervisor in supervising the PhD candidate	Joint degree	The simultaneous granting of a single Degree Certificate by both the University and one or more Dutch or foreign universities for academic education, based on one and the same Dissertation
Credit	European credit (1 EC = 28 hours)	Management Regulations	The Management Regulations of VU Amsterdam
Cum laude	Qualification awarded to PhD candidates who, having defended their Dissertation, have achieved an outstanding level of scientific quality in the opinion of the Doctorate Committee	Master's degree	A Master's degree conferred in accordance with the final degree exam of a Master's programme at a university or university of applied sciences as referred to in the Act
Dean	The Dean of the faculty responsible for the PhD programme	PhD candidate	The individual who has been admitted to the Doctoral programme
Degree Certificate	Written evidence that the degree Doctor or Doctor of Philosophy has been awarded to the PhD candidate	PhD Ceremony	The public defence of the Dissertation and the conferral of the degree Doctor or Doctor of Philosophy
Degree Certificate Supplement	Supplement attached to the Degree Certificate showing the programme training components that have been successfully completed	Supervisor	The person who supervises the PhD candidate in the realization of the Dissertation and the PhD.
Dissertation	The academic discourse, in monograph or article form, on the basis of which the title Doctor or Doctor of Philosophy is awarded	Training and Supervision Plan	Document detailing the agreements on the training and supervision that the PhD candidate is to receive during the PhD programme
Double doctorate programme	The simultaneous granting of two degree certificates by both the University and a foreign university for academic education, based on one and the same Dissertation	University	Vrije Universiteit Amsterdam
Faculty	The faculty responsible for the PhD programme		

**ARTICLE 2**

1. The degree Doctor or Doctor of Philosophy may be obtained from the University after the candidate's successful public defence of his Dissertation.
2. The degree Doctor or Doctor of Philosophy is conferred by or on behalf of the College of Deans.
3. The PhD Ceremony takes place in the presence of a Doctorate Committee.

**ARTICLE 3**

Where these Regulations make reference to the Supervisor and/or Co-supervisor, these terms should be read as Supervisors and/or Co-supervisors in cases where more than one person has been appointed in these capacities.

**ARTICLE 4**

The masculine form of the personal pronoun is used throughout these Regulations and should (wherever applicable) be read as feminine in cases where the individuals concerned are female.

**ARTICLE 5**

With regard to the content of discussions during the closed sessions of the meeting of the Doctorate Committee, which follows the public defence of the Dissertation, confidentiality must be maintained.

**ARTICLE 6**

The PhD candidate, Supervisor and Co-supervisor must at all times observe the established norms of scientific integrity as formulated in the Netherlands Code of Conduct for Scientific Practice.

**ARTICLE 7**

1. The partner or spouse of the PhD candidate, a relative of the PhD candidate in the first or second degree or any other person who is in any way connected to the PhD candidate and who cannot reasonably be expected to be unbiased may not be appointed as Supervisor, Co-supervisor or as a member of the Doctorate Committee.
2. The partner or spouse of the Supervisor or Co-supervisor may not be appointed as a member of the Doctorate Committee.

**ARTICLE 8 REQUIREMENTS**

1. Those admitted to the PhD programme:
  - a. must, in accordance with Article 7.10a, paragraphs 1, 2 and 3 of the Act, hold a Master's degree or have successfully obtained an equivalent qualification at a foreign institute of higher education;
  - b. must meet any additional admission requirements set by the faculty;
  - c. must have submitted an approved Training and Supervision Plan; and
  - d. must have signed the Netherlands Code of Conduct for Scientific Practice.
2. In exceptional cases, the College of Deans may admit individuals to the PhD programme who meet conditions 1b, 1c and 1d, but not 1a.
3. In exceptional cases, the College of Deans may admit individuals to the PhD programme who meet condition 1a, but not conditions 1b and 1c.
4. An individual who already holds the degree of Doctor or equivalent may not be admitted to the PhD programme unless he intends to pursue a PhD based on a Dissertation devoted to research in an academic domain that is different from the domain involved in his initial PhD.

**ARTICLE 9 PROCEDURE**

1. The prospective Supervisor and the prospective PhD candidate must submit the admission form, the Training and Supervision Plan, and the signed Code of Conduct for Academic Practice to the dean of the faculty where the prospective Supervisor holds his position.
2. The admission form must state the prospective PhD candidate's name, address and e-mail address, the nature of the degree or qualification referred to in Article 8, paragraph 1a, the subject of the Dissertation, as well as the name, address, e-mail address and field of specialization (or area of expertise) of the prospective Supervisor, and if applicable, the name and field of specialization (or area of expertise) of the prospective Co-supervisor.
3. If it is the intention that the intended PhD Programme will be completed within a different faculty than that where the prospective Supervisor holds his position, the documents as referred to in Article 9, paragraph 1, must, notwithstanding the provisions set out there, be submitted to the Dean of the other relevant faculty.
4. The Training and Supervision Plan will be assessed in a manner to be determined by the faculty. If the Plan is approved, the admission form will be signed by the Dean of the faculty. The Dean then sends the admission form to the College of Deans.
5. The Dean may authorize the Graduate School to assume responsibility for the provisions of paragraph 4.
6. The College of Deans decides on the admission of the prospective PhD candidate to the PhD programme. With due regard to the provisions in Section III, the College of Deans also decides on the appointment of the Supervisor and the Co-promoter. The following persons will be informed of these decisions: the prospective PhD candidate, the Supervisor, the Co-supervisor (where applicable) and the Dean of the faculty.

**ARTICLE 10 IUS PROMOVENDI**

1. In accordance with the Management Regulations, during their professorship and, provided they have been discharged honourably, for five years after the end of their professorship, Full Professors have *ius promovendi*. In addition, on the basis of this article, the College of Deans can grant *ius promovendi* to other staff members.
2. *Ius promovendi* may be awarded to persons who hold a doctorate and who, in the opinion of the College of Deans, are competent to act as Supervisor.
3. In relation to a staff member who holds the position of Associate Professor, the fact that the requirement referred to in paragraph 2 has been satisfied may be determined on behalf of the College of Deans by the Dean of the faculty where the staff member concerned is employed. The Dean evaluates the competence of the staff member concerned in relation to the criteria set by the College of Deans for this purpose.
4. A staff member who holds the position of Associate Professor and who believes that the Dean of his faculty has, as a result of the evaluation referred to in paragraph 3, incorrectly assessed his competence in relation to the requirements set out in paragraph 2, may inform the College of Deans of this situation. He must submit a reasoned request to the College of Deans detailing why he believes this to be the case. Once the Dean in question has also given his account, the College of Deans will decide on the reasoned request submitted.
5. The fact that the requirement set out in paragraph 2 has been satisfied can also be determined on behalf of the College of Deans on the basis of a request, as described in Article 11, paragraph 7.
6. The *ius promovendi* of a staff member who is not a Full Professor shall end if his employment is terminated.

**ARTICLE 11 APPOINTMENT OF THE SUPERVISOR**

1. The College of Deans, on the advice of the Dean, appoints a staff member of the University to act as the PhD candidate's Supervisor.
2. The College of Deans, on the advice of the Dean, appoints a second Supervisor for each PhD candidate: a Supervisor or Co-supervisor.
3. In cases where two Supervisors are appointed, the requirements pertaining to the Supervisor in these Regulations apply to both supervisors.
4. Notwithstanding the provisions of paragraph 1, the College of Deans may, on the advice of the Dean, appoint a staff member from another Dutch university or a foreign institution for academic higher education as the Supervisor. In such cases, the College of Deans, on the advice of the Dean, appoints a staff member of the University as second Supervisor.
5. The Dean proposes the appointment of a Supervisor after hearing a substantial number of professors from the faculty. Which professors should be heard is to be determined on the basis of a rule that is part of the rules mentioned in Article 38, paragraph 2.
6. Supervisors must be full professors or have been granted *ius promovendi*. Co-supervisors must hold a doctorate.
7. In the event that a Dean wishes to appoint as Supervisor a staff member who holds a doctorate but has not yet been granted *ius promovendi*, the Dean will propose to the College of Deans that *ius promovendi* be granted to the relevant staff member. When submitting the request for admission of the PhD candidate to the PhD programme, he will add the motivation on the basis of which he deems it appropriate to grant that individual *ius promovendi* to this proposal.

8. No more than two Supervisors may be appointed per PhD candidate. In cases where more than one Supervisor is appointed, the Supervisor shall consult one another in order to allocate their respective tasks and responsibilities, in light of the wishes of the PhD candidate.
9. As soon as it becomes clear that the Supervisor is unlikely to still have *ius promovendi* when the PhD candidate will defend his Dissertation, the College of Deans, having consulted the PhD candidate and the Dean, nominates another Supervisor in his place, unless the College of Deans deems a new appointment to be unnecessary because more than one Supervisor has already been appointed. In such cases, the College can appoint the former Supervisor as Co-supervisor.

**ARTICLE 12 THE DUTIES OF THE SUPERVISOR**

1. The Supervisor shall be responsible for the supervision of the PhD Candidate and shall ensure that the PhD candidate conducts his research independently.
2. During the period of supervision and while the PhD candidate is preparing his Dissertation, the Supervisor and PhD candidate shall consult periodically as agreed in the Training and Supervision Plan. The Supervisor shall consult with the PhD candidate and the Co-supervisor regarding any changes that he feels should be made to the Dissertation.
3. The supervision referred to in the second paragraph is partly aimed at ensuring that the Dissertation is finalized by the deadline as stipulated in the Training and Supervision Plan.
4. The Supervisor shall ensure that the Dissertation meets the requirements which apply to it in accordance with these Regulations.

**ARTICLE 13 APPOINTMENT OF THE CO-SUPERVISOR; DUTIES OF THE CO-SUPERVISOR**

1. On the advice of the Dean, the College of Deans may appoint one or, if necessary, two Co-supervisors. The Dean shall ascertain the willingness of the individual(s) in question to accept their appointment as Co-supervisor(s).
2. The Dean proposes the appointment of a Co-supervisor after having consulted the Supervisor and other professors, as set out in Article 11, paragraph 5.
3. The Co-supervisor has expertise in (an area of) the subject of the Dissertation, assists the Supervisor in supervising the PhD candidate and assesses the quality of the Dissertation, making this assessment known to the Supervisor.
4. The Supervisor and Co-supervisor shall consult with the PhD candidate on the Co-supervisor's involvement in the periodic consultations between the Supervisor and the PhD candidate as referred to in Article 12, paragraph 2. members shall be professors.

## SECTION 04

## THE DOCTORATE COMMITTEE

### ARTICLE 14 COMPOSITION

1. For every PhD Ceremony, the Dean, following a reasoned proposal made by the Supervisor and when the Dissertation has been approved by the Supervising Professor, appoints the members of the Doctorate Committee. The Dean is authorized to dismiss the members of the Doctorate Committee from their duties.
2. For the appointment of the members of the Doctorate Committee, the Dean requires the consent of the professors, as referred to in Article 11, paragraph 5.
3. The Supervisor shall convene the Doctorate Committee and shall ascertain in advance the willingness of the individuals in question to accept their appointment to the Doctorate Committee.
4. The Doctorate Committee shall be composed of at least five members, including at least one member and at most two members who are affiliated with the faculty, of whom at most one shall be affiliated with the Supervisor's department. At least two members of the Doctorate Committee shall be affiliated with a university other than the university that is to confer the degree (including double degrees). These external members may not have co-authored articles that are included in the PhD candidate's Dissertation.
5. The members of the Doctorate Committee must hold a doctorate. At least two committee members are Full Professors and the majority have *ius promovendi*.
6. The Doctorate Committee shall be chaired by a Full Professor who is affiliated with the University or another staff member of the University who has *ius promovendi*. The Dean appoints one member of the Doctorate Committee to the post of Chair.
7. The Supervisor and if applicable, the Co-supervisor may not be members of the Doctorate Committee.

## SECTION 05

## THE TRAINING PROGRAMME

### ARTICLE 15 SCOPE AND CONTENT

1. The PhD candidate shall devote at least 30 EC (840 hours) to training.
2. The Dean is responsible for arranging a training programme of sufficient quality and for ensuring that the candidate has sufficient time and resources to take this programme.
3. The content of the training programme shall be recorded in the Training and Supervision Plan, and shall be specified by the Dean in advance in consultation with the PhD candidate and the Supervisor.
4. The Dean sets requirements in relation to the provisions of paragraph 1, which are part of the rules mentioned in Article 38, paragraph 2.
5. The Dean may grant an exemption covering all or parts of the provisions of paragraph 1

### ARTICLE 16 ASSESSMENT OF TRAINING

1. After the Supervisor has approved the Dissertation, the PhD candidate shall submit a request to the faculty to provide a Degree Certificate Supplement.
2. The PhD candidate's training shall be assessed in a manner to be established by the Board of the Faculty. The Dean shall inform the Supervisor of the results of the assessment; the Supervisor shall then inform the PhD candidate.
3. The Dean is responsible for drawing up the Degree Certificate Supplement and awarding this to the PhD candidate.
4. The Dean may authorize the Graduate School to assume responsibility for the provisions of paragraphs 1, 2 and 3.

## ARTICLE 17 REQUIREMENTS

1. The Dissertation demonstrates the PhD candidate's ability to carry out independent academic research.
2. The Dissertation shall consist of either a single academic discourse on a given subject or a collection of a number of separate academic articles, all or part of which have been published, on condition that these separate articles demonstrate sufficient cohesion in relation to a specific subject.
3. The faculty may set guidelines relating to the Dissertation, which are part of the rules set out in Article 38, paragraph 2. The Dissertation must be consistent with these guidelines.
4. The Dissertation may not contain any material that is *contra Deum aut bonos mores* (against God or good morals).
5. If the Dissertation consists of a collection of articles as referred to in the second paragraph, then the required coherence between the articles is to be made explicit in an introductory and/or concluding chapter.
6. If the Dissertation consists of a collection of articles as referred to in the second paragraph, then the PhD candidate's contribution to each article should be adequately demonstrated.

## ARTICLE 18 JOINT DISSERTATION

1. In the case of joint research conducted by two or three PhD candidates, the results of the research may be expressed in a joint Dissertation, provided that the following conditions have been met:
  - a. Each of the authors must have made an independent, clearly identifiable contribution which merits the award of a doctorate, and the Supervisor must be fully satisfied that this is the case.

- b. Each of the authors shall bear personal responsibility both for a clearly identifiable part of the Dissertation and for the coherence of the Dissertation as a whole.
  - c. The Dissertation shall clearly state the part played by each of the authors in the production of the Dissertation.
2. In the case of a joint Dissertation, the Supervisor shall submit to the Dean a written declaration regarding the contribution of each of the authors. The Dean shall forward this declaration to the College of Deans. This declaration must be signed by the Supervisor and all the authors of the Dissertation.
3. In the case of a joint Dissertation, the procedures and rules set out in these Regulations shall apply to each PhD candidate individually.

## ARTICLE 19 LANGUAGE

1. The Dissertation shall be written in Dutch, English, French or German, or in another language subject to the approval of the College of Deans.
2. If the Dissertation is written in Dutch, then a summary in Dutch and an English translation of the title and summary of the contents shall be appended to the Dissertation.
3. If the Dissertation is written in English, then an English summary of the contents shall be appended to the Dissertation.
4. If the Dissertation is written in French or German, then an English translation of the title and summary of the contents shall be appended to the Dissertation.
5. If the Dissertation is written in a language other than Dutch, English, French or German, then an English translation of the title and summary of the contents shall be appended to the Dissertation.

## ARTICLE 20 TITLE PAGE

1. The Dissertation shall include a title page in accordance with the model stipulated by the College of Deans. This title page requires the approval of the Rector Magnificus before the Dissertation may be copied for distribution. This provision applies equally to PhD programmes under Articles 34 and 35 of these Regulations.
2. The name of the Supervisor and the if applicable, the Co-supervisor shall be shown on the page following the title page of the Dissertation.
3. In cases where the doctoral research was partly made possible by support from outside the University, this may be mentioned on the page referred to in paragraph 2, subject to the approval of the Dean.

## ARTICLE 21 COPIES

1. Responsibility for copying and distributing the Dissertation lies with the PhD candidate.
2. The Dissertation may be printed or copied at the discretion of the PhD candidate, as long as the requirements of reasonable legibility are met.
3. The Dissertation shall be published in a conveniently sized format and in glue-bound or spiral-bound form, or with a stitched binding.
4. At least six weeks prior to the Public Defence, the PhD candidate shall submit an electronic version of the Dissertation, in its definitive form and layout, in a manner to be determined by the University Librarian.
5. At least five weeks prior to the Public Defence, the PhD candidate shall submit a number of hard copies of the Dissertation, as specified by the College of Deans, to the beadle of the University for the Rector, the Dean and the University Library.

6. At least four weeks prior to the Public Defence, an electronic version of the Dissertation shall be published by the University Library. In cases where the Dissertation or part of the Dissertation is subject to a publishing embargo, the electronic publication of the Dissertation shall be restricted to those parts of the Dissertation that are not subject to a publishing embargo and to the cover, the title page, the table of contents and the summary of the Dissertation in Dutch and in English. The parts of the Dissertation that are subject to a publishing embargo shall only be made public upon expiration of the embargo.
7. With a view to arranging the electronic version of the Dissertation, as stated in paragraph 4, the following conditions apply:
  - a. At least eight weeks prior to the Public Defence, the PhD candidate shall provide the University with a licence for non-exclusive publication of the Dissertation in electronic form, if necessary with a temporary publication embargo.
  - b. With regard to the provision of this licence, the PhD candidate is obliged to sign the standard licensing agreement drawn up by the Executive Board.
  - c. The licensing agreement specifies a reimbursement for the PhD candidate in exchange for the provision of the Dissertation in accordance with the stipulations of paragraphs 4 and 6.

**ARTICLE 22 FINAL ATTAINMENT LEVELS**

1. The PhD candidate has contributed to extending the frontiers of knowledge by conducting substantial and independent research that withstands the rigours of peer review.
2. The PhD candidate has demonstrated a systematic understanding of a substantial domain of knowledge and is competent in the skills and methodology needed for conducting research in this domain of knowledge.
3. The PhD candidate has demonstrated the ability to design, develop, implement and modify a substantial research project.
4. The PhD candidate has demonstrated his ability to critically analyse, evaluate and synthesize new and complex ideas within his field of expertise.
5. The PhD candidate has demonstrated his ability to communicate with peers from his field of knowledge and the wider scientific community regarding his specific field of expertise.

**ARTICLE 23 ASSESSMENT BY THE SUPERVISOR AND THE CO-SUPERVISOR**

1. The Dissertation shall be subject to the assessment of the Supervisor and if applicable, the Co-supervisor.
2. The Supervisor shall assess the Dissertation based on the requirements set by the faculty and the requirements put forth in these Regulations. The Supervisor shall take cognizance of the assessment of the Co-supervisor (where applicable) when assessing the Dissertation.
3. If the Supervisor and Co-supervisor (where applicable) are satisfied that the Dissertation meets all requirements, then they shall approve the Dissertation.
4. The Supervisor shall immediately notify the Dean and the PhD candidate in writing of the result of the assessment of the Dissertation.
5. In the event that the Supervisor does not approve the Dissertation, the College of Deans, at the request of the PhD candidate, may decide to nominate a different Supervisor after having heard the opinion of the Dean, who will consult the professors mentioned in Article 11, paragraph 5 regarding this matter, as well as the Supervisor and Co-supervisor (where applicable).

**ARTICLE 24 ASSESSMENT BY THE DOCTORATE COMMITTEE**

1. The Supervisor shall provide the Doctorate Committee with a reasoned proposal in which he sets out the grounds on which he feels that the PhD candidate has satisfied the final attainment levels as referred to in Article 22 of these Regulations.
2. The Doctorate Committee is responsible for assessing the quality of the PhD candidate's Dissertation as a whole, based on the principle hypothesis of the Dissertation as agreed between the Supervisor and the PhD candidate. The Doctorate Committee shall assess the manuscript based on the final attainment levels as referred to in Article 22 of these Regulations. All members make their assessment known only to the chair of the Doctorate Committee.
3. Within 30 days of receiving the Dissertation, the Chair of the Doctorate Committee shall formulate a reasoned summary assessment based on the assessments of the individual members of the Doctorate Committee. This assessment shall be accompanied by a reasoned assessment from each individual board member.
4. The Dean may extend the period referred to in the preceding paragraph by a single additional period of 30 days.
5. The Doctorate Committee and its individual members are free to add suggestions and/or proposals to their assessment.

6. The Chair of the Doctorate Committee may decide to give the PhD candidate the opportunity to amend the manuscript on the basis of the suggestions and/or recommendations made.
7. If a member of the Doctorate Committee submits a negative assessment, the Chair of the Doctorate Committee shall decide whether to inform the other members of the Doctorate Committee of this, and whether to convene the members for further deliberations.
8. The Doctorate Committee decides whether the manuscript is of sufficient quality to allow the PhD candidate to proceed to the defence of the Dissertation. The Chair of the Doctorate Committee communicates the board's assessment to the Dean. The Dean shall inform the Supervisor, and the Supervisor shall inform the PhD candidate.



# SECTION 08 THE PHD CEREMONY

## ARTICLE 25 REQUIREMENTS FOR ADMISSION TO THE DEFENCE OF THE DISSERTATION

- A PhD candidate will be permitted to proceed to the public defence when:
- the PhD candidate has written a manuscript that demonstrates his or her aptitude, which the Doctorate Committee has deemed to be of sufficient quality for the PhD candidate to proceed to the PhD Ceremony;
  - the PhD candidate has received the Degree Certificate Supplement; and
  - the PhD candidate has met all other requirements as set out in these Regulations.

## ARTICLE 26 PROCEDURE FOR ADMISSION TO THE DEFENCE OF THE DISSERTATION

- When the Dean has received the Doctorate Committee's assessment of the Dissertation and the advice of the faculty regarding the completed training, he shall decide on admission to the defence of the Dissertation.
- The Dean shall ensure that the College of Deans, the PhD candidate, the Supervisor and Co-supervisor (where applicable) are informed immediately of the decision to admit or deny the PhD candidate to the defence of the Dissertation.

## ARTICLE 27 FORM

- The PhD Ceremony shall take place in public, in the presence of the relevant Doctorate Committee.
- The public meeting of the College of Deans at which the PhD Ceremony shall take place shall be chaired by the Rector. He may be replaced in this capacity by a current or former member of the College of Deans, the deputy of the Dean of the faculty concerned, a Full Professor who is the chair of a department of the faculty, or, with prior approval from the College of Deans, a professor or emeritus professor of the faculty.

- The time and place of the PhD Ceremony shall be determined by or on behalf of the Rector in consultation with the Supervisor, the Dean and the PhD candidate.
- The College of Deans shall determine the protocol for the public defence of the Dissertation, as well as the official pronouncements prior to and after the public defence of the Dissertation, and the official pronouncement of the conferral of the doctorate.
- For each PhD Ceremony, the Doctorate Committee shall be augmented by the Supervisor(s) and if applicable, the Co-supervisor(s).

## ARTICLE 28 THE DEFENCE OF THE DISSERTATION

- The Dissertation shall be defended by the PhD candidate against objections raised by the Doctorate Committee, as well as by any other person present who has been given permission to do so by the Rector Magnificus for a period of one hour.
- The raising of objections and the defence of the Dissertation shall be conducted in Dutch, English, French or German. The use of another language is subject to the approval of the Rector Magnificus.
- The Supervisor shall wear the ceremonial cap and gown on occasion of the defence of the Dissertation, even if he is not a Full Professor.

## ARTICLE 29 MEETING OF THE DOCTORATE COMMITTEE

- The decision regarding the conferral of the degree Doctor or Doctor of Philosophy shall be made in a closed meeting of the Doctorate Committee immediately following the defence of the Dissertation.
- The Supervisor shall act as the secretary during this meeting. In exceptional circumstances, another member of the Doctorate Committee may be appointed as secretary by the Chair.
- The Dean, in consultation with the Supervisor, shall ensure that at least five members are present at the meeting, of whom at least three shall be members of the Doctorate Committee. Professors at the University are also entitled to attend the meeting.
- The following persons may participate in the deliberations during the meeting: the members of the Doctorate Committee, those who have been granted permission by the Rector Magnificus to participate in the Doctorate Committee's opposition, the Supervisor and Co-supervisor, and the professors who are entitled to attend the meeting on the basis of paragraph (3) of this Article.
- During the meeting, the decision regarding the conferral of the degree Doctor or Doctor of Philosophy shall be made by a simple majority vote among the members of the Doctorate Committee, with due regard to the PhD candidate's defence of his Dissertation. The other participants in the meeting have an advisory vote.

## ARTICLE 30 THE PHD CEREMONY

- Following the closed session, the Rector shall reconvene the public session and announce the results of the deliberations.
- If it has been decided to award the PhD candidate a degree Doctor or Doctor of Philosophy, the Supervisor shall then confer the doctorate, using the official pronouncement for conferral of the degree, and then present the Degree Certificate to the PhD candidate.
- The Supervisor or, subject to the permission of the Chair, the Co-supervisor then addresses the newly invested Doctor.

## ARTICLE 31 DEGREE CERTIFICATE

- The PhD candidate upon whom the degree Doctor or Doctor of Philosophy is conferred shall receive a Degree Certificate in Latin as proof thereof, signed by the Rector Magnificus and the Supervisor, and bearing the seal of the University.
- In addition to the Supervisor's signature, the Degree Certificate may also be signed by the Co-supervisor (if applicable).
- In the event that the degree Doctor or Doctor of Philosophy is conferred with the distinction of *cum laude*, this shall be stated on the Degree Certificate.

## SECTION 09

## THE DISTINCTION OF *CUM LAUDE*

### ARTICLE 32 PROCEDURE FOR AWARDING THE DISTINCTION

1. In cases where the Supervisor or if applicable, the Co-supervisor is of the opinion that the PhD candidate has demonstrated outstanding ability in his Dissertation, he shall submit a written and reasoned request to the Dean for the conferral of a doctorate with the distinction of *cum laude*. This request must be submitted at least 60 days prior to the PhD Ceremony. A request of this nature can also be submitted by any member of the Doctorate Committee within the same deadline of 60 days prior to the PhD Ceremony.
2. Once a request for the conferral of the *cum laude* distinction has been submitted, the Dean shall, without delay, submit this request to the Doctorate Committee.
3. The Doctorate Committee shall then respond in writing within 14 days, informing the Dean of its recommendation regarding the distinction of *cum laude*. If more than one member of the Doctorate Committee disagrees with the proposal of conferring the distinction of *cum laude*, then the Doctorate Committee will not recommend the conferral of the distinction.
4. If the Doctorate Committee is in favour of conferring the distinction of *cum laude*, then the Dean shall immediately appoint two external referees. To this end, the Supervisor shall nominate four individuals. The Dean shall then choose two of these individuals.

5. The referees must be Full Professors or Associate Professors, and experts in the field of the Dissertation. The referees may not be members of the Doctorate Committee.
6. The referees shall be asked to submit their recommendations to the Dean in confidence.
7. The proposal to confer the distinction of *cum laude* shall be raised by the Dean during the closed meeting of the Doctorate Committee, prior to the PhD Ceremony. The Professors from the faculty, as well as those authorized by the Rector Magnificus to participate in the opposition of the Doctorate Committee, shall receive a copy of the proposed request and advice at the meeting.

### ARTICLE 33 DECISION ON CONFERRAL

The decision on the conferral of the distinction of *cum laude* shall be taken following the defence of the Dissertation in accordance with Article 29, paragraph 5, and the distinction of *cum laude* shall be withheld if more than one of those entitled to vote at the meeting is opposed to its conferral.

## SECTION 10

## DOUBLE DOCTORATE PROGRAMME AND JOINT DEGREE

### ARTICLE 34 THE DOUBLE DOCTORATE PROGRAMME AND DOUBLE PHD CEREMONY

1. A double doctorate programme at the University may only take place with the prior written permission of the Rector Magnificus. The Rector Magnificus may attach conditions to the agreement concluded between the institutions involved.
2. A request for a double doctorate programme must be submitted in writing to the Rector Magnificus as part of the PhD candidate's Training and Supervision Plan. The request shall be submitted by the Supervisor and the Dean of the faculty where the Supervisor holds his position. The request must demonstrate that the Dissertation was prepared within the context of a formal collaboration between the two universities concerned and as part of a joint research programme.
3. The request for a double doctorate programme must be drawn up in accordance with a model developed for this purpose.
4. The requirements which apply to the conferral of a doctorate at the University are fully applicable, in addition to the following stipulations:
  - a. the PhD candidate may carry out the research under the supervision of a Supervisor from the University and a Supervisor from each partner institution that is part of the partnership.
  - b. The Dissertation must be approved by the Doctorate Committee of the University and by the Doctorate Committee or equivalent body at the foreign institution for academic higher education in question.
  - c. The Dissertation shall be defended at both the University and the foreign institution for academic higher education within 120 days.

### ARTICLE 35 THE JOINT DOCTORATE PROGRAMME AND JOINT DEGREE

1. A joint degree at the University may only take place with the prior written permission of the Rector Magnificus. The Rector Magnificus may attach conditions to the agreement concluded between the institutions involved.
2. A request for a joint degree programme must be submitted in writing to the Rector Magnificus as part of the PhD candidate's Training and Supervision Plan. The request shall be submitted by the Supervisor and the Dean of the faculty where the Supervisor holds his position. The request must demonstrate that the Dissertation is to be prepared within the context of a formal collaboration between the two universities concerned and as part of a joint research programme.
3. The request for a joint degree programme must be drawn up in accordance with a model developed for this purpose.
4. For a joint degree programme, the PhD candidate may carry out research under the supervision of a Supervisor from the University and a Supervisor from the partner institution with which the agreement is set up.
5. The joint degree is subject to the rules and regulations of the institution where the Dissertation is to be defended.
6. The doctorate shall be conferred by the College of Deans, together with the equivalent body at the partner institution.

## SECTION 11 DISPUTES

### ARTICLE 36 PROCEDURE

1. In the event of a dispute during the PhD programme or with regard to the approval of the Dissertation, the Dean shall act as mediator.
2. If the mediation does not lead to a resolution within eight days, then any of the parties involved may refer the case to the College of Deans.
3. The College of Deans shall then appoint a committee, made up of three professors not involved in the PhD programme, who shall make a recommendation regarding the dispute.
4. Having heard all parties involved and after consulting with experts as required, this committee shall submit a reasoned, written recommendation in the form of a draft decision to the College of Deans within 60 days of receipt of the request referred to in paragraph 2.
5. The College of Deans shall settle the dispute and make its decision known to the parties involved within 30 days of receipt of the recommendation.
6. If required, the College of Deans may extend the period referred to in paragraphs 4 and 5 by a single additional period of 30 days.

## SECTION 12 THE DEGREE OF DOCTOR *HONORIS CAUSA*

### ARTICLE 37

1. Having heard the University's Executive Board, the College of Deans shall make its decision concerning the conferral of an honorary doctorate (doctor *honoris causa*) in accordance with Article 27, paragraph 5 of the VU Amsterdam Management Regulations, on the basis of a nomination by a Dean.
2. The nomination for the award of the degree of doctor *honoris causa* must meet one or more of the criteria listed below:
  - a. Specialist academic performance without formal academic recognition, which should be reflected in publications that are generally regarded as being of high quality.
  - b. Multidisciplinary scientific research, which should be reflected in publications that are generally regarded as being of high quality, in lectures by invitation at international scientific meetings and at scientific institutes.
  - c. Activities with clear social and/or cultural significance appropriate to the special character of VU Amsterdam or persons whose activities express the particular character of the University, which can be assessed and confirmed by their words and deeds or in some other verifiable way.
3. Nominations of persons to whom an honorary doctorate has previously been granted shall not be taken into consideration, except in exceptional circumstances and at the discretion of the College of Deans.
4. The College of Deans shall determine the time at which and the manner in which the doctorate referred to in paragraph 1 shall be conferred.

**ARTICLE 38**

1. In cases not covered by these Regulations or in cases where a given Article is open to various interpretations, the final decision shall rest with the College of Deans.
2. The Dean, having consulted the professors of the faculty, has the authority to impose additional rules with regard to the process of obtaining a doctorate. These rules shall be subject to the approval of the College of Deans.

**ARTICLE 39**

Decisions regarding changes to these Regulations shall be taken by a simple majority vote of the College of Deans.

**ARTICLE 40**

The College of Deans may deviate from these Regulations with respect to PhD programmes where the application for admission occurred before 1 January 2015, provided that their actions are consistent with these Regulations as they were applied between 1 April 2010 and 1 April 2015 and there are compelling reasons for such a deviation.

**ARTICLE 41**

These Regulations entered into force on 1 September 2002 and were last amended on 1 February 2018.





1. An application for admission to the PhD programme is made once a PhD candidate has been employed, but no later than one month after the date of commencement of employment.
2. If a staff member of the University is approached to act as Supervisor for an aspiring PhD candidate who does not enter into employment with VU Amsterdam in that capacity, the following directive applies: once it is clear that the project in question is of genuine academic value and that the intended Promotor has assessed the Candidate as being capable of completing a Dissertation of sufficient quality, admission to the PhD programme should be applied for using Form I.
3. A request for admission to the PhD programme under Article 8, paragraph 1 must be accompanied by Form I, which is the request for admission (or proof of admission) to the PhD programme and nomination of the Supervisor and co-Supervisor (where applicable). The following must be submitted along with Form I:
  - a. A copy of an identity document that is legally valid in the Netherlands;
  - b. A certified copy of the diploma as referred to in Article 8, paragraph 1a;
  - c. A certified diploma supplement.
 If the documents referred to in 1a and 1b are not in the Dutch, English, French or German language, then they must be accompanied by a certified translation in one of these languages.
4. By signing Form I, the Dean indicates that the application for admission complies with the conditions for admission as stated in Article 8 of the VU Amsterdam Doctorate Regulations, i.e. that an approved training and supervision plan has been submitted and that the PhD candidate has signed the Netherlands Code of Conduct for Scientific Practice.
5. The email address and the full work address of the parties involved must be listed on Form I. The address of the University shall take precedence over any other address or work address.
6. In the case of an application for admission to the PhD programme under Article 8, paragraph 2, the following are to be submitted along with Form I:
  - a. Certified copies of relevant diplomas;
  - b. Certified summaries of the curriculum components taken, or a certified diploma supplement;
  - c. A copy of an identity document that is legally valid in the Netherlands;
  - d. Curriculum vitae including results of scientific work carried out;
  - e. The proposed Supervisor's reasoned opinion in which the applicant is deemed capable of conducting independent scientific research;
  - f. Assessment of the Dean.
 If these documents are not in the Dutch, English, French or German language, then they must be accompanied by a certified translation in one of these languages.
7. The College of Deans shall inform the candidate in writing of the decision regarding admission to the PhD programme and send copies to the Dean, the Supervisor and the Co-Supervisor. The addresses and email addresses of the Supervisor and the Co-Supervisor shall also be stated on Form I, insofar as these addresses are outside of the University.
8. The College of Deans has established criteria that illustrate whether a candidate who fulfils the position of associate professor has sufficient expertise to act as supervisor. The Dean assesses the competence based on the following criteria:
  - a. The Associate Professor is a good researcher, as demonstrated by positive assessment and recognition by peers, such as acquired grants, external funding for research projects, or the assessment 'excellent', or multiple peer-reviewed publications of excellent scientific quality.
  - b. The Associate Professor is a good Supervisor, as demonstrated by at least two successfully completed PhD-trajectories that he/she has supervised in the formal role of Co-Supervisor.
9. Notwithstanding the provisions of Article 11, paragraph 8 and Article 13, paragraph 1, in exceptional circumstances and on the reasoned proposal by the Dean, the College of Deans may decide to appoint a third Supervisor or Co-Supervisor. Under no circumstances may there be more than four (Co-)Supervisors per PhD candidate.
10. With regard to the provisions of Article 15, the training components may vary from specialist courses to participation in seminars and congresses, and activities and/or courses to enhance the PhD candidate's transferable skills. A minimum of credits have been set for mandatory training on good conduct for academic practice and scientific integrity (2 credits) and for conference visits (1 credit for attending, 2 credits for attending with paper and/or presentation). The Dean may grant an exemption covering all or parts of the PhD training programme. The Dean shall draw up further conditions that the training programme must meet.
11. PhD candidates who entered into employment at VU Amsterdam before 1 April 2015 and who were not given the opportunity to submit Form I prior to 1 April 2015 will not be obliged to comply with the training requirement, but will retain the entitlement to do so.
12. Agreements with the beadle on the date and time for the PhD ceremony can only be made once the College of Deans has received Form II as referred to in Article 26, paragraph 2. As a rule, the public defence shall begin at 9:45, 11:45, 13:45 or 15:45.
13. As a standard, the degree *Doctor of Philosophy* shall be put on the Degree Certificate (Philosophiæ Doctor). If desired, the PhD candidate can request the degree *Doctor* to be put on the Degree Certificate up to 6 weeks before the defence of the Dissertation.
14. In accordance with the provisions of Article 28, paragraph 1, the PhD candidate will devote one hour to the defence of his Dissertation. In consultation with the PhD candidate, the Dean may give the PhD candidate a maximum of 10 minutes at the beginning of this hour in which to present a general explanation of the research which forms the basis of the Dissertation.
15. Professors at the University, professors from other universities and those who are taking part in the closed session may walk in the procession. The professors shall wear the ceremonial cap and gown. Co-Supervisors and opponents who are not full professors are required to wear dark clothing in keeping with the occasion.
16. During the PhD ceremony, a male candidate is required to wear evening dress (white tie). A female candidate is required to wear clothing in keeping with the occasion. In special cases, the Rector Magnificus may honour a written request from the candidate and grant permission to wear a dark suit instead of a dress suit. A PhD candidate from abroad may be allowed to wear the traditional clothing of his native land during the PhD ceremony. The candidate may only make such a request after obtaining permission from the Supervisor and the Dean.
17. The PhD candidate may be assisted by two ceremonial assistants (*paranimfen*). The ceremonial assistants are required to observe the same dress code as the PhD candidate. If the PhD ceremony is held in the auditorium, the candidate may dispense with the support of ceremonial assistants if he so wishes.
18. The PhD ceremony, and in particular the defence of the Dissertation, is open to individuals of eight years of age and older. The PhD candidate must mention this age limit on any invitations he sends.

19. PhD ceremonies will be listed on the University's website and in the weekly press newsletter. The professors at the University receive a monthly schedule from the College of Deans in which all PhD ceremonies are listed.
20. If the PhD candidate intends to acknowledge support for his doctoral research that came from outside the University, then this may only be done in writing, in consultation with the Supervisor and with the permission of the Doctorate Committee. Statements of a commercial nature are not allowed in the Dissertation.
21. In the case of the conferral of a Joint Doctorate as referred to in Articles 34 and 35, a reference to the partner institution that is party to the Joint Doctorate shall be included on the front of the Degree Certificate and on the Statement which is added to the Degree Certificate.

