

# **UNIVERSITY OF GRONINGEN**

## **PHD REGULATIONS**

## Foreword

In 2012 the University of Groningen decided that its PhD regulations needed to be adapted to suit the demands and possibilities of the present time. This led to new regulations which will take effect as of 1 September 2013.

The new PhD regulations will serve as a foundation for several changes associated with the entire PhD procedure. These changes relate not only to the new regulations, but also to use of a registration and progress system for PhD students known as Hora Finita.

The new regulations were developed in consultation and collaboration with the University of Groningen's PhD Board and Graduate Schools. The most salient changes in comparison with the old PhD regulations are that:

- from now each PhD must be supervised by at least two formal supervisors, namely two full professors (*promotors*) or one full professor (*promotor*) and one co-supervisor (*copromotor*)
- the Graduate School Admissions Committee will make decisions regarding the admission of prospective students to a PhD programme
- a training and supervision plan must be drawn up by the PhD student and the supervisors before the PhD programme begins
- the PhD student will take an academic pledge at the PhD ceremony
- the PhD student will no longer be awarded a PhD degree by a Faculty, but by the University
- the PhD procedure will be monitored through a digital workflow.

With the new PhD regulations and the accompanying implementation regulations, the University of Groningen will have an up-to-date PhD system which will put the increasing number of PhD students and their supervisors in an even better position to complete PhD programmes successfully.

On behalf of the PhD Board,

Prof. E. Sterken  
Rector Magnificus

# CONTENTS

Foreword .....	2
Contents .....	3
Chapter 1 General provisions .....	4
Chapter 2 The PhD student .....	8
Chapter 3 Supervisors .....	11
Chapter 4 The PhD thesis .....	13
Chapter 5 Supervisors' assessment of the thesis .....	16
Chapter 6 The Assessment Committee.....	17
Chapter 7 The PhD Examining Committee .....	19
Chapter 8 The PhD ceremony.....	21
Chapter 9 With Distinction.....	22
Chapter 10 Certificate .....	23
Chapter 11 Honorary Doctorate.....	24
Chapter 12 Joint PhD degree.....	25
Chapter 13 Double PhD degree.....	27
Chapter 14 Dispute settlement regulations.....	29
Chapter 15 Concluding and transitional provisions.....	31
Appendices	
Appendix 1 Implementing regulations as referred to in Article 2.4(2).....	33
Appendix 2 Explanatory notes to the PhD regulations: general and section by section.....	36
Appendix 3 Some relevant Articles of the Act.....	42
Appendix 4 Protocol for joint PhD degrees with foreign partners.....	45
Appendix 5 Protocol for the PhD ceremony .....	48
Appendix 6 PhD timeline .....	53
Appendix 7 Model title page and its reverse side for PhD thesis.....	55
Appendix 8 Example of a Licence agreement for non-exclusive publication of the PhD thesis.....	57

# Chapter 1

## GENERAL PROVISIONS

### **Article 1.1**            **Definition of terms**

1. In these regulations the following definitions apply:

the Act/WHW	Higher Education and Research Act ( <i>Wet op het hoger onderwijs en wetenschappelijk onderzoek</i> ), ( <i>Stb.</i> (Bulletin of Acts and Decrees) 1992, 593, and any subsequent amendments).
Admissions Committee	the Graduate School Admissions Committee set up on behalf of the Dean to assess whether or not the prospective PhD student should be admitted to a PhD programme
Assessment Committee	the Assessment Committee which has been appointed by the PhD Board or the Dean to assess the thesis submitted by the PhD student
AWB	the General Administrative Law Act ( <i>Algemene wet bestuursrecht</i> ) which took effect on 1 January 1994 and any subsequent amendments
BBR	Administrative Regulations ( <i>Bestuurs- en Beheersreglement</i> ) of the University of Groningen
Board of the University	the Board of the University referred to in Articles 9.2 ff. of the Act; in these regulations, the Board of the University of Groningen
CAO-NU	the collective employment agreement for Dutch Universities referred to in Article 4.5 of the WHW
Confidential advisor	a person who has been appointed by the Board of the University as a confidential advisor on matters of academic integrity
Co-supervisor	a University Reader/Associate Professor, an Assistant Professor/Lecturer with a PhD or a researcher of the same level with a PhD who has been appointed by the Dean on behalf of the PhD Board to assist the supervisor(s) in supervising the PhD student
Dean	the chair of the Faculty Board within the meaning of Article 9.12 of the Act; in these regulations in his capacity as a member of the PhD Board with a mandate (see 1.2.2.)

Degree programme	a degree programme within the meaning of Article 7.3 ff. of the Act, in combination with Article 2.3.1. ff. of the University of Groningen BBR
Faculty	a faculty of the University of Groningen within the meaning of Article 9.11 of the Act
Full professor	a post-holder referred to Articles 9.19 and 9.55 of the Act; a regular professor or professor by special appointment or an associate professor with the right to be the primary supervisor of a PhD student ( <i>ius promovendi</i> ) or an honorary professor at the University of Groningen
Graduate School	a graduate school as referred to in Chapter 2 of the University of Groningen BBR
PhD Board	the PhD Board referred to in Article 9.10 of the Act; in these regulations, the PhD Board of the University of Groningen
PhD ceremony	the public defence of the PhD thesis on the basis of which the PhD can be conferred
PhD Examining Committee	the committee, appointed by the Dean on behalf of the PhD Board by virtue of Article 7.18(4) of the Act in conjunction with Chapter 7 of these PhD regulations, which decides whether the PhD student can be permitted to defend his or her PhD thesis and in the presence of which the defence must take place
PhD programme	the programme that is drawn up depending on the PhD student's knowledge and experience
PhD research	the academic research on which the PhD thesis is based
PhD student	a person who has been given permission to start the PhD programme under Article 7.18(2) or (3) of the Act in conjunction with Chapter 2 of these PhD regulations, and who as such has been admitted by the PhD Board or the Dean to the PhD programme
PhD thesis	an academic thesis in book form, or one or more journal articles, in writing or in digital form, or a technological design as referred to in Article 7.18(2b) of the Act in conjunction with Chapter 4 of these PhD regulations
Primary supervisor	a full professor appointed as such by the Dean on behalf of the PhD Board by virtue of Article 7.18(4) of the Act in conjunction with Chapter 3 of these PhD regulations with extra responsibilities and powers regarding the PhD student
Rector Magnificus	the post-holder referred to in Article 9.3(1) of the Act, who is also chair of the PhD Board

Regulations	the PhD regulations of the University of Groningen, within the meaning of Article 7.19 of the Act
Supervisor	the full professor appointed as such by the Dean on behalf of the PhD Board by virtue of Article 7.18(4) of the Act in conjunction with Chapter 3 of these PhD regulations
University	a Dutch or foreign university

2. Any masculine forms used in these regulations, the explanatory notes and the appendices should be read as feminine forms if they refer to a female person or post-holder.

### **Article 1.2                      *Composition of PhD Board***

1. The Rector Magnificus is the chair and also a member of the PhD Board. If the Rector Magnificus is absent, a Dean appointed by him can act as deputy chair of the PhD Board. The chair represents the PhD Board both within and outside the University of Groningen, both at law and otherwise.
2. At the University of Groningen the PhD Board consists of the Deans of the faculties (the College of Deans, see Article 2.6.1(3) University of Groningen BBR).
3. Secretarial services for the PhD Board will be provided by the secretarial staff of the Rector Magnificus and the PhD degree registration office of the University of Groningen.

### **Article 1.3                      *Mandate/Sub-Mandate***

- 1a. The PhD Board may give the Rector Magnificus a mandate to perform the tasks and exercise the powers set out in the Act, the University of Groningen BBR and in these PhD regulations, including the power to give a sub-mandate to another member of the Board to perform certain tasks and exercise certain powers.
- 1b. The PhD Board is authorized to change or withdraw this mandate at any time, and also to take action itself or to have some other party take action while the mandate remains in force, provided the person who has been given the mandate is notified.
- 1c. The Rector Magnificus or a member of the Board who has been given a mandate to perform the tasks and exercise the powers referred to in Article 1.3.1a will be accountable to the PhD Board. He will provide the Board with the requisite information either on request or at his own discretion.
- 2a. In consultation with the Rector Magnificus, the Dean may, for a period to be determined in advance, give a sub-mandate to the Graduate School Admissions Committee of the Faculty in question to perform the tasks and exercise the powers relating to admission to a PhD programme that are set out in these regulations.
- 2b. The Admissions Committee will consist of at least three individuals, employed by the University of Groningen. The director of the Graduate School is an ex officio member and chair of the Admissions Committee. Only full professors can be members of the Admissions Committee, unless the Rector Magnificus decides otherwise.
- 2c. The Dean is authorized at all times to change or withdraw the sub-mandate referred to in Article 1.3.2a., and also to take action himself or have someone else take action while the mandate is still in force.

- 2d. The Dean will immediately notify the PhD Board, specifically the Rector Magnificus and the person with a sub-mandate, of any decisions regarding the issuing of, amendment to or withdrawal of a sub-mandate.
- 2e. The Admissions Committee which has been given a sub-mandate will be accountable to the Dean for performing the tasks and exercising the powers referred to in Article 1.3.2a. and will provide the Dean with the requisite information.

#### **Article 1.4            The PhD degree**

1. At the University of Groningen a PhD degree is conferred on the basis of the defence of thesis, subject to the rest of the provisions of these PhD regulations.
2. The PhD Board will award the PhD.
3. The defence will take place in the presence of the PhD Board or of a PhD Examining Committee appointed by the PhD Board.
4. The PhD Examining Committee referred to in Article 1.4.3 will consist of full professors both from the University of Groningen and from other Dutch or foreign universities. University Readers/Associate Professors and Assistant Professors/Lecturers with PhDs may serve as advisory members of the committee. The composition of the committee is set out in greater detail in Article 7.1.

#### **Article 1.5            Scope of these regulations**

The PhD regulations of the University of Groningen will apply to all PhD degrees at this University and, subject to the provisions of Chapters 12 and 13, to PhDs which are awarded as a result of collaboration between this University and other universities elsewhere, to the extent that no different agreements were reached when this collaboration was entered into.

#### **Article 1.6            Duty of confidentiality**

Subject to the provisions of Article 2.5 AWB and what is stated about them in the CAO-NU, those present at or involved in correspondence about a defence and the matters discussed at or in connection with the non-public meetings referred to in Chapters 6, 7 and 8 and in connection with the matters discussed and the correspondence relating to awarding the *cum laude* distinction referred to in Chapter 9, and in connection with granting honorary doctorates as referred to in Chapter 11, and also with regard to the correspondence and the matters discussed in relation to the dispute settlement regulations set out in Chapter 14 of these PhD regulations, have a duty of confidentiality.

#### **Article 1.7            Confidential advisor on matters of academic integrity**

1. The University has confidential advisors on matters of academic integrity.
2. The confidential advisors will carry out their duties in accordance with the University's Regulations for the Protection of Academic Integrity.

# Chapter 2

## THE PHD STUDENT

### **Article 2.1**      **Definition**

A PhD student is an individual who has been admitted to the PhD programme and has in fact embarked on writing a PhD thesis.

### **Article 2.2**      **Finding supervisors (promotores) and co-supervisors (copromotores)**

1. Prospective PhD students will discuss their PhD project with the professors and lecturers who are in their opinion the most suitable or with the professor who has already taken responsibility for the supervision of the PhD project.
2. The request for the appointment of supervisor(s) and co-supervisor(s) must comply with Article 2.3 and must indicate the ranking order. At least two supervisors (*promotores*) or one supervisor (*promotor*) and one co-supervisor (*copromotor*) will be appointed. The maximum number of supervisors is three. In exceptional cases a fourth supervisor can be appointed.
3. If a prospective PhD student cannot find a supervisor or co-supervisor, the prospective PhD student will look for candidates in conjunction with the director of the Graduate School. The director of the Graduate School will submit a nomination to the Dean for approval.
4. If a conflict arises between one of the supervisors and the PhD student during the PhD programme, they will refer the conflict to the director of the Graduate School, who will attempt to resolve the matter.

### **Article 2.3**      **Application for admission to the PhD programme**

1. The prospective PhD student will be admitted to the PhD programme if the Graduate School Admissions Committee in question has, in accordance with the relevant admission procedure, responded positively to the application for admission. To be admitted, the prospective PhD student will at least supply a certified copy of his Master's certificate and a copy of his passport, and a training and supervision plan. The training and supervision plan will at least state the subject of the PhD thesis and the names of the primary and other supervisors and co-supervisors the PhD student would like the director of the Graduate School to appoint.
2. Prospective PhD students who are not basing their application to be admitted to the PhD programme on an examination as referred to in Article 2.4.1a, taken at the University of Groningen, will, along with their application to the Admissions Committee, submit a copy of their passport and a certified copy of a certificate acquired elsewhere by passing an examination within the meaning of Article 2.4.1a of these PhD regulations, or, if they have not obtained a Master's degree as referred to in Article 2.4.1a, they must follow the procedure of the implementing regulations referred to in Article 2.4.2.



3. The Admissions Committee will notify the prospective PhD student of its decision regarding the application referred to in Article 2.3.1 and 2.3.2 as soon as possible, but within six weeks at the most. In special cases this time limit can be extended.

4. If the subject of the PhD is not in the same field as the examination referred to in Article 2.3.1 and 2.3.2, then notwithstanding Article 2.3.3 the PhD Board will make its decision regarding admission to the PhD programme on the basis of a well-substantiated proposal presented by the prospective PhD student.

5. As soon as the application for admission to the PhD programme has been approved, the PhD student and the supervisors and co-supervisors will, in accordance with the requirements of the Graduate School, submit a fully completed training and supervision plan to the Graduate School for approval by the director of the Graduate School, at the latest at the beginning of the PhD programme, stating the subject of the PhD thesis and the names of the supervisors and co-supervisors the PhD student wants appointed or approved, and if possible the dates on which the result and development meetings will take place. After the training and supervision plan has been approved by the director, it will be signed by the Dean. The Dean is responsible for registering the training and supervision plan in Hora Finita.

6. PhD students will confirm in Hora Finita that they will adhere to the Dutch Code of Conduct for Academic Practice issued by the Association of Universities in the Netherlands (VSNU) and the University of Groningen's Regulations for the Protection of Academic Integrity.

#### **Article 2.4 Admission to the PhD programme**

1. The PhD programme is open to everyone who:
  - a. has been awarded a Master's degree by virtue of Article 7.10a(1, 2 or 3) of the WHW, in accordance with the provisions of Article 7.18.2 of the Act, and
  - b. has demonstrated the ability to conduct independent academic research by writing a PhD thesis, and
  - c. has met the other requirements set out in these PhD regulations.
2. In special cases the PhD Board may admit to the PhD programme individuals who meet the requirements set out in Article 2.4.1b. and c., but not those set out in 2.4.1a. (see Article 7.18.3 of the Act). For this purpose the PhD Board will establish implementing regulations. See Appendix 1, parts A and B, of these PhD regulations.

#### **Article 2.5 Responsibility for the PhD thesis**

1. The PhD student must have conducted the academic research described in the PhD thesis independently or have made an essential contribution to parts of it. The PhD student must be responsible or partly responsible for the PhD thesis.
2. In the case of jointly conducted academic research, the results of the research may lead to a joint PhD thesis by two PhD students, provided the following requirements have been met:
  - each of the authors has made an independent and distinguishable contribution which is sufficient for the PhD degree, to the satisfaction of the supervisors and co-supervisors
  - each of the authors accepts personal responsibility both for a particular part of the PhD thesis and for the coherence of the thesis as a whole

- it is indicated in the PhD thesis which share each author had in writing it
- each of the authors has added the required number of propositions to the thesis as referred to in Article 4.2.

3. In the case of a joint PhD thesis as referred to in Article 2.5.2, the procedures and rules set out in these regulations apply for each PhD student separately.

**Article 2.6            *Collaboration with supervisors***

The PhD student will submit the manuscript to the supervisors and co-supervisors in its entirety or in sections, will make alterations as agreed, and will then submit the manuscript to them again for approval.

# Chapter 3

## SUPERVISORS

### **Article 3.1 Appointment of supervisors (promotores)**

After the Dean has appointed the primary and other supervisors by means of signing the training and supervision plan referred to in Article 2.3, the Dean will ensure that the names of the supervisors are registered in Hora Finita. The supervisors appointed will include at least one full professor from the University of Groningen; in addition to this supervisor, one or two full professors from some other university in the Netherlands or another country can be appointed as supervisors. The primary supervisor must be a professor at the University of Groningen.

If an intended second or third supervisor is a professor at a foreign university, the Dean will conduct a detailed investigation before appointing that professor.

### **Article 3.2 Appointment of co-supervisor(s) (copromotores)**

1. At the proposal of the PhD student and with the consent of the supervisor(s) and the intended co-supervisor, the director of the Graduate School of the Faculty in question may also appoint a co-supervisor to supervise the PhD student.
2. The prospective co-supervisor must be employed by a university; however, the primary supervisor and other supervisors may ask the Rector Magnificus in writing, stating the reasons, to make an exception to this. The co-supervisor must have the right to use the title 'Doctor' in the Netherlands and must have expertise in the relevant academic field or fields, although not hold the *ius promovendi*.
3. Full professors may not act as co-supervisors.
4. The proposal of the PhD student referred to in Article 3.2.1 must be submitted in time for the co-supervisor to provide a substantial amount of supervision of the preparations for and writing of the PhD thesis.
5. A co-supervisor will be an advisory member of the PhD Examining Committee referred to in Article 1.4.4. His name will be listed on the reverse side of the title page of the PhD thesis in question.

### **Article 3.3 Duties of supervisors**

1. The supervisors and co-supervisors will be responsible for accepting the manuscript as a PhD thesis and will ensure that the PhD thesis meets the academic standards that generally apply to a PhD thesis. The Netherlands Qualification Framework will serve as a guideline for this standard.
2. The supervisors and co-supervisors will supervise the PhD student in writing the thesis and will also ensure that the deadlines that have been agreed or can be considered reasonable for the assessment and discussion of drafts submitted to them are met.
3. The supervisors and co-supervisors will take note of the content of the manuscript of the PhD thesis, assess the manuscript submitted or parts of it, and consider

whether it meets the requirements supervisors and co-supervisors can have by virtue of their responsibility for the PhD thesis.

4. The supervisors and co-supervisors may suggest alterations and/or additions to the manuscript. The PhD student will follow these suggestions as much as possible.

5. A supervisor or co-supervisor may only withdraw as supervisor or co-supervisor in exceptional cases, stating the reasons. The supervisor or co-supervisor will notify the PhD student, the other supervisors and co-supervisors, the director of the Graduate School and the Dean of his withdrawal without delay. Article 2.2.3 will apply *mutatis mutandis*.

#### **Article 3.4**            ***Honourably discharged professors***

1. An honourably discharged professor may only act as supervisor if he was appointed as supervisor before his discharge and if his approval of the PhD thesis is given within five years of his discharge.

2. If approval of the PhD thesis is not given within five years of the supervisor's honourable discharge, the appointment will lapse and the Dean will appoint another professor as supervisor, on the recommendation of the director of the Graduate School and after hearing the views of the PhD student, unless in the Dean's opinion – provided more than one supervisor was appointed – the appointment of a new supervisor is unnecessary.

#### **Article 3.5**            ***Several supervisors***

1. The director of the Graduate School of the faculty in question may appoint a maximum of three supervisors (supervisors and co-supervisors). In exceptional cases a fourth supervisor may be appointed.

2. The supervisors and co-supervisors will allocate the tasks among themselves, taking the PhD student's views into account. This allocation of tasks will be recorded in a written statement, which – if more than one supervisor has been appointed – will indicate which person is the primary supervisor.

3. The distribution of tasks will not affect the responsibility of the supervisors and co-supervisors for the PhD thesis as a whole.

4. The supervisors and co-supervisors will approve the PhD thesis jointly and will jointly give the PhD student a statement regarding the defensibility of the propositions as referred to in Article 4.2.

#### **Article 3.6**            ***Prohibited relationships***

Close family members of the PhD student (to the fourth degree) or other individuals who have a relationship with the PhD student that means that they cannot reasonably be required to pass judgment will not be eligible for appointment as supervisors and co-supervisors.

# Chapter 4

## THE PHD THESIS

### **Article 4.1**      **Definition**

1. The PhD thesis is:
  - a. an academic thesis about a certain subject, or
  - b. a compilation of academic publications that may or may not have appeared previously, or
  - c. a tangible technological design, accompanied by thorough documentation which can be taken away and examined.
  
2. Where these PhD regulations refer to the PhD thesis, the term may also be taken to mean a part of a PhD thesis as referred to in Article 2.5.2 of these regulations.
  
3. To the extent to which the University of Groningen is the employer of the PhD student, as regards intellectual property rights the CAO-NU and the Patents Act will apply.

The University of Groningen is entitled to store this work in the relevant section of the University of Groningen Library, to be used for the purpose of academic teaching and research, and to publish it on the internet as referred to in Article 4.7.
  
4. The PhD student must ensure that the copyright provisions are met, as elaborated in article 4.7 and appendix 8; the licence agreement.
  
5. Data (such as databases) with accompanying explanatory notes will certainly be made available for further academic research.

The Rector Magnificus may grant a full or partial exemption from this requirement for a certain period if there are compelling reasons to do so.

### **Article 4.2**      **Propositions**

1. At least six propositions must be added to the PhD thesis. These propositions must be academically defensible. As soon as possible after approval of the PhD thesis as referred to in Article 5.1, the PhD student will submit the propositions to the supervisors and co-supervisors through Hora Finita. The supervisors will assess the quality of the propositions submitted and also assess whether the propositions are defensible.
  
2. The supervisors and co-supervisors will ensure that the decision as to whether or not the propositions are defensible is registered in Hora Finita.

### **Article 4.3**      **Language**

1. The PhD thesis and the propositions added to it will be written in Dutch or English, or, with the approval of the PhD Board, in some other language.
  
2. If the PhD thesis is written in Dutch, a translation of the title (and any subtitle) and also an academic summary of the content in English will be included as an appendix to the thesis. If the PhD thesis is written in English, it will include a title (and any subtitle) and also an academic summary of the content in Dutch as an appendix to the thesis.

3. If a PhD thesis is written in a combination of languages, for the Dutch sections a translation of the title and an academic summary of the contents in a permitted language will be included. For the non-Dutch sections, an academic summary of the texts and the title in Dutch must be included.

4. If the PhD thesis is written in a language other than Dutch or English, it must include the title and an academic summary in Dutch and also a translation into English of the title and the summary.

5. Optionally, a summary in Dutch for non-experts may be included in the PhD thesis.

6. The abstracts for non-experts which are intended for the Communication Office and for the University of Groningen Library will be written in Dutch and English, each containing a maximum of 250 words.

#### **Article 4.4 Contents**

1. The PhD thesis must include:

- a title page which complies with the format set out in Appendix 7
- a list of contents
- an introduction which at least includes the research question of the PhD thesis
- the academic analysis
- the conclusion
- the academic summary
- if possible a name and subject index and/or a source index
- a short biography of the PhD student

The propositions are added to the PhD thesis on a loose sheet.

2. If required, the PhD student may include a brief and concise foreword and a summary in Dutch for non-experts.

#### **Article 4.5 Compilation of academic publications as a PhD thesis**

1. Article 4.4 will apply *mutatis mutandis* to a PhD thesis consisting of a compilation of academic publications which may or may not have been published previously. The coherence of these publications will be shown in an introduction and a summarizing conclusion. The publications in question will be added as chapters.

2. Academic publications are eligible only if they meet the following criteria:

- a. the publications must form a coherent whole; a guideline for this is that they have been published within a period of five years before the PhD thesis is submitted to the supervisors for assessment.
- b. written consent must be given for use in the thesis of publications for which the copyright has been given to third parties
- c. a written statement by the supervisors must be submitted to the Assessment Committee showing that the PhD student's share is an essential part of the research project in question.

#### **Article 4.6 Form**

1. The PhD thesis and the propositions that go with it will be made available in both printed and digital form.

2. Two ISBN's (International Standard Book Number) for the PhD thesis will be requested through the website of the University of Groningen Library; one for the printed version and one for the electronic version.

**Article 4.7                      *Printing and delivery of the PhD thesis***

1. After receiving notification of admission as referred to in Article 6.3, the Rector Magnificus will give the PhD student permission to have the PhD thesis printed.

2. As soon as possible after the PhD thesis and the accompanying propositions have been printed, but three weeks before the date of the defence at the latest, the PhD student will deliver

\* to the PhD degree registration office of the University of Groningen, Broerstraat 5, Academiegebouw:

- 5 printed copies of the PhD thesis and the propositions that go with it
- 1 printed title page

\* to the Graduate School:

- 1 printed copy of the PhD thesis and the propositions that go with it

\* through Hora Finita:

- to the University of Groningen Library, Broerstraat 4: the digital versions of the PhD thesis and the propositions that go with it; if a commercial edition of the PhD thesis is also being published, then when the electronic version is delivered, a copy must be provided of an agreement with the publisher in which the publisher consents to publication of the digital version
- for the Communication Office and the University of Groningen Repository, the electronic versions of the 2 abstracts for non-experts, in Dutch and in English, each a maximum of 250 words.

3. The University of Groningen Library will make both printed and electronic versions of the PhD thesis available, in principle before the PhD ceremony (provisionally, stating the date of the PhD ceremony), but at the latest one month after the PhD ceremony. The electronic version will be made public through the University of Groningen Repository. The Rector Magnificus may grant a full or partial exemption from publication for a certain period if there are compelling reasons to do so.

# Chapter 5

## ASSESSMENT OF PHD THESIS BY THE SUPERVISORS

### **Article 5.1**      **Approval of PhD thesis by the supervisors**

1. If the supervisors and co-supervisors are of the opinion that the PhD thesis meets the required academic standard and can be regarded as an adequate demonstration of competence to carry out independent academic research, the supervisors will give their approval.
2. The supervisors will be responsible for registering their approval in Hora Finita, after which the PhD student, the Dean and the director of the Graduate School will automatically be notified of this.

### **Article 5.2**      **Refusal by supervisors to approve PhD thesis**

1. If a supervisor withholds approval of the PhD thesis, then at the request of the PhD student and after hearing the views of the student the supervisors and the co-supervisors, the Dean will decide whether to appoint a different supervisor.
2. If a co-supervisor withholds approval of the PhD thesis, then at the request of the PhD student and after hearing the views of the student the supervisors and the co-supervisors, the Dean will decide whether to appoint a different co-supervisor, unless in the Dean's opinion the appointment of a new co-supervisor is unnecessary, because there are already several supervisors and co-supervisors.

### **Article 5.3**      **Time limit**

The response of the supervisors and co-supervisors to a written request by the PhD student for approval of his PhD thesis must be provided within six weeks and if it states that approval is withheld it must state the reasons.

### **Article 5.4**      **Further procedure**

1. As soon as possible after receiving the approval referred to in Article 5.1. and if necessary of the statement referred to in Article 2.4.2, and after the appointment of the Assessment Committee referred to in Article 6.1, the PhD student will submit the PhD thesis which has been approved by the supervisors and the co-supervisors, with a submission letter, to the Dean and the members of the Assessment Committee.
2. Through Hora Finita, the PhD student will also submit the title page of the PhD thesis, in keeping with the designated format, to the PhD degree registration office.



# Chapter 6

## THE ASSESSMENT COMMITTEE

### **Article 6.1**      **The Assessment Committee**

1. As soon as possible after receiving the approval referred to in Article 5.1, the Dean of the Faculty covering the subject area of the PhD thesis will appoint an Assessment Committee.
2. The Assessment Committee will consist of three individuals. In the case of a joint PhD degree or a double PhD degree, the committee will consist of four individuals. The primary supervisor will make a recommendation regarding the composition of the Assessment Committee. After approval by the Dean, the primary supervisor will ascertain whether the candidates are prepared to be members of the Assessment Committee.
3. Only full professors employed by a university who have not co-authored with the PhD student may be members of the Assessment Committee. The Assessment Committee will consist of at least one professor from the University of Groningen and one professor from another university in the Netherlands or another country. Professors from foreign universities must be of a standard at least equal to the Dutch standard.  
For honourably discharged professors, the rule applies that they may be members of the Assessment Committee for up to five years after their honourable discharge.
4. Article 3.6 applies *mutatis mutandis* to membership of the Assessment Committee.

### **Article 6.2**      **Chair of the Assessment Committee**

The Dean will chair the Assessment Committee. The chair will not be a member of the Assessment Committee.

### **Article 6.3**      **The Assessment Committee's decision**

1. Within six weeks of its appointment the Assessment Committee will announce its decision about the PhD thesis.
2. If the members of the Assessment Committee wish to meet to discuss the thesis, their discussions will be confidential.
3. When making its decision, the Assessment Committee will limit itself to a qualitative judgment of the main features of the study submitted, based on the research question agreed between the supervisors and the PhD student.
4. All members of the Assessment Committee will provide a substantiated opinion in writing of the PhD thesis through Hora Finita. If at least one of the members of the Assessment Committee gives a negative assessment, the Dean will decide about approval of the PhD thesis. The Dean will consult the members of the Assessment Committee in connection with this decision.

5. The chair of the committee will ensure that the approval or rejection is registered through Hora Finita, after which the PhD student, the primary supervisor, the PhD degree registration office, the director of the Graduate School and if necessary the members of the Assessment Committee are notified of the decision.

6. If approval is withheld as referred to in the second sentence of Article 6.3.4, then unless the Dean decides otherwise, the committee will be deemed to have been dissolved after making its decision known. The primary supervisor may ask the Dean to appoint a new Assessment Committee. Members of the dissolved committee may be members of this new committee.

7. In the case of a negative assessment as referred to in the third sentence of Article 6.3.4, unless the Dean decides otherwise, the committee will be deemed to have been dissolved after making its decision known. The primary supervisor may ask the Dean to appoint a new Assessment Committee. Members of the dissolved committee may be members of this new committee.

# Chapter 7

## THE PHD EXAMINING COMMITTEE

### **Article 7.1**                    **Composition of the PhD Examining Committee**

1. As soon as possible after being notified of the decision referred to in Article 6.3.4, the Dean will give the PhD student permission to proceed to the defence and will appoint a PhD Examining Committee on the recommendation of the primary supervisor. The defence will then take place in the presence of this committee.

2. The PhD Examining Committee will include at least five individuals and will consist of:

- full professors, both from the PhD student's own university and from other universities in the Netherlands or other countries and
- a maximum of 2 University Readers/Associate Professors or Lecturers/Assistant Professors with PhDs.

The members of the Assessment Committee and the chair referred to in Article 7.2 will be included in this number but not the expert(s) referred to in Article 7.3. The supervisors are not members of the PhD Examining Committee.

Professors from a foreign university must hold a position which is equivalent to that of a professor appointed by a Dutch university.

The primary supervisor will check in advance whether the intended individuals are prepared to sit on the PhD Examining Committee.

3. Article 3.6 will apply *mutatis mutandis* to membership of the PhD Examining Committee.

4. At least half of the committee members will be affiliated with the University of Groningen. The primary supervisor may ask the Rector Magnificus in writing, stating the reasons, to exclude application of this clause.

### **Article 7.2**                    **Chair of the PhD Examining Committee**

1. The chair of the PhD Examining Committee will be the Rector Magnificus or his deputy. The chair will be a member of the PhD Examining Committee.

2. The chair will invite members of the committee to speak and tell them when to stop.

3. The chair will appoint one of the members of the committee as the secretary. The secretary will be a full professor employed by the University of Groningen.

### **Article 7.3**                    **Expert**

At the request of the primary supervisor, the Dean may admit to the defence individuals who may use the title 'Doctor' in the Netherlands and who are specialists in the subject area (or part of the subject area) of the PhD thesis; if the committee

agrees, they will take part in the opposition and will have an advisory vote in the deliberations about whether or not to award the PhD degree.

**Article 7.4            *Taking part in the opposition***

During the defence a maximum of nine individuals may take part in the opposition. This number does not include opposition from the audience.

**Article 7.5            *Convening the PhD Examining Committee***

The Dean will convene the PhD Examining Committee in good time for a closed meeting prior to the defence.

**Article 7.6            *Substitution of a member of the PhD Examining Committee***

If due to circumstances a member of the PhD Examining Committee is unable to attend the meeting or the defence, the primary supervisor must ensure a substitute is found or arrange virtual opposition (to which Articles 7.1.4 and 3.6 will also apply) if the number of members no longer meets the requirements of Article 7.1.2. Virtual opposition is permitted for one member at the most. The primary supervisor must notify the Dean of this 48 hours before the beginning of the defence at the latest, subject to force majeure or special circumstances.

# Chapter 8

## THE PHD CEREMONY

### **Article 8.1**      ***Date, time, place***

1. The PhD student will discuss the date of the PhD ceremony with the supervisors, co-supervisors and the Dean as soon as possible after receiving notification of the approval of the manuscript as referred to in Article 5.1. Subject to the approval of the Assessment Committee, the date, time and place will be fixed by the PhD degree registration office.

2. The provisions of the protocol (see Appendix 5) also apply.

### **Article 8.2**      ***Public ceremony***

Subject to the provisions of Article 1.4.3, the defence will be open to the public.

### **Article 8.3**      ***Defence of the PhD thesis***

1. The PhD ceremony, including the defence of the PhD thesis, will be conducted in Dutch or, with the permission of the Rector Magnificus, in some other language.

2. The defence will end 45 minutes after the beginning of the public session; the session will be terminated by the chair.

### **Article 8.4**      ***Decision-making***

1. After the defence has been terminated, the PhD Examining Committee, on behalf of the PhD Board, will make a decision at a closed meeting about awarding the PhD degree.

2. When deciding whether or not to award the PhD degree, the committee will take into account the decision of the Assessment Committee referred to in Article 6.3.1 and the candidate's defence of the PhD thesis.

3. A refusal to award the PhD degree on the grounds of the candidate's defence of the PhD thesis must be based on the unanimous opinion of the PhD Examining Committee.

# Chapter 9

## CUM LAUDE

### **Article 9.1**      **Proposal to award the cum laude distinction**

1. If a PhD candidate has shown outstanding ability to conduct independent academic research, the PhD Examining Committee, on behalf of the PhD Board, may decide to confer the *cum laude* distinction (an honours distinction).

2. A proposal to award the *cum laude* distinction can be put forward by the primary supervisor or by a member of the Assessment Committee. A proposal in writing stating the reasons must be submitted confidentially to the Dean at least eight weeks before the date of the defence.

3. The Assessment Committee must be unanimous in their opinion that the *cum laude* distinction should be conferred. At the request of the Dean the Assessment Committee will nominate at least two external referees who are full professors in the subject area of the PhD thesis. These referees must not have co-authored publications with the PhD student. The Dean will appoint two or more referees, preferably from those nominated, but the Dean may also decide to choose someone else. The external referees will submit confidential recommendations in writing to the Dean through Hora Finita within three weeks of being appointed.

4. If at least two referees have assessed the PhD student's work as 'outstanding', the Dean will make this and the proposal to award the *cum laude* distinction known to the members of the PhD Examining Committee as soon as possible.

5. The Dean will ensure that the proposal referred to in Article 9.1.4 is registered in Hora Finita, after which it will be automatically registered by the PhD degree registration office.

6. Regarding the proposal to award the *cum laude* distinction, the PhD Examining Committee will take note of:

- the significance and degree of originality of the research question and methods
- the academic and technical standard of the work
- the opinions of the external referees
- the quality of the defence
- the share of others than the PhD student in the PhD project
- language and style.

7. At the meeting referred to in Article 8.4.1 about the proposal to award the PhD degree, a secret ballot will be held among the members of the PhD Examining Committee who are eligible to vote to decide whether or not to award the *cum laude* distinction. Votes may only be for or against the proposal. A vote against the proposal will be based on the quality of the defence. The proposal will be rejected if more than one vote is cast against it. In all other cases the proposal will be accepted. The Rector Magnificus, though a member of the PhD Examining Committee, will abstain from voting.

# Chapter 10

## CERTIFICATE

### **Article 10.1**      **Certificate**

1. As proof that the PhD degree has been awarded, the new Doctor will receive a certificate in Latin signed by the Rector Magnificus, the secretary of the PhD Examining Committee and the supervisors (*promotores*) and a statement written in English.
2. If the PhD degree has been awarded the *cum laude* distinction, this will be stated on the certificate.
3. As proof of successful completion of the Graduate School's degree programme, the student may also be given a certificate from the Graduate School in addition to the PhD degree certificate.

# Chapter 11

## HONORARY DOCTORATE

### **Article 11.1**      **Authority to award an honorary doctorate**

The PhD Board may award natural persons honorary PhDs for outstanding contributions to academic disciplines represented at the University of Groningen.

### **Article 11.2**      **Procedure**

1. In response to a proposal submitted to the PhD Board to that end, if possible with the nomination of a supervisor, the Board of the most appropriate faculty may recommend the conferral of an honorary doctorate.
2. A recommendation in writing, accompanied by a detailed account of the reasons, a biography and a list of publications, will be sent confidentially to the Rector Magnificus, who will present the recommendation to the PhD Board.
3. If the PhD Board intends to accept the recommendation, the opinion of the Board of the University will be sought.
4. With due regard for the views of the Board of the University, the PhD Board will make a decision regarding the conferral of the honorary doctorate. If the PhD Board decides in favour, it will also appoint one or two professors as supervisors.
5. The decision referred to in Article 11.2.4 will be made known in writing, confidentially, to the Board of the University, the Dean in question, the supervisor(s) and the candidate.
6. Except in special circumstances, an honorary doctorate will not be conferred upon an individual who is not present in person at the session referred to in Article 11.4.1.
7. The decision will not be made public until the candidate has stated that he or she will accept the honorary doctorate and will be present in person at the session referred to in Article 11.4.1, subject to the provisions of Article 11.2.6.

### **Article 11.3**      **Regalia**

The honorary doctor will receive a certificate from the supervisor(s), signed by the Rector Magnificus, the members of the PhD Board and the supervisor(s). He will also receive the *cappa* (special shoulderpiece).

### **Article 11.4**      **Presentation of the regalia**

1. The regalia associated with the conferral of the honorary doctorate will be presented during a special public session of the PhD Board: the honorary PhD ceremony.
2. On behalf of the PhD Board, the Rector Magnificus will invite interested parties to attend this ceremony.



# Chapter 12

## JOINT PHD DEGREE

### **Article 12.1. Definition**

1. Arrangements may be made between the University of Groningen and one or more other universities, possibly in different countries, about awarding a joint PhD degree on the basis of a PhD thesis which meets the provisions of this chapter. These arrangements will be recorded in an agreement which must be submitted to the Board of the University of Groningen for signature. This agreement must be entered into at least two years before the planned PhD ceremony.
2. For further rules, see the Protocol (Appendix 4).

### **Article 12.2 PhD research project**

1. The PhD research project and the thesis based on it must be the result of one or more research programmes established jointly by the University of Groningen and one or more universities as referred to in Article 12.1. To as great an extent as possible, the teaching and research programmes will be set up in consultation with the Dutch or foreign partner university.
2. In principle, the PhD research project and the PhD thesis must contain an international component.
3. If possible, the PhD student should spend a proportionate amount of the time for the PhD research project at the partner university or universities to follow course units and/or to conduct research for the PhD thesis. A statement about this will be submitted to the PhD Board. If this is impossible, the University of Groningen supervisor should demonstrate that during at least a proportionate amount of the time spent on the PhD project he has been responsible for the supervision of the PhD student.

### **Article 12.3 The PhD thesis**

1. Subject to the provisions of this chapter, the PhD thesis must meet the requirements set out in these regulations.
2. If the PhD thesis is written in Dutch, it must be accompanied by a detailed academic summary in English.

### **Article 12.4 The Assessment Committee and the PhD Examining Committee**

The Assessment Committee and the PhD Examining Committee referred to in Chapters 6 and 7 must each include at least one member from each university involved.

**Article 12.5**      ***The defence of the PhD thesis***

The defence of the PhD thesis will be conducted wholly or partially in Dutch, English or the language of at least one of the countries in which the foreign university referred to in Article 12.1 is located.

**Article 12.6**      ***The certificate***

The certificate referred to in Chapter 10 will be presented also on behalf of the universities referred to in Article 12.1.

# Chapter 13

## DOUBLE PHD DEGREE

### **Article 13.1**      **Definition**

1. Agreements may be reached between the University of Groningen and another university, possibly in a different country, about jointly awarding a double PhD degree on the basis of a PhD thesis which meets the provisions of this chapter. These agreements will be recorded in an agreement which will be submitted to the Board of the University of Groningen for signature. This agreement must be entered into at least two years before the planned PhD ceremony.
2. For a double PhD degree, a PhD degree is conferred by two universities separately on the basis of a programme that has been approved by both universities and for which the research has been conducted for at least six months at each of the universities. The two universities bear joint responsibility for supervision and will be represented in both the Assessment Committee and the PhD Examining Committee.
3. For further rules, see the protocol for joint PhD degrees (Appendix 4).

### **Article 13.2**      **PhD research project**

1. The PhD research project and the thesis based on it must be the result of one or more research programmes established jointly by the University of Groningen and one or more universities as referred to in Article 13.1. To as great an extent as possible, the teaching and research programmes will be set up in consultation with the Dutch or foreign partner university.
2. In principle, the PhD research project and the PhD thesis must contain an international component.
3. If possible, the PhD student should spend a proportionate amount of the time for the PhD research project at the partner university to follow course units and/or to conduct research for the PhD thesis. A statement about this will be submitted to the PhD Board. If this is impossible, the University of Groningen primary supervisor should demonstrate that during at least a proportionate amount of the period spent on the PhD project, he has been responsible for the supervision of the PhD student.

### **Article 13.3**      **The PhD thesis**

1. Subject to the provisions of this chapter, the PhD thesis must meet the requirements set out in these regulations.
2. If the PhD thesis is written in Dutch, it must be accompanied by a detailed academic summary in English.

**Article 13.4**            ***The Assessment Committee and the PhD Examining Committee***

The Assessment Committee and the PhD Examining Committee referred to in Chapters 6 and 7 must each include at least one member from each university involved.

**Article 13.5**            ***The defence of the PhD thesis***

The defence of the PhD thesis will be conducted wholly or partially in Dutch, English or in the language of the country in which the foreign university referred to in Article 13.1 is located.

**Article 13.6**            ***The certificate***

The certificate referred to in Chapter 10 will be presented with the consent of the institution referred to in Article 13.1. The reverse side of the certificate will contain a reference to the certificate of the university with which the agreement was entered into.

# Chapter 14

## DISPUTE SETTLEMENT

### **Article 14.1**      **General**

1. The provisions of the AWB will apply.
2. The PhD regulations do not address the settlement of legal status disputes.

### **Article 14.2**      **Disputes regarding the implementation of the PhD regulations, administrative appeal**

1. If a dispute arises in connection with the implementation of the provisions or the appendices of these regulations concerning a decision by or on behalf of the PhD Board, an interested party may submit a substantiated notice of objection to the PhD Board within six weeks of being notified of the decision.
2. A committee as referred to in Article 7:13 of the AWB will prepare the PhD Board's decision regarding the notice of objection; this is the Disputes Committee referred to in Chapter 5 of the BBR.
3. The committee will consist of a chair and two other members. The chair must meet the requirements for appointment as district court judge and must not be employed by the University of Groningen. The two other members will be full professors who are not members of and do not act under the responsibility of the PhD Board.
4. While preparing its recommendations, the committee will hear the parties involved and will be entitled to gain any information which is necessary to perform its duties responsibly.
5. The committee will make recommendations in writing to the PhD Board. The recommendations will be accompanied by written accounts of the hearings.
6. Notwithstanding the provisions of the AWB, in certain cases the PhD Board may decide upon request to adjust the internal time limits referred to in the PhD regulations.

### **Article 14.3**      **Decision of the PhD Board**

1. Within four weeks after receiving the recommendations, but within ten weeks at the most after receiving the notice of objection, the PhD Board will make its decision known in writing, stating the reasons, to the person who submitted the objection and to other parties involved.
2. If the decision regarding the objection differs from the recommendation made by the committee referred to in Article 14.2.5, the reason for this difference will be stated; in all cases the committee's recommendation will be sent along with the decision.

**Article 14.4**      ***Appeal to the administrative court***

Within six weeks after the decision has been made known to the person who submitted the objection, an interested party may appeal against the decision of the PhD Board as referred to in Article 14.3.1 in court, provided the contested decision can be appealed under the General Administrative Law Act.

# Chapter 15

## CONCLUDING AND TRANSITIONAL PROVISIONS

### ***Article 15.1***

1. In cases not covered by these regulations, or if there is a difference of opinion as to the interpretation of the provisions of these regulations, the PhD Board will decide.
2. In very exceptional cases, the PhD Board, at the suggestion of the Rector Magnificus, may deviate from these regulations, subject to mandatory legal provisions.
3. Requests to deviate from the regulations must be submitted to the PhD Board in writing, stating the reasons.

### ***Article 15.2***

If the provisions of these regulations are not complied with, the Rector Magnificus is authorized to postpone the defence until a date to be determined at his discretion.

### ***Article 15.3***

1. All pending applications for admission to a PhD programme will, unless the PhD Board decides otherwise, be brought into line with these regulations as of the date these regulations take effect.
2. Individuals who have already been awarded a PhD degree by a Faculty at the University of Groningen and are registered in Hora Finita for a new PhD programme will be permitted to finish that programme.

### ***Article 15.4***

1. These regulations may be cited as 'University of Groningen PhD regulations 2013', or 'PhD regulations, University of Groningen 2013'.
2. These regulations will take effect as of 1 September 2013. The provisions of the second sentence of Article 2.2.2 will apply to PhD programmes which have started after 20 February 2013.
3. Subject to the second sentence of Article 15.4.2, the previous PhD regulations will then lapse.

Established by the PhD Board on 12 June 2013 and approved by the Board of the University of Groningen on 15 July 2013.

# Appendices



# Appendix 1

## IMPLEMENTING REGULATIONS AS REFERRED TO IN ARTICLE 2.4.2

### **A. ADMISSION to a PhD programme in exceptional cases on the basis of Dutch certificates, if the prospective PhD student does not meet the requirement set out in Article 2.4.1a.**

#### ***Article A.1*      *Mandate***

The power referred to in Article 2.4.2, to the extent that it applies to assessment of applications to be admitted to PhD programmes on the basis of Dutch certificates, will be exercised by the Graduate School Admissions Committee in question, on behalf of the Dean in question and at the request of the PhD Board.

#### ***Article A.2*      *Objective***

The prospective PhD student must satisfy the Graduate School Admissions Committee that he is able to conduct independent academic research and has a realistic chance of completing a PhD thesis.

#### ***Article A.3*      *Documentation***

A prospective PhD student must substantiate his application as much as possible by providing certificates, academic publications, letters of recommendation regarding positions held, written statements by academic researchers and the proposed supervisors.

#### ***Article A.4*      *Procedure***

1. In accordance with the current admissions procedure the prospective PhD student must submit an application in writing, accompanied by the available documentation, to the Admissions Committee to be admitted to a PhD programme.
2. The Admissions Committee will decide on the basis of the documents submitted whether or not it considers the candidate capable of conducting independent research which could lead to a completed PhD thesis, before the candidate is appointed to a position and/or starts the PhD research. If necessary, the Admissions Committee in question will interview the applicant. The Admissions Committee will communicate its decision in writing, stating the reasons. This may be accompanied by a recommendation that the candidate should make up certain deficiencies.
3. The Admissions Committee will make its decision known to the applicant in writing, stating the reasons, within six weeks. If the decision cannot be made within six weeks, the Admissions Committee will notify the applicant of this and state a reasonable time limit within which the decision can be expected.
4. If the final decision is positive, the applicant will be admitted to the PhD programme. If the final decision is negative, the applicant will not be admitted to the PhD programme.

5. Chapter 14 of the PhD regulations will apply *mutatis mutandis*.
6. Once the Admissions Committee has decided that the applicant will be admitted to the PhD programme, the other provisions of the PhD regulations will apply.

## **B. ADMISSION to a PhD programme in exceptional cases in which the requirement set out in Article 2.4.1a has not been met, on the basis of foreign certificates**

### **Article B.1 Mandate**

The power referred to in Article 2.4.2, to the extent that it relates to applications to be admitted to a PhD programme on the basis of foreign certificates, will be exercised by the Graduate School Admissions Committee in question, on behalf of the Dean in question and at the request of the PhD Board.

### **Article B.2 Objective**

The prospective PhD student must satisfy the Graduate School Admissions Committee that he is able to conduct independent academic research and has a realistic chance of completing a PhD thesis.

### **Article B.3 Documentation**

A prospective PhD student must substantiate his application as much as possible by providing certificates, academic publications, letters of recommendation regarding positions held and written statements by academic researchers and the proposed supervisors.

### **Article B.4 Procedure**

1. In accordance with the current admissions procedure, the prospective PhD student must submit an application in writing, accompanied by the available documentation, to the Admissions Committee, which will compare the candidate's previous training with the Dutch standard.
2. The Admissions Committee will decide on the basis of the documents submitted whether or not it considers that the candidate is capable of conducting independent research which could lead to a completed PhD thesis, before the candidate is appointed to a position and/or starts the PhD research. If necessary, the Admissions Committee in question will interview the applicant. The Admissions Committee will make its decision in writing, stating the reasons.
3. The Admissions Committee will make its decision known to the applicant in writing, stating the reasons, within six weeks. If the decision cannot be made within six weeks, the Admissions Committee will notify the applicant of this and state a reasonable time limit within which the decision can be expected.
4. If the final decision is positive, the applicant will be admitted to the PhD programme. If the final decision is negative, the applicant will not be admitted to the PhD programme.

5. Chapter 14 of the PhD regulations will apply *mutatis mutandis*.

6. Once the Admissions Committee has decided that the applicant will be admitted to the PhD programme, the other provisions of the PhD regulations will apply.

# Appendix 2

## EXPLANATORY NOTES TO THE PHD REGULATIONS: GENERAL AND SECTION BY SECTION

The purpose of this appendix is to explain the rules in the PhD regulations. Should any difference of opinion arise, the text of the PhD regulations will prevail.

### 1. General

The authority for the PhD regulations lies with the PhD Board (Article 9.10 WHW). Article 7.19 of the WHW gives this PhD Board the mandate to establish PhD regulations. Apart from this, the Act restricts itself to providing a facilitating framework. The text of a few relevant articles of the Act is included in Appendix 3. These regulations also comply with the requirements of the General Administrative Law Act.

### 2. Section by section explanatory notes

#### Chapter 1 General Provisions

##### *Articles 1.2 and 1.4*

The WHW's point of departure is a system of an undifferentiated PhD degree. The underlying reason for this is that with increasing specialization in academic disciplines and increasing differentiation between universities it is no longer meaningful to confer a PhD degree in a certain academic field. Such a qualification creates the impression of expertise in the entire field, whereas in reality the expertise in question is in a certain area of a field or an area where two academic fields overlap to such an extent that it is difficult to choose. A PhD degree is at present more a research qualification; it is an academic qualification only in relation to the subject of research.

#### Chapter 2 The PhD student

##### *Article 2.2*

In most cases the supervisors and co-supervisors have been working with the PhD student for a long time; satisfactory collaboration is a crucial prerequisite for the success of the PhD research project. If they agree, and if the teaching and the research of the supervisors match the subject of the PhD research to a sufficient degree, then as a rule the Dean will appoint the individuals nominated.

##### *Article 2.3*

The University of Groningen has a procedure for admission to a PhD programme (see Implementing Regulation 1A or 1B in Appendix 1). Before beginning a PhD programme, the PhD student, along with the supervisors and co-supervisors, draws up a training and supervision plan which marks the beginning of the PhD programme.

As a rule, the Graduate School in question will register the training and supervision plan in Hora Finita at the request of the Dean.

In accordance with Article 2.3.6, the required compliance with the rules regarding academic integrity will be explicitly pointed out to the PhD student.

#### *Article 2.4*

Under the WHW, a Dutch Master's degree directly entitles the holder to apply for a PhD programme. A foreign certificate or a certificate other than of a Master's degree requires an additional procedure for the holder to be admitted to a PhD programme. At the University of Groningen the rule is that permission to proceed to the PhD defence ceremony is granted only after admission to the PhD programme has been granted.

### **Chapter 3 Supervisors**

#### *Articles 3.1 and 3.2*

All PhD students at the University of Groningen must be supervised by more than one individual. For all PhDs at the University of Groningen the primary supervisor (*eerste promotor*) must be affiliated with the University of Groningen.

It may occur that in view of the field of research a specialist who is a professor from another university is asked to take charge of part of the supervision as a supervisor (*promotor*). Of course it is possible that this person was in contact with the PhD student first and that it is only at a later stage of the research that it has become helpful to get in touch with a primary supervisor affiliated with the University of Groningen.

It often happens that a PhD student conducts his research under a supervisor who does not have the *ius promovendi* (a legal right to present a candidate for a PhD). It is desirable for this person (the co-supervisor) to be given a place in the procedure to ensure that they can also contribute to the assessment.

If a co-supervisor gains the *ius promovendi* during the PhD procedure before the supervisors already appointed have approved the PhD thesis, then with the consent of the other supervisors and the PhD student this co-supervisor can also be appointed as a supervisor.

The Dean may delegate the registration of the names of the supervisors to the Graduate School.

#### *Article 3.3*

The supervisors and co-supervisors are also responsible for the content of the PhD thesis and their supervision must be substantial. The intention of the regulations means that it is impossible for a professor of the University of Groningen to be associated with a PhD programme pro forma.

#### *Article 3.4*

The *ius promovendi* is associated with being a full professor. It lapses by operation of law (Article 9.19 WHW) five years after the honourable discharge of a professor; however, the five-year extension is only possible if the professor in question was appointed as a supervisor before being honourably discharged. For the PhD student this means that if he wants to keep the same supervisor, he must try to ensure his PhD thesis is approved by the Assessment Committee within those five years.

#### *Article 3.5*

The view of the PhD Board is that the group of supervisors in its ultimate form should be an assessing body; because it can be expected from supervisors and co-supervisors that their assessment of the PhD thesis will be positive, the maximum number of supervisors and co-supervisors is three.

### **Chapter 4 The PhD thesis**

#### *Articles 4.4 and 4.5*

The PhD thesis will be assessed as a whole, that is, including any appendices and foreword.

In the case of a PhD thesis or other academic work it is assumed that when the work is complete all relevant information that can reasonably be known has been incorporated into the work. The PhD Board's guideline for this is a period of five years of validity for publications based on research which was terminated after the publication. Deviation from this guideline might occur for instance for a certain separate section in the PhD thesis. The PhD student can prevent this by updating the research in question (at this stage the PhD student is in fact still working on it). Sometimes several authors want to use the same publication for a PhD thesis. The criterion to use is whether or not the author contributed the essential share in the research project; it is up to the supervisor to decide. In principle it does not matter whether the person in question is the first or subsequent author; this is why no particular order has to prevail as regards who uses the publication first for their PhD.

#### *Article 4.6*

The PhD candidate is expected to make the PhD thesis available in book form and electronic form through the repository of the University of Groningen. It must be readable and must have a clear structure. It must meet the standards of neatness and the book must not contain any inappropriate information such as advertisements etc. (except for a very modest reference – possibly with a logo – to a sponsor at the back). The propositions are added as a separate document. The PhD student must also apply for two ISBN's through the University of Groningen Library, one for the electronic and one for the paper version; this makes it easier to find the PhD thesis. The ISBN's are to be mentioned on the copyright page of the thesis (not the reverse side of the official title page) in the following format:

ISBN 978-90-367-6311-0 (printed version)

ISBN 978-90-367-6312-7 (electronic version)

The ISBN's can be requested via: <http://isbntool.ub.rug.nl/>

#### *Article 4.7*

The PhD student may not have the thesis printed until the Dean has given permission. This permission is not given until after the Assessment Committee has made a positive decision regarding permission for the PhD student to proceed to the PhD ceremony in the manner set out in Article 6.3. An application can be submitted through Hora Finita for full or partial reimbursement of the costs of the copies of the PhD thesis made available to the University of Groningen.

## **Chapter 5                      Assessment of the PhD thesis by the supervisors**

#### *Article 5.1*

Approval by the supervisors and co-supervisors does not guarantee approval of the PhD thesis by the Assessment Committee. The supervisors and co-supervisors are expected to stand by their approval.

#### *Article 5.2*

At a certain point in time, the draft of a PhD thesis must be finalized. If after discussions between the supervisors, the co-supervisors and the PhD student the time has come for the PhD student to submit the final version, then in accordance with these regulations the appointment of a supervisor or co-supervisor will lapse if that supervisor or co-supervisor communicates in writing that he withholds approval.

## **Chapter 6 The Assessment Committee**

### *Article 6.1*

The independence and objectivity of the proposed members must be guaranteed.

### *Article 6.3*

Once the supervisors and co-supervisors have approved the PhD thesis, nothing stands in the way of prompt completion of the PhD programme. Before the approval, the main concern was to conduct research; after this point the main concern is an assessment of the standard of the results. Those who have been asked to pass judgment are expected to do so within a reasonable period, because – like all other examination candidates – PhD students cannot be expected to wait a long time for an assessment. The PhD Board considers six weeks reasonable and sufficient.

The Assessment Committee's opinion may lead it to recommend through the Dean that the PhD Examining Committee award the *cum laude* distinction. See Chapter 9.

## **Chapter 7 The PhD Examining Committee**

### *Article 7.1*

The regulations refer to an Assessment Committee and a PhD Examining Committee. The reason behind the decision to have these two tiers was to keep the element of the 'defence' of the thesis. After all, can a committee approve a PhD thesis and then reject it if the defence fails (in the presence of that same committee)? Can the defence actually still fail, if the PhD thesis has apparently not raised enough problems to prevent it being approved?

The purpose of adding new members (expansion of the Assessment Committee into a PhD Examining Committee) is to ensure that the defence will receive sufficient unbiased criticism at least from those members. A request in writing, stating the reasons, can be submitted to the Rector Magnificus to deviate from the provisions of Article 7.1.2.

Article 6.1.4 applies to the members of the PhD Examining Committee. A request in writing, stating the reasons, may be submitted to the Rector Magnificus to deviate from that rule.

### *Article 7.2*

The role of the chair is mainly ceremonial and to maintain order. The chair represents the PhD Board which rarely sits on the PhD Examining Committee itself (except in the case of honorary doctorates). The chair is entitled to intervene should any irregularities (procedural or otherwise) arise.

### *Article 7.3*

This Article is about the independent advisor. This advisor is expected to be sufficiently specialized in the field of the research or part of that field that he is able to advise the Committee. The co-supervisor, on the other hand, should be seen as a supervisor mainly concerned with the research process. The independent advisor referred to here may play an important role during the assessment process.

### *Article 7.4*

Opposition from the audience is allowed but has to be registered with the Dean of the Faculty three weeks in advance to the ceremony.

## **Chapter 8 The PhD ceremony**

### *General*

The Dean will ensure that invitations to attend the PhD ceremony and notice of the PhD ceremony are placed in Hora Finita in good time. The Dean can have this task performed by the secretarial staff of the Faculty or the Graduate School. Obviously the highest academic degree can only be awarded on the basis of individual academic qualities. While in the case of a double PhD degree there is only one PhD thesis, the standards that apply to single PhD degrees still apply in full.

## **Chapter 9 Cum laude**

### *Article 9.1*

The term ‘outstanding’ in Article 9.1.4 means that in the referees’ opinion the PhD thesis is one of the best 5% of PhD theses within its field in the Netherlands.

## **Chapter 10 The certificate**

### *Article 10.1*

The signatures of the Rector Magnificus (the term ‘Rector Magnificus’ refers to the position and not the holder – the certificate may also be signed by a person who deputizes for the Rector Magnificus as chair of the PhD Examining Committee), the secretary of the PhD Examining Committee and the supervisors (*promotores*) on the certificate determine its validity.

## **Chapter 11 Honorary PhDs**

The PhD Board awards honorary PhDs only to individuals who are either very academically distinguished or who have made very major contributions to an academic field.

## **Chapter 14 Dispute settlement**

### *General*

Chapters 6 and 7, specifically Article 7.13 and Section 7.3, of the AWB apply. The PhD Board is the reviewing body referred to in those provisions.

### *Article 14.2*

If in connection with the implementation of the PhD regulations a dispute arises which cannot be resolved between the parties, then of course one of the parties can first ask an individual such as a Dean or the Rector Magnificus to mediate before starting a formal objection procedure, taking into account the time limit for objections stated in the AWB.

### *Article 14.5*

If a party takes a dispute to the administrative court, particular attention must be paid to the provisions of Chapter 8 of the AWB. Article 8:4(e) of the AWB contains the following provision: no appeal can be lodged against a decision regarding an assessment of the knowledge or skills of a candidate or student who has been examined or tested in some other way on the subject in question, or regarding the establishment of examination or test questions or assignments.



**N.B. Articles A.4.4 and B.4.4**

The assessment of the Graduate School Admissions Committee is a provisional assessment of the capabilities of the person in question, not an assessment of a PhD thesis as referred to in Article 6.4. The right to defend the PhD thesis in the presence of the PhD Examining Committee (the PhD ceremony within the meaning of Chapter 8) cannot be derived from it.

# Appendix 3

## A FEW RELEVANT ARTICLES OF THE ACT

### **Higher Education and Research Act (*Wet op het hoger onderwijs en wetenschappelijk onderzoek*) (in force since 01-09-2010)**

#### **Article 9.10. PhD Board**

1. A university will have a PhD Board. The PhD Board will consist of full professors.
2. The PhD Board will consult with the Board of the University regarding the conferral of the degree referred to in Article 7.19.2.
3. The duties, composition and method of appointment of the PhD Board will be regulated in detail in the administrative regulations.

#### **Article 7.19. PhD regulations; honorary doctorate**

1. Subject to the provisions on this matter contained in this Act, the PhD Board will establish PhD regulations. These regulations will regulate:
  - a. procedure relating to preparations for awarding the doctorate and relating to the PhD ceremony itself, including the duties and powers of everyone who is or may be involved in the doctorate, and
  - b. provisions relating to the settlement of disputes which may arise in relation to the preparations for the doctorate and the conferral of the honorary doctorate itself, and
  - c. if applicable, procedure relating to Article 7.18.6.
2. The PhD Board is authorized, on the recommendation of the Board of the University, to award honorary doctorates to natural persons in recognition of outstanding achievements.

#### **Article 7.18. Conferral of the degree of PhD; admission to and organization of the PhD ceremony**

1. The PhD Board of a university, the Open University or an ideological university is authorized to award the degree of PhD on the basis of a PhD ceremony.
2. Admission to a PhD programme will be granted to any person:
  - a. who has been awarded a Master's degree by virtue of Article 7.10a.1, 7.10a.b or 7.10a.3,
  - b. who has demonstrated his or her ability to conduct independent academic research by writing a PhD thesis or developing a technological design, and
  - c. who has satisfied the requirements set out in the PhD regulations referred to in Article 7.19.
3. In exceptional cases, the PhD Board may admit individuals to a PhD programme who meet the requirements set out in Article 7.18.2b or 2c, but not those of Article 7.18.2a.
4. For each PhD the PhD Board will appoint a full professor of a university, an ideological university or the Open University as primary supervisor. The PhD ceremony will take place in the presence of the Board or a committee consisting of professors and other individuals appointed by the Board whom the Board considers sufficiently competent to sit on the committee, with due regard for the PhD regulations referred to in Article 7.19.

5. For the purpose of the application of Article 7.18.4, professors by special appointment at public universities are regarded as professors of that university.
6. A university may award the degree of PhD jointly with one or more other Dutch or foreign universities on the basis of a PhD programme. Article 7.18.1 to 5 will apply *mutatis mutandis*. The universities can make more detailed arrangements regarding the implementation within the provisions of the PhD regulations.

#### **Article 7.10a Conferral of degrees**

1. The Board of the university will award the Bachelor's degree and the Master's degree to candidates who have passed the final examination of a university Bachelor's degree programme or university Master's degree programme respectively. Depending on the discipline in which the candidate passed the final examination of a Bachelor's degree programme or Master's degree programme respectively, the words 'of arts' or 'of science' will be added to the degree conferred. For a programme or group of programmes leading to one of the degrees referred to in this subsection, different additional words from those referred to in the second sentence can be approved by ministerial order.
2. The Board of the institute will award the Bachelor's degree and the Master's degree to candidates who have passed the final examination of a Bachelor's degree programme at an institute of higher professional education or a Master's degree programme at an institute of higher professional education respectively. For a programme or group of programmes leading to one of the degrees referred to in this subsection, the Board of the institute may adopt different additional words from those referred to in the second sentence of the first subsection.
3. The Board of the legal entity referred to in the second paragraph of Article 5a.1 will award the Master's degree to a candidate who has passed the final examination of a Master's degree programme as referred to in Article 7.3b(a) or (b). The second sentence of the first subsection applies *mutatis mutandis* to a Master's degree programme as referred to in Article 7.3b(a). The second sentence of the second subsection applies *mutatis mutandis* to a Master's degree programme as referred to in Article 7.3b(b).
4. The Board of the institution or the Board of the legal entity referred to in the third subsection will add to a degree an identification of the discipline or professional field to which the degree relates.

#### **Article 7.3a. Bachelor's and Master's degree programmes**

1. Within university education the following programmes are distinguished:
  - a. Bachelor's degree programmes and
  - b. Master's degree programmes following on from the Bachelor's degree programmes referred to in a.
2. Within higher professional education the following programmes are distinguished:
  - a. Bachelor's degree programmes and
  - b. Master's degree programmes which have been designated as such by the Minister.
3. A decision as referred to in subsection 2(b) will be made only if a certain programme is not or insufficiently available and the maintenance of that programme is motivated by:
  - a. the interests of maintaining an effective range of educational opportunities and
  - b. a demonstrable social demand.

#### **Article 7.22. PhD degree**

1. An individual upon whom a Doctor's degree has been conferred on the grounds of a PhD programme as referred to in Article 7.18, or by virtue of the second subsection of Article 7.19, is entitled to express that degree in references to his or her own name.

2. An individual who, pursuant to the first subsection, is entitled to express the degree referred to in that subsection in references to his or her own name is also entitled to use the title 'Doctor'.
3. The degree referred to in the second subsection, abbreviated to 'dr.' The degree referred to in the first subsection will be designated by the letter 'D', placed after the name in a reference.
4. The person in question will make a choice between adding the degree to his or her name in references as referred to in the first subsection or by using the title as referred to in the second subsection.

**Article 18.37          Admission to PhD programme for holders of 'old style' certificates**

A person who met the criterion referred to in Article 7.18(2a) on or before 31 August 2002, as those provisions were formulated on 31 August 2002, will have the same rights as a person who meets the criterion referred to in Article 7.18(2a).

# Appendix 4

## PROTOCOL FOR JOINT PHD DEGREES WITH FOREIGN PARTNERS

### Introduction

Since the new Improved Governance (Higher Education) Act took effect, the conferral of a joint PhD degree in the Netherlands has become legally possible. This is a step further than the ‘double PhD degrees’ or ‘*cotutelle du thèse*’ that were previously possible. With a joint PhD degree, not only is the PhD programme jointly supervised and are the partners represented in the PhD Examining Committee, but the certificate is also given jointly.

The Faculties have expressed clear interest in arranging joint PhD degrees with other universities. However, it has also become apparent that there are many uncertainties about the Board’s requirements for approving a joint PhD programme and about the procedure for obtaining permission for a joint PhD degree. This protocol sets out the basic requirements for the approval of a joint PhD degree and the procedure which must be followed.

Joint supervision of PhD students does not necessarily lead to a joint PhD degree. For instance, ‘*cotutelle internationale de thèse*’ (international joint thesis supervision) is now very common and leads to a single or double degree, depending on the local rules of the partners.

In the Netherlands, the right to confer PhD degrees is restricted to universities and institutions which have been designated this right by law. Unlike for the initial degree programmes (Bachelor’s and Master’s), for PhD programmes there is no accreditation procedure. The university safeguards its PhD programmes through its own quality assurance system. PhD programmes and theses are included in research assessments and are externally reviewed. The universities discuss the standards and desired outcome targets at meetings of the Council of University Rectors (Association of Universities in the Netherlands). It is within this Council that self-regulation takes place. Under the Treaty of Maastricht (subsidiarity principle), teaching and research are matters that are regulated at the national level. The EU can promote collaboration and bring players to the table, for instance through the Erasmus Mundus or Marie-Curie programmes, but may not prescribe regulations for the organization of PhDs. As a result, within Europe and outside Europe there is a wide diversity of views and rules relating to PhD degrees.

### Basic requirements for the approval of a joint PhD degree

Before students start working towards a joint PhD degree, three essential aspects must be taken into account, namely:

- The partner or partners
- Contribution to and organizational context of the research
- Financial aspects

With respect to these three aspects, the following conditions apply.

### Partners

A maximum of three partners can be involved in a joint PhD degree; as a rule there are two. This is regardless of whether or not the partners are part of a larger

consortium. Joint PhDs degrees are entered into with another university, not with a consortium. It must also be clear which partner will act as the primary supervisor.

The partners are chosen explicitly on the basis of their academic quality and advantages. Work is being done on a list of 'preferred partners' for the University of Groningen which will be automatically approved. If a proposed partner is not on this list, that partner's quality and advantages must be substantiated in relation to the research project and to the Faculty's strategy when the joint PhD degree is applied for. The Dean is responsible for this.

Within the University of Groningen, the following parties are important in connection with a joint PhD degree: the candidate, the University of Groningen supervisor, the research institute, the Graduate School, the Dean, the PhD Board (which at the University of Groningen is the College of Deans) and the Rector and Board of the University.

The decision as to whether or not a PhD can be a joint PhD degree (that is, one certificate issued jointly by the partners) is made by the Board of the University. If the partner does not belong to the select group of 'preferred partners', the Dean may submit a request, stating the reasons, for a joint PhD degree to be conferred in a specific case. The outstanding quality of research in a certain area as well as the ranking of the partner university in general must be obvious.

#### Contribution to and organizational context of the research project

If a joint PhD degree is to be conferred, the University of Groningen must make at least a proportionate contribution to the research project in relation to the number of partners. It has been agreed in the Council of Rectors that 50% is the point of departure in the case of a joint PhD degree involving two universities. This means that if possible the PhD student will in fact be working in Groningen during this time.

If possible, the joint PhD degree should also be part of an existing joint research project. This ensures a clear framework for the joint PhD degree since specific agreements relating to research and collaboration are already in place.

#### Financial aspects

##### *Cost and revenue*

Clear prior agreements must be reached by the partners involved regarding the cost and revenue associated with the PhD programme. The point of departure is that the procedure will at least be cost-neutral for the University of Groningen. These agreements are recorded in a joint PhD degree agreement (see *University of Groningen model*).

##### *PhD premium*

In the Netherlands a PhD premium is awarded upon the successful completion of a PhD programme. The Ministry of Education has determined that in the case of a joint PhD degree the PhD premium will only be awarded if the PhD ceremony actually takes place in the Netherlands.

For all parties involved this may be a reason to hold the ceremony in the Netherlands. However, there may be situations in which the partner has an interest in the PhD ceremony being held in their own country, in which case no PhD premium can be claimed. Such cases are permitted provided the joint PhD degree does not result in a negative balance for the University of Groningen.

Exceptions to this rule are possible only if:

- The partner institution's worldwide ranking is considerably higher than that of the University of Groningen.
- The joint PhD degree is part of a major, prestigious project (such as the Erasmus Mundus projects or other major EU projects)
- There is some other clear quality advantage for the research group or the faculty (building up a long-term relationship, strengthening reputations etc.).

However, any shortfalls should be limited.

### **Application procedure for a joint PhD degree**

The following procedure must be followed to gain approval for a joint PhD degree:

1. The proposal for a joint PhD degree, indicating the partners and the content of the research, is submitted by the primary supervisor to the Faculty Board. It is also submitted to the director of the Graduate School in question for information purposes.
2. After approval by the Faculty Board, a model agreement for the joint PhD degree is drawn up in detail by the faculty, including an itemized financial section. The model agreement must refer to the PhD regulations.
3. The agreement, accompanied by a brief substantiation, is submitted to the Board of the University.
4. If the agreement meets the requirements and/or the Board endorses the additional substantiation, the agreement for the joint PhD degree is approved and signed.
5. The Faculty Board, the Graduate School in question and the primary supervisor receive a copy of the signed agreement.
6. The Faculty Board sends the agreement to the partner.

# Appendix 5

## PROTOCOL FOR THE PHD CEREMONY

Below is a summary of the protocol.

1. The PhD ceremony takes place in public, in the presence of the College of Deans and/or the PhD Examining Committee, at a time fixed when the candidate is given permission to proceed to the PhD ceremony.
2. PhD ceremonies are held in the University of Groningen's auditorium at Broerstraat 5 in Groningen. In unforeseen circumstances, PhD ceremonies may be held elsewhere.
3. The discussion is a dispassionate academic discussion. No disturbances from the audience other than opposition are permitted.
4. During the PhD ceremony the chair, the supervisors (*promotores*), the members and guests of the PhD Examining Committee will wear the clothing prescribed by protocol:
  - Professors: gown and cap; the women must wear sober clothing and black shoes and the men a dark suit, white shirt and sober tie, and black shoes
  - Other committee members:
    - women: sober clothing and black shoes
    - men: dark suit, white shirt and sober tie, black shoes
  - External professors are invited to wear their own gowns and caps. The university also makes a limited number of gowns and caps available for professors.
  - PhD candidates and their two assistants ('paranymphs') should also wear appropriate festive clothing. For men, preferably a dress suit with white shirt and white bowtie and for women, clothing in subdued colours; a long skirt is not compulsory.
5. Before the PhD ceremony the College of Deans, chaired by the Rector Magnificus or his deputy, meet in the Faculty Room in question. At this meeting the Rector Magnificus draws up a list of the opponents, agrees after consulting with them on an order in which they will speak, divides the speaking time and designates a secretary for the Committee.
6. The PhD student and the paranymphs must be present about 30 minutes before the beginning of the ceremony. The beadle (*pedel*) waits for the PhD student and both paranymphs in the foyer of the Academy Building and takes them to one of the Faculty Rooms. Subsequently, the beadle introduces them to the ceremony protocol. If necessary the PhD student and the paranymphs can change in the Faculty Room, which is locked during the ceremony.
7. A few minutes before the ceremony begins, the beadle takes the chair and members of the PhD Examining Committee to the auditorium, followed by any other professors attending, who are wearing their gowns. The primary supervisor walks on the right side of the Rector Magnificus.



**8.** The beadle announces the arrival of the Board in the customary way at the entrance to the auditorium:

‘The College of Deans’.

**9.** The members of the College of Deans, the retired professors and the guests take their seats, the Rector Magnificus and the secretary behind the left-hand table, the primary supervisor behind the right-hand table, the opponents as much as possible directly behind those tables in the other seats, the other individuals in the second and subsequent rows behind the two tables. Caps are taken off.

**10.** Then the beadle goes to fetch the PhD candidate and the paranymphs and brings them to the auditorium. Order: beadle, first paranymph, PhD candidate, second paranymph. One of the paranymphs may carry the PhD thesis, a writing pad and pen to make notes and possibly some literature the PhD candidate may wish to consult during the discussion.

**11.** In the auditorium they stand together (with the PhD candidate in the middle) opposite the Rector Magnificus and the College of Deans and bow simultaneously, once to the left, then once to the right.

**12.** Then the Rector Magnificus (wearing his cap) stands up and says:

‘Esteemed PhD candidate, the College of Deans of this university, represented by us, has read your PhD thesis and the propositions that go with it and we are ready to hear you defend it. Please take your seat’.

The Rector Magnificus sits down and takes off his or her cap.

**13.** The PhD candidate takes a seat behind the small table. The documents brought by one of the paranymphs for the PhD candidate are placed on the table. The paranymphs take their seats on the chairs reserved for them, the first to the left and to the right of the centre aisle.

**14.** Then the defence takes place, with the Rector Magnificus or his or her deputy acting as chair. Rector Magnificus:

‘Does anyone in the audience wish to exchange ideas with the PhD candidate? ... If so, please take your seat behind the blue table and speak’.

After the opponent has asked their question and explained it briefly if necessary, the Rector Magnificus says:

‘Esteemed PhD candidate, I call upon you to answer the question asked concisely’.

If no-one in the audience wants to ask a question or after the question asked by the member of the audience has been answered, the Rector Magnificus says:

‘I now call upon Professor ...’ (etc.).

A few minutes before time runs out, the beadle enters the auditorium and remains standing in the doorway. After exactly 45 minutes he or she says in a clear voice:

‘Hora finita’.

The discussion then taking place is concluded as quickly as possible. Then the Rector Magnificus says:

‘The College of Deans will withdraw for some time to consider its decision’.

**15.** The Rector Magnificus will then suspend the ceremony so that the College of Deans can consider their verdict. Escorted by the beadle, the PhD Examining Committee and the other members of the procession leave the auditorium. These other members attend the deliberations of the PhD Examining Committee as observers, unless the Rector Magnificus decides then and there that the deliberations will be closed.

The candidate and paranymphs will be taken to the faculty chamber by one of the porters.

**16.** In the course of the deliberations, a decision is made regarding the PhD degree. If a proposal has been made to award the PhD degree with the *cum laude* distinction, a written ballot is held. Only the official members of PhD Examining Committee may vote. The chair, the (co-)supervisors and the experts may not vote. The proposal is rejected if more than one member votes against it. Members must vote either in favour of or against the proposal. Abstentions are not permitted. At the end of the deliberations the certificate is signed by Rector Magnificus, secretary and supervisor(s).

**17.** After the deliberations, which must be as brief as possible, the beadle escorts the College of Deans back to the auditorium. When all have taken their seats, the beadle also escorts the PhD candidate and the paranymphs back into the auditorium.

**18.** As soon as they are standing before the Board, the Rector Magnificus puts his cap on and says, standing:

‘Esteemed PhD candidate, the College of Deans of this university, represented by us, after reading your PhD thesis and the accompanying propositions and after hearing you defend it, has decided to award you the PhD degree at the University of Groningen which you desire’.

If the *cum laude* distinction has been awarded, the Rector Magnificus adds:

‘And because of ...(for example, your exceptionally meritorious PhD thesis (and your excellent defence)), with the highest distinction from the faculty for your studies, namely *cum laude*.

**19.** The Rector Magnificus continues:

‘Your primary supervisor, Professor ....., is authorized to award you this honour in the customary fashion’.

The Rector Magnificus sits down and takes his cap off.

**20.** The primary supervisor puts his cap on, stands up and says:

‘I am happy to accept the task assigned to me by the Rector Magnificus’.

After these words, the primary supervisor takes off his cap to speak to the PhD candidate, starting as follows:

‘However, before performing this task, I would like to address a few personal words to you’.

This is followed by the *laudatio* , a short speech praising the candidate (maximum of six minutes) by the primary supervisor only .

When this is finished, the primary supervisor puts his cap back on, invites everyone to stand and, when everyone has risen, speaks the following words:

‘By virtue of the powers vested in us by Dutch law, in accordance with the decision of the College of Deans of this University, I ..... , confer on you, ....., the title of doctor and all the rights associated by Dutch law or custom with a PhD degree at the University of Groningen. Do you as a Doctor promise to act in accordance with the Netherlands Code of Conduct for Scientific Practice?’

The PhD candidate replies: ‘I promise.’

After the primary supervisor has asked those present to take their seats again, the primary supervisor remains standing and continues:

‘Now that I have performed the task assigned to me, let me be the first to congratulate you on your PhD degree (with distinction) and to address you as “Doctor”’.

After congratulating the new doctor, the primary supervisor returns to his seat, sits down and takes off his cap. The Rector Magnificus stands up, puts on his cap and says:

‘As proof of this PhD degree, (awarded with distinction), I will present you with this certificate, signed by the Rector Magnificus, secretary and supervisor(s) and sealed with the Great Seal of the University. But before doing so, very learned Sir/Madam, it is my pleasant duty to congratulate you, also on behalf of the College of Deans of this university, on the degree you have been awarded’.

(Shakes hands with the new doctor, is given the certificate by the secretary, hands it to the new doctor and returns to his seat). Rector Magnificus:

‘I now declare this ceremony closed’. (Taps the gavel).

Then the beadle escorts the College of Deans to the reception area or, if the reception is not being held in the Academy Building, back to the Faculty Room. A staff member of the Porter’s Office will then escort the new doctor, the paranymphs and the family to the reception area or to the Faculty Room, if the reception is being held elsewhere.

**21.** In principle the ceremony is conducted in Dutch. However, if one or more members of the PhD Examining Committee do not know Dutch, English is used to a large extent. At the primary supervisor’s request, the ceremony may be conducted completely in English. The request must be submitted to the Dean.

During the PhD ceremony the following forms of address will be used:

Chair:	'Honourable Rector Magnificus'
Supervisor:	'Highly Learned Supervisor'
Co-supervisor:	'Very Learned opponent'
Professors:	'Highly learned opponent'
Other members of the committee and experts:	'Very Learned opponent'
PhD candidate:	'Esteemed candidate'

### **Publicity**

At least three weeks before the intended date of the ceremony, the PhD candidate must deliver the abstracts for non-experts in Dutch and English of his PhD thesis to the Communication Office through Hora Finita. The Communication Office will use this information as the basis of a possible press release.

### **Reception**

It is possible to hold a reception after the PhD ceremony.

# Appendix 6

## PHD TIMELINE

Action	Time line	Action by supervisor/PhD student	Action by College of Deans
Register for PhD programme	Registration after admission to PhD programme	Submit to Admissions Committee	
Draw up training and supervision plan	As soon as possible after obtaining admission to PhD programme, but at the latest before beginning of PhD programme	PhD student and supervisors draw up TSP and submit it, signed, for approval to the director of the GS, at the latest upon beginning the PhD programme	Dean signs TSP and takes care of registration in Hora Finita
Approval of PhD thesis by supervisors + proposal for composition of Assessment Committee	At least <b>3½ months</b> before intended date of PhD ceremony	Supervisors register approval in Hora Finita	On the recommendation of the primary supervisor, the Dean sets up Assessment Committee and appoints members of the committee
Discuss date of PhD ceremony	At least <b>3½ months</b> before intended date of PhD ceremony	Arrange provisional date with PhD degree registration office	Register provisional date
Apply for ISBN's	At least <b>2 months</b> before proposed date of PhD ceremony	PhD student	Through website of University of Groningen Library
Approval of propositions	At least <b>2 months</b> before intended date of PhD ceremony	Supervisors register approval in Hora Finita	
Approval of title page	At least <b>2 months</b> before intended date of PhD ceremony	PhD student submits title page to PhD degree registration office through Hora Finita	PhD degree registration office approves title page through Hora Finita

Announcement of Assessment Committee's decision regarding permission for PhD student to proceed to the PhD ceremony	At least <b>8 weeks</b> before proposed date of PhD ceremony		Dean takes care of registration through Hora Finita, which then notifies PhD student, primary supervisor, PhD degree registration office and director GS. Then candidate may have thesis printed and date of PhD ceremony is finalized
Possible request for <i>cum laude</i> distinction by supervisor or Assessment Committee	At least <b>8 weeks</b> before proposed date of PhD ceremony	Primary supervisor/Assessment Committee submits request to Faculty Board with recommendations for external referees	Dean takes care of registration through Hora Finita and approaches external referees. This is automatically registered at the PhD degree registration office
Opinion of external referees regarding <i>cum laude</i> registered in Hora Finita	At least <b>2 weeks</b> before proposed date of PhD ceremony	Dean receives referees' opinion through Hora Finita	PhD degree registration office is notified of opinion through Hora Finita.
Send information regarding publicity	At least <b>5 weeks</b> before proposed date of PhD ceremony	PhD student supplies required information through Hora Finita	
Send printed copies of PhD thesis, accompanying propositions and title pages to PhD degree registration office	At least <b>3 weeks</b> before proposed date of PhD ceremony	PhD student	
Send printed copy of PhD thesis and accompanying propositions to Graduate School	At least <b>3 weeks</b> before proposed date of PhD ceremony	PhD student	
Send electronic versions of PhD thesis, accompanying propositions and abstracts for non-experts and the licence agreement	At least <b>3 weeks</b> before proposed date of PhD ceremony	PhD student supplies required information through Hora Finita	
PHD CEREMONY in the presence of the whole committee			

# Appendix 7

## MODEL TITLE PAGE AND ITS REVERSE SIDE FOR THE PHD THESIS



university of  
 groningen

-----**Title of PhD thesis**-----

sub-title, if applicable

### PhD thesis

to obtain the degree of PhD at the  
 University of Groningen  
 on the authority of the  
 Rector Magnificus Prof. E. Sterken  
 and in accordance with  
 the decision by the College of Deans.

This thesis will be defended in public on  
 .... (day) ....(month)....20.... at..... hours (time)

by

-----**(name)**-----  
(the PhD candidate's name in full)

born on ----(date in full)---  
 in ----(place of birth)-----  
 and country of birth if this is not the Netherlands

**Supervisor(s)**

name(s) of the supervisor(s) with initials and full titles without reference to universities

If applicable:

**Co-supervisor(s)**

name(s) of the co-supervisor(s) with initials and full titles without reference to universities

**Assessment committee**

names of the members of the Assessment Committee with initials and full titles, without reference to universities

Please note: titles are written as follows:

- Prof.
- Dr.
- MSc, MA, LL.M or PhD are written after the name of the individual in question.
- etc.



# Appendix 8

## EXAMPLE LICENCE AGREEMENT

### FOR NON-EXCLUSIVE PUBLICATION IN DIGITAL FORM OF A PHD THESIS DEFENDED AT THE UNIVERSITY VIA THE UNIVERSITY OF GRONINGEN REPOSITORY

In accordance with the supplement to Article 4.7 of the PhD Regulations of the University of Groningen.

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#### PhD candidate

- consents to the global distribution of his/her PhD thesis in digital form; this distribution is non-exclusive;
- declares that the PhD thesis is his/her own work;
- declares that the electronic version is identical to the printed publication as regards content and that it contains all components that for technical and/or logistical reasons are not included in the printed publication (e.g., CDs, video);
- declares that, to the best of his/her knowledge, the PhD thesis does not infringe in any way on the intellectual property rights of others;
- declares that any transfer of his/her intellectual property rights to the PhD thesis to a third party will stipulate that such party will uphold the licence and assume this agreement;
- grants the licence in question indefinitely;
- declares to relinquish the right to terminate this licence by means of abrogation or dissolution;
- declares, with regard to any contribution that is based upon work that was sponsored or subsidised by any institution or organisation other than the university, that he/she has fulfilled all obligations imposed by this sponsor, institution or organisation with regard to publication;
- declares that he/she has the right to grant permission as specified in this agreement, subject to the exceptions specified below.

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- declares that the licence will not be transferred to any third party;
- declares to have received the digital copy of the PhD thesis;
- shall transform the PhD thesis into other file formats or into other media with the goal of ensuring future digital accessibility and declares that any such transformation will be accomplished without tampering with the contents;
- shall make and keep one or more reserve copies of this PhD thesis with a view to the security and preservation of the files;
- shall, in the case that the publisher objects to the expiration of the embargos that are noted on the following page, protect the PhD candidate from any damage claims that the publisher might make in this regard.

## Exceptions to the licence agreement

### Explanation

- If you fully agree with the non-exclusive licence agreement and do not have exceptions, please leave 1 till 4 blank, and sign below.
  - Questions? Send an email to: [dissertations@rug.nl](mailto:dissertations@rug.nl)
1. He/she possesses no intellectual property rights or only partial intellectual property rights with regard to the materials that are contained in chapter(s) \_\_\_\_\_. He/she is fully authorised by the person entitled to grant this licence to the University of Groningen regarding these materials. The materials in question and their origins are clearly noted in the text or contents of these chapters.
  2. The materials that are contained in Chapter(s) \_\_\_\_\_ have been or will be submitted for publication within 12 months. In anticipation of acceptance, these materials must be placed under embargo for 1 year. Unless the author makes other arrangements with the University of Groningen Library, because of some agreement made with the publisher, the Library will make the material in the aforesaid sections available at the end of the agreed embargo period.
  3. The materials that are contained in Chapter(s) \_\_\_\_\_ have been published or have been accepted for publication by a publishing company. The agreements that have been made with the publisher (a copy of which is annexed) necessitate placing these materials under embargo for 1 year. If a commercial edition of the PhD thesis is also being published, a copy must be provided of an agreement with the publisher in which the publisher consents to publication of the digital version.
  4. Should agreements render it desirable to place these materials under embargo for a period exceeding 1 year after the PhD ceremony date, the Rector Magnificus of the University of Groningen shall establish a reasonable length for the embargo, in consideration of the agreements that have been made with the publisher and in consideration of any further information from the PhD candidate in this regard. To do so the PhD candidate must send a written and substantiated request, addressed at the Rector Magnificus, as an annex to this agreement. If necessary, this request can also be made later via: [dissertations@rug.nl](mailto:dissertations@rug.nl)

### PhD candidate

Name: .....

Title PhD thesis: .....

Date PhD ceremony: .....

Place of signature: .....

Date of signature: .....

Signature: .....

### University of Groningen, on behalf of the Board

Name: Ms Marjolein Nieboer, MA (Director University of Groningen Library)

Place of signature: Groningen

Date of signature: .....

Signature: .....