

Appendix 2: SEP assessment of PhD training and supervision in the Graduate School¹

Introduction

The guidelines below² apply to the assessment of:

- a) all faculty-based Graduate Schools (Groningen GradSchools), and
- b) those inter-university GradSchools with Groningen as leading University that strive for national (re)accreditation³.

Each GradSchool assessment will be part of and/or complementary to the regular SEP evaluation of the participating Groningen research institute(s)⁴, referred to as SEP-institute(s). The PRC concerned must comprise at least one expert in evaluating PhD education / supervision.

In faculties with no more than one SEP-institute, the Groningen GradSchool will be evaluated as part of that institute's assessment.

In faculties with more SEP-institutes, not assessed simultaneously, the Faculty Board will indicate when / in which assessment its GradSchool will be included. The results of this GradSchool evaluation can be referred to in the self-evaluations of the next SEP-institutes. The timing of the evaluation of GradSchools follows that of the SEP-institutes.

A SEP-institute coordinating an inter-university GradSchool will comply with the procedures and regulations agreed between VSNU and SODOLA. As part of the faculty-based GradSchool, it will organize the evaluation of the entire inter-university GradSchool. This includes the writing of a self-evaluation document describing the PhD education and supervision in all participating institutes (where possible referring to existing self-evaluations), and the organization of a meeting between the PRC, the management and the PhD students of these institutes.

Current⁵ organization and synchronization

I. Faculty-based, Groningen Graduate Schools:

At five Groningen faculties, research is organized in a single SEP-institute (Faculties of Theology and Religious Studies, Spatial Sciences, Economics and Business, Law, and Philosophy). The activities of their Groningen GradSchool coincide with those of the SEP-institute and can be assessed simultaneously by the same PRC. See GRAP appendix 1.

¹ At the University of Groningen the management of PhD student education is the responsibility of faculty-based Graduate Schools that are often also responsible for the faculty-based research master student education.

² These guidelines have been adapted from the protocol developed by the KNAW to evaluate ECOS accredited Research Schools (ECOS/AV/4365). These Research Schools are now called inter-university Graduate Schools.

³ According to an agreement between SODOLA (SODOLA stands for 'Structureel Overleg Directeuren met Landelijke Accreditatie' and is the branch organization of ECOS accredited inter-university Graduate Schools) and the VSNU, inter-university Graduate Schools will also be assessed within the SEP 2015-2021. For those Schools where Groningen is in the lead, the present regulations apply. For other inter-university Graduate Schools, the participating Groningen institute will comply with the regulations and assessment activities proposed by the leading university.

⁴ The Groningen main units of assessment. Research collaboration takes place in many more forms and networks, often labelled as 'Institute' as well, but these are not evaluated as such under the SEP.

⁵ Situation in October 2015.

In four faculties, the faculty-based GradSchool is responsible for the training and supervision of PhD students of several SEP-institutes:

- 1) Faculty of Mathematics and Natural Sciences (FMNS) with the GradSchool of Science (GSS). The PhD training in all 11 FMNS' SEP-institutes + KVI-CART will be assessed in 2017, when most institutes will undergo a simultaneous local SEP evaluation by one PRC that will also assess the GSS.
- 2) Faculty of Medical Sciences (FMS/UMCG) with the GradSchool of Medical Sciences (GSMS): all five UMCG's SEP-institutes (including one in lead of the inter-university GradSchool '*Behaviour and Cognitive Neurosciences*', BCN, see below) and GSMS will be evaluated simultaneously in 2016 by the same committee.
- 3) Faculty of Behavioural & Social Sciences (FBSS) with the GradSchool of Behaviour and Social Sciences (GSBSS) : all three FBSS's SEP-institutes (including the one in lead of the '*Inter-university Center for Social Science Theory and Methodology*', ICS, see below), will be evaluated separately in three national evaluations (Psychology 2017, Pedagogics and Education Science 2018, Sociology 2019). GSBSS will be included in the Psychology assessment. The other two PRC's will receive (a summary of) the GSBSS evaluation by the PRC Psychology plus an update of the relevant part of the self-evaluation.
- 4) Faculty of Arts (FA) with the GradSchool for the Humanities (GSH): all three FA institutes (including the one in lead of the inter-university GradSchool '*Research School for Medieval Studies*', RSMS, see below), will be evaluated by three separate local PRC's in 2016. All three will receive the same GSH documentation and will be asked to evaluate GSH as well.

II. Inter-university GradSchools:

The University of Groningen is in lead of three accredited inter-university GradSchools (former 'Research Schools') with the following participants:

- i. Research School for Medieval Studies (RSMS): with the Groningen Faculties of Arts (coordinator) and Philosophy, and groups from the universities of Leiden, Utrecht, Amsterdam Free University, University of Amsterdam, Nijmegen, Antwerp, Ghent and Louvain. Last ECOS accreditation: 2011. RSMS will be evaluated by a separate PRC in 2016.
- ii. Inter-university Center for Social Science Theory & Methodology (ICS): with the Groningen Faculty of Behaviour and Social Sciences, and groups from the universities of Utrecht and Nijmegen. Last ECOS accreditation: 2012. ICS will be included in the national SEP evaluation of Sociology in 2019.
- iii. Behavioural & Cognitive Neurosciences (BCN): with the Groningen Faculties UMCG (coordinator) + FMNS + FBSS + FA + FPh, and groups from the University of Twente. Last ECOS accreditation: 2014. BCN will be included in the next SEP assessment of the five UMCG institutes in 2021.

Guidelines for inter-university schools that strive for (re)accreditation

- The Board of the University in lead ('penvoerder') is responsible for the appointment of the PRC that will assess the inter-university GradSchool. The Board will ask the inter-

university GradSchool Director for advise on the composition and instruction of the PRC, to be included in the Terms of Reference and to be approved by the Boards of all participating Universities.

- The evaluation of the inter-university GradSchool will be a 'light' procedure, complementary to (and not a repetition of) regular SEP evaluation of the participating units including, where applicable, the Groningen GradSchool.
- The assessment will focus on 3 criteria:
 - a. The training and supervision of PhD students in the context of the inter-university network.
 - b. The effectiveness of management (independence, budget).
 - c. Cross-border research and/or educational collaboration between participants to enhance at least 2 out of 3 added values:
 - interdisciplinary research / training,
 - international collaboration,
 - interaction with societal stakeholders.

The current ECOS accreditation will remain valid until the GradSchool's next SEP evaluation. Preferably, this will coincide with the regular SEP evaluation of the unit acting as coordinating institution.

Division of labour between GradSchools and SEP-institutes

The Groningen GradSchool will provide the text and data needed for the PhD section of the self-evaluations of each participating SEP-institute. It will describe the organization of the GradSchool at both University, Faculty and Institute level. If appropriate, e.g. when the GradSchool has been assessed before (see next point), the results of this assessment are provided in a separate appendix.

Format 3: documentation to be provided for the assessment of Graduate Schools.

SEP appendix D provides a brief format for the PhD section of the self-evaluation of a SEP-institute. For the assessment of (either a Groningen or an inter-university) GradSchools, the documentation described below should be provided as an additional appendix to the self-evaluation report. Leading principle is that it provides complementary information needed for an additional evaluation of the GradSchool by the same PRC that evaluates the participating SEP-institute(s).

The format below is based on the criteria for accreditation laid down in the former 'ECOS Protocol' of the KNAW.

The documentation should not exceed 10 pages. During the site visit, the PRC can request further information in writing or at a personal meeting with the Director, coordinator or other members of the GradSchool's management team.

NB: Parts of the main document can be covered by:

- *Relevant parts of recent PRC report(s) of the GradSchool's constituent research institutes (preferably SEP evaluations).*
- *Recent NVAO reports describing the quality of the research master programmes. The report(s) must be accompanied by an index clarifying which parts of the report(s) concern the GradSchool or its constituent groups (e.g. by including page and section numbers).*

Year of submission:

Name of Graduate School:

Contact details of the graduate school

Contact persons: *(names of the Director and coordinator)*

Address, postal code and place:

Telephone number:

E-mail address:

Website:

Institute(s) participating in the Graduate School (if applicable)

- a.
- b.
- c.
- d.
- e.

Institution(s) with which the Graduate School has a formal partnership (if applicable)

- a.
- b.
- c.
- d.
- e.

1. Mission

The GradSchool's educational mission.

2. Research context

NB: The following questions are intended to get some insight into the quality and cohesion of the research context. This is relevant for GradSchools with more than one constituent SEP-institute and especially for inter-university GradSchools. Preferably, the questions will be addressed by referring to present self-evaluations or previous SEP evaluations, with additional explanation wherever necessary.

- a. Research institutes/programs and indications of scientific quality (if appropriate a reference can be made to the main text of the self-evaluation of the institute and/or to previous assessments)
- b. Cohesion
 - Intra-university and inter-university cooperation (if applicable, especially in case of an inter-university GradSchool)
 - Cooperation with para-university institutes and other non-university organizations (if applicable)
- c. Composition of the research groups, scale of involvement of senior researchers in the GradSchool (if applicable)
- d. Positioning in the national and international field and cooperation with research groups in the Netherlands and abroad (if applicable)

3. Educational context

3.1. Training and supervision program

This section, or the training and supervision program attached to the main document as an annex, should at least address the following points:

- a. Structure of the training and supervision program. The training program consists of (i) a list of general courses (titles) and credit points (ECTS), (ii) a list of specific courses characteristic for the GradSchool, (iii) additional activities by the GradSchool (newsletter; website; annual PhD student day; questionnaire on evaluation of courses; guidelines on scientific code of conduct; etc.)
- b. Final attainment aims of the program
- c. Description of the objective of the program in terms of professional fields
- d. Rights and responsibilities of the instructors and the trainee researchers
- e. Procedure for selecting and approving research projects for PhD students
- f. Description of activities related to the teaching and comprehension of research methodology, including responsible research data management and research integrity

3.2. Quality assurance in Education and Supervision Programs

This section, or the training and supervision program attached to the main document as an annex, should at least address the following points:

- a. Criteria for senior researchers responsible for training and supervision

- c. Appointment of and budget for guest researchers and guest lecturers
- d. System of internal quality assurance for training and supervision. Please also indicate (i) the mode of conduct of supervisors in case of conflict between supervisor and PhD student; (ii) whether external advisors can be consulted in case of personal conflicts.

4. Education in Bachelor and Master phase

Interaction and coordination with the Research Master education; both the research education in the bachelor and the recruitment of students in the research master has to be addressed. Particular reference must be given to the status of the research master as a breeding ground for future PhD students.

5. Career prospects for alumni

An outline of the career prospects for PhD students from the GradSchool, which should at least make a distinction between scientific and non-scientific jobs occupied by alumni of the GradSchool after completing their training and graduation.

6. Graduation rate

6a. Please fill in the table.

Starting year ⁶	Enrolment			Discontinued		Success rates (years to graduation)				Not finished yet
	Total	Female	Non-Dutch	in 1 st year	after 1 st year	Graduated after (≤) 4 years	Graduated after (≤) 5 years	Graduated after (≤) 6 years	Graduated after (≤) 7 years	
2009	#	# / %	# / %	# / %	# / %	# / %	# / %	# / %	# / %	
2010	#	# / %	# / %	# / %	# / %	# / %	# / %	# / %	-	
2011	#	# / %	# / %	# / %	# / %	# / %	# / %	-	-	
2012	#	# / %	# / %	# / %	# / %	# / %	-	-	-	
2013	#	# / %	# / %	# / %	# / %	-	-	-	-	
2014	#	# / %	# / %	# / %	-	-	-	-	-	
2015	#	# / %	# / %	-	-	-	-	-	-	

- Please provide both numbers and percentages (in relation to the total number of PhD candidates in a given cohort); in case of small cohorts it is allowed to give only numbers.
- 'Graduated' is defined here as "when approval of the assessment committee has been secured". If filled out differently, the definition of "graduated" must be clearly explained in the table.
- All PhD students enrolled must be mentioned in the table, including special cases (such as PhD students on maternity leave, PhD students with part-time appointments; special cases can be explained in a footnote).
- If special PhD tracks are in place separate tables can be given.

6b. What is the median duration (in years) of a PhD project? What are the outliers?

⁶ An overview of the results of the last 7 years is provided. The indicated years are given as an example.

7. The measures taken in response to critical remarks made at previous (re) accreditation(s) or assessments, if applicable

(in case of an inter-university GradSchools or in response to previous SEP evaluations with respect to PhD education)

8. Organization and management

- a. Formal structure, management and organization of the GradSchool
- b. Formal powers of the GradSchool in terms of designing and implementing its own personnel and investment policy, as laid down in regulations and/or management decisions
- c. Arrangements for carrying out the tasks of the “secretary” and director (if more than one university participates)

9. Financial resources

9a. Expectations for coming period

- i. Anticipated number of PhD students in the coming years.
- ii. Available capacity for training and supervision, including an explanation of how financing is secured for the coming evaluation period. This is particularly relevant for the inter-university GradSchools.

9b. Agreements made on educational and administrative costs, divided among the participating institutions for the next six years, if applicable.

9c. Financial resources of the GradSchool

An overview of the GradSchool’s annual financial resources during the evaluation period can be given. This can be divided into direct funding or funding from external sources.

10. Organization and management

In case of an inter-university GradSchool the following table must be completed for all institutes of the GradSchool.

	Year-5	Year-4	Year-3	Year-2	Year-1	Year now
Tenured staff (1)	# / fte					
Non-tenured staff (2)	# / fte					
PhD students (3)	#	#	#	#	#	#

Notes:

The fte’s provided relate to the research fraction only of the appointment.

(1) Comparable with WOPI categories HGL, UHD and UD

(2) Comparable with WOPI category Researcher, including post-docs

(3) Standard PhD (employed) and Contract PhDs (externally or internally funded but not employed yet)