

Maastricht University Doctoral Regulations



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CHAPTER 1

GENERAL PROVISIONS

Article 1 Definitions

1. In these Regulations the following definitions apply:

- a.** *the Act*: the Dutch Higher Education and Research Act (*Wet op het hoger onderwijs en wetenschappelijk onderzoek*), abbreviated as WHW.
- b.** *the University*: Maastricht University.
- c.** *Faculty*: the faculty of the University where the doctoral degree trajectory is followed at the University. If doctoral degree trajectory takes place at more than one faculty, a coordinating faculty must be designated that is regarded as 'the faculty' in connection with these Regulations.
- d.** *Graduate School*: organisational unit within a faculty, which is responsible for educating doctoral candidates and monitoring the supervision of the doctoral research.
- e.** *Dean*: the Dean of a faculty of the University.
- f.** *Board of Deans*: the Doctoral Degree Board of the University as meant in Section 9.10 subsection 1 of the Act.
- g.** *the Rector Magnificus*: the professor who is a member of the Executive Board as well as chair of the Board of Deans of the University.
- h.** *the doctoral degree trajectory*: the trajectory that leads to the doctoral degree consisting of the research and training phase and the doctoral degree phase.
- i.** *the research and training phase*: the phase of the doctoral degree trajectory in which the doctoral candidate carries out the doctoral research, writes the thesis, and completes the requirements set in the Training and Supervision Plan. This phase ends (formally) by approval of the thesis by the Assessment Committee.
- j.** *the doctoral degree phase*: the phase that commences from the moment that the Assessment Committee has ruled that the doctoral candidate can be admitted to the doctoral degree up to and including the doctoral degree ceremony.
- k.** *the doctoral degree ceremony*: the (public) meeting in which the doctoral candidate defends the thesis before the Defence Committee and partly on this basis the degree of Doctor can be conferred on the doctoral candidate.
- l.** *doctoral candidate*: the person who is admitted to the doctoral degree trajectory.
- m.** *obtaining a doctorate*: the doctoral candidate obtaining a doctoral degree. It includes the doctoral degree trajectory and the doctoral degree ceremony.
- n.** *supervisor*: the person who supervises the doctoral candidate in writing the thesis and who has been appointed as the supervisor by or on behalf of the Board of Deans in accordance with the conditions provided for in these Regulations and in Section 7.18 subsection 4 and 5 of the Act.
- o.** *ius promovendi*: the right to act as the supervisor.
- p.** *co-supervisor*: a professor without *ius promovendi* or other person with a doctoral degree appointed by the Board of Deans to assist the supervisor in supervising the doctoral candidate.
- q.** *Assessment Committee*: the committee established by or on behalf of the Board of Deans which rules whether the doctoral candidate can be admitted to the doctoral degree ceremony on the basis of the doctoral research and the thesis written on the basis of it.
- r.** *Defence Committee*: the committee established by the Board of Deans before which the defence of the doctoral degree can take place.

s. professor: a person employed by the University or another Dutch university in the position of professor or professor by special appointment who holds the *ius promovendi*. For the purposes of these Regulations a professor is also a person attached to a foreign university who holds a position equivalent to the position of professor at the University, all this at the discretion of the Board of Deans.

t. attached to the University: a person who is employed or is registered at, or who has an admission, professorship or hospitality agreement with the University, the transnational university of Limburg (tUL), UNU-MERIT and/or the academic hospital Maastricht (azM). Persons employed by the University as well as by a third party not mentioned in the previous sentence are also considered as "attached to the University".

u. thesis: the academic treatise in the form of a book, article or electronic document or a test design as meant in Section 7.18 subsection 2 under b of the Act.

v. joint doctoral degree: a doctoral degree trajectory in which the doctoral candidate obtains the doctoral degree on the basis of one single thesis at the University and one or more Dutch or foreign institutes of scientific education and where after a successful completion of the doctoral degree research the University, jointly with the other institute(s), issues one single certificate.

w. double doctorate: a doctoral degree trajectory in which the doctoral candidate obtains the doctoral degree on the basis of one single thesis at the University and one or more foreign institutes of scientific education and where, after a successful completion of the doctoral degree research, the University, as well as the other institute(s) each individually issue a certificate.

x. PhD Office (Bureau Academische Zittingen: 'BAZ'): the office where the academic sessions are organised such as promotions, inaugurations and farewell lectures.

y. Dutch university: institute for higher education as meant in the Annex to the Act at Section 1.8, under a., b., h. and i.

Article 2 Additional provisions

1. Where in these Regulations reference is made to a supervisor or co-supervisor, in cases where more than one designation has taken place of each of them, this should be read as supervisors or co-supervisors respectively.

2. If the Rector Magnificus is appointed as supervisor or is part of the Assessment Committee, the duties and powers of the Rector Magnificus as chair of the Defence Committee are performed by a former Rector Magnificus, Dean, or former Dean appointed for that purpose by the Board of Deans, or a university professor or university professor emeritus.

3. The duties and powers of the Dean as laid down in these Regulations, are - if the Dean is appointed as supervisor or forms part of the Assessment Committee - performed by another professor to be appointed by the Board of Deans who is from the same faculty and who is not involved in the doctoral degree trajectory.

4. With regard to the discussions during meetings of the Assessment Committee, all persons present are obliged to observe secrecy during the private deliberations of the Defence Committee and during meetings of the Advisory Committee as meant in Clause 34, paragraph two.

CHAPTER 2

Admission to the doctoral degree trajectory

Article 3 Doctoral candidate

1. Doctoral candidates can be admitted to the research and training phase of the doctoral degree trajectory if pursuant to Section 7.10a, first or second subsection of the Act they have been conferred with the Master's degree or if they have obtained a corresponding degree at a foreign institute of higher education.
2. A person who already has the Doctor's degree (or an equivalent of it, including the degree of Doctor of Philosophy) cannot be admitted to the doctoral degree trajectory at the University. The Board of Deans may grant an exemption from this provision if the person concerned wants to obtain a doctorate in a fundamentally different scientific field.
3. In special cases, the Board of Deans may grant a person who does not comply with the provisions of the first paragraph, but who otherwise demonstrates or has demonstrated that to have sufficient knowledge, access to the doctoral degree trajectory on a reasoned request, pursuant to Section 7.18 of the Act. The application, together with a recommendation from the intended supervisor, must be submitted to the Board of Deans by the dean of the relevant faculty.

Article 4 Admission application

1. An admission application by a doctoral candidate for the doctoral degree trajectory must be submitted to the Board of Deans by the intended first supervisor, in accordance with Article 6 paragraph 4.
2. The following details must be provided with the admission application for the doctoral degree trajectory:
 - a. Name and contact details of the doctoral candidate;
 - b. Names and contact details of the intended supervisors and co-supervisors, including their field of expertise. The intended first supervisor must have ascertained that all the intended supervisors and co-supervisors involved agree with their designation. If there is more than one supervisor, the first supervisor must be indicated;
 - c. a copy of the diploma of the doctoral candidate on the basis of which the admission can be granted, or the reasons of the intended first supervisor for granting the doctoral candidate admission pursuant to of Article 3 paragraph 3.
 - d. The subject of the thesis and the scientific area in which the thesis will be written; and
 - e. A signed declaration in which the doctoral candidate endorses and commits to the Netherlands Code of Conduct for Research Integrity.
3. The Board of Deans will decide within four weeks after submission of the admission application to the doctoral degree trajectory and will appoint the supervisor and - if applied for - a co-supervisor in accordance with Section 7.18 subsection 4 of the Act.
4. After the admission the doctoral candidate will be registered as soon as possible at a Graduate School attached to the faculty.

Article 5 Training and Supervision plan

1. After admission to the doctoral degree trajectory, the doctoral candidate and the supervisor establish the training and supervision plan that must be approved as soon as possible after registration with the Graduate School to which School the doctoral candidate is attached, by the Director of the Graduate School or an employee of the Graduate School designated by the Director.
2. At least once a year the doctoral candidate and the supervisor will evaluate the progress of the doctoral degree trajectory. The initiative to this end will be taken by the supervisor, or if that initiative is not forthcoming, at the request of the doctoral candidate. A brief report is made of the evaluation, which is included in the doctoral candidate's file at the Graduate School.

CHAPTER 3

THE SUPERVISOR AND CO-SUPERVISOR

Article 6 Requirements for supervisors and co-supervisors

1. Every doctoral candidate will be supervised by a team of two or three supervisors and co-supervisors. At least one person is appointed as supervisor. At least one supervisor must be a staff member attached to the University or to another Dutch university. A motivated request to assign more than 3 (co)supervisors can be submitted by the intended first promotor to the Dean.
2. Supervisors and co-supervisors are not allowed to be partners of the doctoral candidate, nor have first- or second-degree family ties with the latter.
3. If two supervisors and/or co-supervisors are partners, or are related by family in the first or second degree, the Dean will appoint a third, non-related supervisor or co-supervisor.
4. If there is more than one supervisor, the supervisors must coordinate mutually who will act as the first supervisor. The first supervisor is responsible for the procedural aspects of the doctoral degree trajectory which are assigned to the supervisor according to these Regulations.
5. The supervisor supervises the doctoral candidate to the best of the supervisor's ability in realising the thesis and has the ultimate responsibility for that supervision.
6. The co-supervisor supervises the doctoral candidate to the best of the co-supervisor's abilities in the realisation of the thesis or a part of the thesis, in agreement with the supervisor.
7. If at any time during the doctoral degree trajectory the supervisor no longer has the *ius promovendi*, the Board of Deans must appoint this supervisor with immediate effect as the co-supervisor, unless the supervisor objects to this. The Board of Deans will in addition appoint a deputy supervisor unless it is of the opinion - in the event that more than one supervisor had been designated - that appointment of a new supervisor is not necessary.

Article 7 Requirements of the supervisor for the supervision

1. A professor who has the *ius promovendi* and who has not been honourably discharged at the time of the appointment can be appointed as the supervisor.
2. Furthermore, an associate professor who is employed by the University and who obtained a Doctorate can be appointed as supervisor if, in the opinion of the Board of Deans, the associate professor has sufficient competence to act as supervisor.
3. Furthermore, any other staff member of a university, a philosophical university or the Open University who has been awarded the degree of Doctor or Doctor of Philosophy and who has been given the *ius promovendi* by the Board of Deans of the University can be designated as supervisor.
A request to this end must be submitted to the Board of Deans by the dean of the respective faculty.

Article 8 Requirements of the co-supervisor

Every person who obtained a doctorate and who is an expert in the scientific area to which the thesis relates, who is not a professor or a professor without the *ius promovendi* and who actually supervises (a part of) the research can be appointed as a co-supervisor.

Article 9 Change of supervisor or co-supervisor

1. A request to change the appointment of supervisors or co-supervisors can only be submitted to the Board of Deans by one or more supervisors together with the doctoral candidate, with the exception of the provisions in paragraph 2 of this Article. The Board of Deans will decide on the submitted request within four weeks.
2. If a proposed change relates to the replacement of the sole supervisor, this proposal may also be submitted by the doctoral candidate and all co-supervisors.
3. If one of the parties involved in a change requests this, the Board of Deans must hear all the persons involved before making a decision.
4. Former supervisors and/or co-supervisors who are no longer involved in supervising the doctoral candidate as a result of a change may not be part of the Assessment Committee as referred to in Article 16.
5. With every change, the Board of Deans must ensure that the provisions of Article 6 are complied with.

CHAPTER 4

THE RESEARCH AND TRAINING PHASE

Article 10 General

In the research and training phase, the doctoral candidate prepares the admission to the doctoral degree phase under supervision of the supervisor and the co-supervisor.

Article 11 The research

1. The research forming the basis of the thesis must meet the following requirements:

- a.** the doctoral candidate has carried out the research independently or has made an essential contribution to it;
- b.** the research was conducted in accordance with the code of conduct or professional code that applies to professional conduct in the scientific field concerned and in accordance with the principles and standards as expressed in the current Netherlands Code of Conduct for Research Integrity.

Article 12 The thesis

1. The thesis consists of either a scientific treatise on a particular subject or a number of separate scientific treatises that show sufficient cohesion.

2. If the thesis consists of one single scientific treatise, it must have the following components:

- an introduction indicating the position of the research compared with other related research in a national or international context;
- the scientific treatise regarding a certain subject;
- a general discussion consisting of a reasoned representation of the doctoral candidate's own position with regard to the main theme, or the major themes of the thesis.

3. If the thesis consists of several individual scientific treatises, they must have sufficient cohesion. The cohesion between treatises must be explained by the doctoral candidate in the introduction and/or the general conclusion. At least one scientific treatise must be an article that demonstrably is in the review process of a scientific journal.

4. The scientific treatises included in the thesis may be written by multiple persons, provided that the doctoral candidate has demonstrably made an essential contribution to it.

5. At least half of the number of scientific treatises referred to in paragraph 4 should not previously have been included in a thesis by another doctoral candidate.

6. The thesis does not contain any scientific treatises, chapters or substantial passages (in nature or content) which have already previously led to the doctoral candidate obtaining the Doctor's degree or an equivalent of it, including the degree of Doctor of Philosophy.

7. Matters that fall outside the scope of the scientific treatise in the strict sense, may only be included in the thesis after consent from the Board of Deans. Additions with a commercial purport are not allowed.

8. The thesis contains a summary of the thesis, an impact paragraph (see to this end the explanatory notes in Appendix 4) and a concise curriculum vitae of the doctoral candidate.

9. A minimum of eight and a maximum of eleven propositions are added to the thesis. Four propositions must relate to the subject of the thesis. Three propositions must relate to the doctoral candidate's field of expertise, with the exception of the subject of the thesis. One proposition must relate to the impact of the results from the research for science and/or society. Any other propositions do not have to relate to the subject of the thesis or the doctoral candidate's field of expertise. The supervisor must approve the propositions.

10. Based on what is customary in the relevant field, it is possible that a Graduate School sets additional requirements for the thesis. The Graduate School lays these down in regulations.

11. The thesis and propositions are written either in the Dutch or English language or - after approval by the Board of deans - in another language.

If the thesis is written in the Dutch language, an English translation of the title and the summary must be added.

If the thesis is written in the English language, a Dutch translation of the title and the summary must be added.

If the thesis is written in a language other than Dutch or English, a Dutch and English translation of the title and the summary must be added.

Article 13 Joint thesis

1. Joint research may serve as a basis for a joint thesis of not more than two doctoral candidates, provided the conditions are met that:

a. each of the doctoral candidates has provided an independent, identifiable and for the doctoral degree sufficient contribution to the research, all this at the discretion of the supervisor;

b. each of the doctoral candidates is considered to be the author of a certain part of the thesis, notwithstanding the joint responsibility of the doctoral candidates for the cohesion of the whole;

c. it is indicated in the thesis which share each of the doctoral candidates had in its realisation.

2. In the event of a joint thesis as meant above, the procedures and requirements of these Regulations will apply to each doctoral candidate individually.

Article 14 Training programme

1. The Graduate School may set requirements pursuant to the School's regulations on the training programme of the doctoral candidate, to be included in the Training and Supervision Plan.

2. At the request of the first supervisor, the Director of the Graduate School may grant an exemption for a part of or all requirements set on the training programme.

3. The Graduate School guarantees the availability and accessibility of the obligatory parts of the training programme pursuant to paragraph 1, also for doctoral candidates not attached to the University.

4. The results achieved in connection with the training programme are recorded and can be examined by the Director of the Graduate School.

Chapter 5

ASSESSMENT

Article 15 Supervisor's evaluation of the thesis

1. After completion of the thesis the doctoral candidate will ask the supervisor to approve the thesis and to submit it for assessment to the Assessment Committee. The supervisor takes into account the co-supervisor's evaluation of the thesis in the decision.
2. The supervisor will decide on the submission of the thesis to the Assessment Committee within two months after receipt of the doctoral candidate's request as meant in paragraph 1 of this Article. In doing so the supervisor assesses whether the thesis meets the requirements as laid down in Article 12 and whether the points in Article 17 paragraph 3 are sufficiently highlighted. In addition, the first supervisor will assess whether the requirements as set out in Article 19, paragraph 1 under c and d are met.
3. If the requirements as referred to in paragraph 2 of this Article have not been met, the supervisor will not submit the thesis to the Assessment Committee.
4. The first supervisor will notify the doctoral candidate in writing of the decision referred to in the second paragraph and the findings with regard to the additional requirements referred to in Article 19 paragraph 1 under c and d, and send copies of this to the other supervisor and/or the co-supervisor, the Dean and the Director of the Graduate School.
5. If the period referred to in the second paragraph is exceeded, the doctoral candidate may request the Dean to instruct the supervisor to make a decision on the thesis submitted for assessment before a specified time. The Dean will decide within thirty days after receipt of the request.

Article 16 Composition of the Assessment Committee

1. If the supervisor decides to submit the thesis to the Assessment Committee in accordance with Article 15 paragraph 2, the first supervisor will propose to the Dean the appointment of a professor attached to the University as chair and member of the Assessment Committee. The chairperson must have the *ius promovendi*.
2. The first supervisor and the intended chairperson of the Assessment Committee jointly submit a proposal to the Dean for the appointment of the other members of the Assessment Committee, with due observance of the provisions of Article 9, paragraph 4. They ensure that the proposed members are prepared to sit on the Assessment Committee.
3. The Assessment Committee consists of four or five members, of which
 - a. at least two are professors or emeriti professors who have the *ius promovendi*;
 - b. at most two professors who do not have the *ius promovendi* or non-professors with a doctorate and who are sufficiently expert in the area of the thesis subject;
4. Two of the members meant in paragraph 3 of this Article are not attached to the University.
5. In the composition of the Assessment Committee, representation of different scientific views is paramount. Furthermore, the aim is to have a committee with at least one female and one male member.
6. The Board of Deans may grant an exemption from the requirements in paragraphs 3 and 4 on the basis of a reasoned proposal from the first supervisor and the doctoral candidate.
7. The supervisor and the co-supervisor cannot be a member of the Assessment Committee.

- 8.** A co-author of one or more scientific treatises forming part of the thesis cannot be a member of the Assessment Committee.
- 9.** The partner and family members up to the second degree of the doctoral candidate cannot be a member of the Assessment Committee.
- 10.** The Board of Deans will decide on the composition of the Assessment Committee and notify this in writing to the members of the said Committee with a copy to the first supervisor and the PhD Office.

Article 17 Assessment by the Assessment Committee

- 1.** The first supervisor will send the thesis to all members of the Assessment Committee, as soon as a decision on its composition has been taken.
- 2.** Within four weeks of receipt of the thesis by the Assessment Committee, the members of the Assessment Committee will provide, independently of each other, the chair of this Committee with a reasoned opinion on the question of whether the thesis can be approved for admission of the doctoral candidate to the doctoral degree ceremony, as stated in Article 19. For this assessment, the members of the Assessment Committee must use the assessment form intended for this purpose, complete it and send it to the chair of the Assessment Committee.
- 3.** In assessing the thesis, the members of the Assessment Committee must at least take into account the following points:
 - a.** the contribution to academic knowledge and the impact of the research;
 - b.** the importance of a clear formulation of the problem;
 - c.** the originality of the approach;
 - d.** the scientific level of the arrangement, analysis and processing of the material;
 - e.** the purity of the methodology followed when analysing the material;
 - f.** the derivation of new insights and new views from the analysis of the material;
 - g.** a critical confrontation of the doctoral candidate's conclusions with existing theories or views;
 - h.** a creative approach of the scientific area covered in the thesis;
 - i.** balance in the structure of the thesis and clarity of style; and
 - j.** restraint on text size.
- 4.** The members of the Assessment Committee are only allowed to communicate with the chairperson about the assessment of the thesis.
- 5.** Members of the Assessment Committee can express themselves on the admissibility of the doctoral candidate to the defence in two ways:
 - a.** Unconditionally admissible
 - b.** Conditionally admissible, minor revisions required;
 - c.** Not admissible.
- 6.** The members of the Assessment Committee are not allowed to withhold their opinion.
- 7.** The Assessment Committee decides to admit the doctoral candidate to the degree ceremony if all members of the Committee unanimously, or with at most one deviating opinion, consider the thesis admissible or admissible with minor revisions. The doctoral candidate is obliged to incorporate minor revisions to the best of the candidate's ability. The supervisor must oversee this, the adjusted version does not have to be re-submitted to the Assessment Committee.
- 8.** If two or more members of the Assessment Committee deem the thesis inadmissible, the doctoral candidate may submit a new version of the thesis to the supervisor for evaluation as referred to in Article 15 within six months of this decision being communicated to the first supervisor. If the supervisor reaches a positive evaluation of the new version, the first supervisor will submit the adjusted thesis to the same Assessment Committee.

9. If, after a rejection as meant in paragraph 8, the doctoral candidate does not submit a new version of the thesis within six months, the doctoral degree trajectory will be terminated and the doctoral candidate will be deregistered from the Graduate School.

10. Together with the anonymised assessment forms, the decision of the Assessment Committee will be notified in writing to the first supervisor and the Dean. The first supervisor will immediately notify the doctoral candidate and the other supervisors and/or co-supervisors of the decision taken. Together with the non-anonymised assessment forms the decision of the Assessment Committee will simultaneously be notified in writing by the chair to the Board of Deans via the PhD Office.

Article 18 Cum Laude (with distinction)

1. The Assessment Committee may decide to advise the Defence Committee, as referred to in Article 21, to attach the *cum laude* designation (with distinction) to the degree to be conferred. The Defence Committee will take a decision on conferring this designation after the doctoral candidate has defended the thesis.

2. Every member (including the chair) of the Assessment Committee may make it known that awarding the degree on the basis of the thesis can be eligible for the *cum laude* designation.

3. A member of the Assessment Committee who considers that the degree to be awarded on the basis of the thesis is eligible for the *cum laude* designation, will inform the chair of this. The chairperson will then forthwith ask the other members of the Assessment Committee to give their opinion about the question whether the degree award is eligible for the *cum laude* designation.

4. If the Assessment Committee is of the unanimous opinion that the degree award may qualify for the *cum laude* designation, and the supervisor (after consultation with the co-supervisor) also agrees to this, the chair of the Assessment Committee will contact the Rector Magnificus, within two weeks of the decision by the Assessment Committee to approve the thesis, to ensure that the Rector Magnificus, in consultation with the Dean of the faculty, consults two independent experts with a doctorate in the relevant scientific field with regard to giving advice on awarding the *cum laude* designation.

5. An expert as meant in paragraph 4 is in any event not independent if the expert is:

- a partner or family member in the first or second degree of the doctoral candidate, supervisor or co-supervisor;
- attached or has recently been attached to the University;
- (or has been) a supervisor or co-supervisor during the doctoral degree trajectory of the doctoral candidate;
- a co-author of a publication based on the doctoral research of the doctoral candidate;
- (or has been) involved in a research project in which the doctoral candidate, supervisor or co-supervisor conducted research.

6. If the experts consulted are also unanimously and unconditionally of the opinion that the thesis can be eligible for the *cum laude* designation, the Rector Magnificus will ensure that the members of the Defence Committee are informed of this proposal and their advice before commencement of the doctoral degree ceremony.

Chapter 6

THE DOCTORAL DEGREE PHASE

Article 19 Admission to the doctoral degree ceremony

1. Access to the doctoral degree ceremony is for anyone who as a test of competence for the independent practice of science has written a thesis or who has made a test design and
 - a. who has been admitted to the doctoral degree trajectory pursuant to Article 3; and
 - b. whose thesis or test design has been approved by the Assessment Committee; and
 - c. who has met the requirements set in the Training and Supervision Plan pursuant to Article 14 paragraph 1; and
 - d. who has met any additional requirements set by the Graduate School pursuant to Article 12 paragraph 10.

Article 20 Doctoral degree ceremony date and title page

1. After having received the positive opinion of the Assessment Committee the doctoral candidate will consult the supervisor and the PhD Office about the degree ceremony date. Following this consultation the doctoral candidate will submit a proposal to the Rector Magnificus for a degree ceremony date in the form of a design for the title page of the thesis and its reverse side. The proposed degree ceremony date will be in principle at the latest six months after the date of approval by the Assessment Committee, with due observance of the provisions in Article 35 paragraph 3.
2. The title page consists of a front cover with on it the title of the thesis, the name and first names of the doctoral candidate, under which Rector Magnificus' authority the doctoral degree ceremony will take place and the date and time of the degree ceremony. Only the following will be stated on the reverse side of the front cover:
 - a. the supervisors;
 - b. any co-supervisors;
 - c. the members of the Assessment Committee;
 - d. the institutes that contributed financially to the realisation of the thesis;
 - e. the affiliation of the persons under a., b. and c.
3. The Rector Magnificus determines the place, date and hour of the degree ceremony and, by way of approval, initials the draft of the title page.

Article 21 The Defence Committee

1. The doctoral degree ceremony takes place before the Defence Committee. Members of the Defence Committee are appointed by the Board of Deans.
2. The Defence Committee consists in principle of:
 - a. the supervisor and co-supervisor;
 - b. all members of the Assessment Committee as meant in Article 16;
 - c. possibly one or more professors and persons with a doctorate, on the recommendation of the supervisor appointed by the Board of Deans as a member of the Defence Committee. Persons without a doctorate

with recognised expertise in the field of the thesis subject can, with the consent of the Board of Deans, be appointed as a member of the Defence Committee.

3. The Defence Committee must consist preferably of five, but of at least four other members, apart from the supervisor and co-supervisor.

4. If applicable, the independent experts as meant in Article 18 paragraph 4 must be invited to sit on the Defence Committee.

5. The first supervisor ensures that in principle at least half of the members of the Defence Committee are attached to the University and that in principle at least half of the members of the Defence Committee are professors or emeritus professors.

6. Exemption from the requirements in paragraph 2 of this Article may be granted by or on behalf of the Board of Deans on the basis of a reasoned proposal from the supervisor.

7. The partner and family members up to the second degree of the doctoral candidate cannot be members of the Defence Committee.

8. The Rector Magnificus chairs the Defence Committee. The Rector Magnificus can be replaced by a former Rector Magnificus, a Dean, a former Dean, a professor attached to the University or an emeritus professor attached to the University. The chairperson is not a member of the Defence Committee.

9. One member of the Defence Committee, attached to the University, will be appointed as secretary of the Defence Committee on the proposal of the chairperson.

Article 22 Preparation of thesis defence

1. For the purposes of the defence, the thesis shall be printed or, if the nature of the thesis precludes it, reproduced in some other way.

2. At the latest three weeks before the degree ceremony date the doctoral candidate must send a digital version of the thesis with its propositions to the University Library. The doctoral candidate shall submit the following files:

- a. the thesis in PDF format with due observance of the requirements in Article 12.
- b. the propositions as referred to in Article 12 paragraph 9 in PDF format.
- c. the summaries as referred to in Article 12 paragraph 11 in PDF format.
- d. the cover in JPG format or similar.

3. The doctoral candidate decides whether an embargo on (parts of) the thesis is necessary. As soon as the definitive date of the doctoral degree ceremony has been determined, the doctoral candidate will receive a form from the PhD Office for notification of an embargo. This form must be completed and signed by the doctoral candidate. The doctoral candidate must send the signed form to the University Library at the latest three weeks before the degree ceremony date.

4. Not later than three weeks before the degree ceremony date the doctoral candidate must submit 6 theses, including the propositions, in a physical form to the PhD Office.

5. The doctoral candidate is responsible for the timely despatch of the thesis and its propositions to the members of the Defence Committee. If a member of the Defence Committee agrees to it, it is sufficient to send a digital version of the thesis in a timely manner.

Article 23 Opposition

1. With the exception of the supervisor and the co-supervisor, all members of the Defence Committee are entitled to oppose. The first supervisor shall ensure that at least four, but preferably five, members of the Defence Committee declare themselves prepared to oppose.

2. A proposal for the order of opposition is prepared by the first supervisor and should be notified in writing to the PhD Office no later than two weeks before the degree ceremony date. The PhD Office will inform the chairperson of this proposal.
3. Before the commencement of the degree ceremony the chairperson, in a closed meeting of the Defence Committee, will arrange the order and overall length of time for opposing. The opposition is preferably opened by the chair of the Assessment Committee.
4. In cases as meant in Article 13, the defence will be conducted by each doctoral candidate individually, if possible on the same day during successive moments in time.

Article 24 The doctoral degree ceremony

1. The degree ceremony takes place in a public session, physically, online or a hybrid form. If possible, a physical session will preferably take place in the auditorium of the University.
2. If the doctoral degree ceremony takes place fully or partly online, there will be an opportunity to attend it via a publicly accessible platform.
3. The official language during the degree ceremony is Dutch or English. This can only be deviated from in exceptional cases and with the consent of the Rector Magnificus.
4. After the opening words, the chair asks the doctoral candidate to give a summary of the thesis in 10 to 15 minutes. The chairperson then gives the floor to the first opponent.
5. The chair arranges the interview sequence in such a way that the doctoral candidate is given the opportunity to respond after each opponent.
6. The session will be suspended about one hour after its commencement. The beadle announces with the words "*Hora est*" that the time for opposition and defence has expired. The chair and the Defence Committee then withdraw for closed deliberation as referred to in Article 25.
7. After the closed deliberation, the chair reopens the session and announces the decision of the Defence Committee as referred to in Article 25 paragraph 2. If a joint or double degree award is involved, the chair will announce this.
8. If the degree of Doctor has been awarded, the doctoral candidate takes a pledge on the principles and standards of scientific integrity, as included in the Netherlands Code of Conduct for Research Integrity. After the pledge has been made, the supervisor, on the behest of the chairperson, endows the doctoral candidate with the conferred dignity and awards the certificate. If applicable, the supervisor shall thereby announce that the '*cum laude*' designation is attached to the degree of Doctor.
10. After that, the supervisor or, with the permission of the chair of the Defence Committee, the co-supervisor, gives an opinion of the thesis and, if desired, about the scientific qualities of the Doctor. To this can be added, very briefly, personal words of appreciation.
11. Following this, the chair, on behalf of the Board of Deans, will congratulate the Doctor on the title obtained, will thank those present, especially members of the Defence Committee not attached to the University, and will close the meeting.
12. For the purposes of the degree ceremony, a separate protocol lays down more detailed rules on, inter alia, dress and the sequence of the cortege of the members of the Defence Committee and other opponents, the doctoral candidate and the candidate's assistants, the form of address to be used, as well as more detailed guidelines for the wording to be used during the defence and after the deliberation.

Article 25 Deliberation and degree award

1. During the deliberation referred to in Article 24 paragraph 6, the members of the Defence Committee give their opinion of the research undertaken during the doctoral degree trajectory, the thesis and the

defence. If the opinion with regard to the aspects referred to in the previous sentence is not unanimous, the opinion of the research and the thesis should carry the most weight. The supervisor and, if applicable, the co-supervisor will give their opinion last.

2. After all members have given their opinion, the Defence Committee will decide on awarding the degree of Doctor.

3. If deemed desirable by the chairperson, or if one of the members of the Defence Committee requires it, there will be a roll-call vote on the decision. Each member of the Committee has one vote. If the votes are tied, the degree of Doctor will be awarded.

4. After the decision to confer the doctorate has been taken, and if the Rector Magnificus has proposed that the thesis be eligible for this on the basis of Article 18, the Defence Committee will decide whether to award the *cum laude* designation. The designation will be awarded if the Defence Committee has decided in favour of the proposal by a written anonymous vote.

5. If awarded, the *cum laude* designation will be recorded on the certificate as meant in Article 24.8 of these Regulations.

6. If the degree of Doctor is conferred and, if applicable, after it has been established whether the *cum laude* designation has been added, the chair, secretary, supervisor, co-supervisor and any other members of the Defence Committee will sign the certificate. If the doctoral degree ceremony takes place online the certificate will in any event be signed by the chair, secretary and supervisor, and if possible and desired, the other members physically present.

CHAPTER 7

JOINT AND DOUBLE DOCTORAL DEGREE

Article 26 Joint doctoral degree trajectory

- 1.** The University can supervise a doctoral candidate jointly with one or more Dutch or foreign institutes of scientific education which are entitled to award the doctorate. After a successful completion of the doctoral degree trajectory, the University and the other institute(s) may
 - confer a joint degree (joint doctoral degree); or
 - confer a degree each individually (double doctoral degree).
- 2.** Cooperation as referred to in paragraph 1 may take place provided the following conditions have been met:
 - a.** the doctoral candidate has access to the doctoral degree trajectory at the University as referred to in Article 3;
 - b.** a cooperation agreement has been concluded between the University and the other institute(s), which has been approved by the Rector Magnificus.
- 3.** Contrary to Article 6 paragraph 1 the number of supervisors and co-supervisors jointly shall not exceed four for each doctoral degree trajectory. Any request for deviation from this must be submitted to the Board of Deans by the first supervisor stating the reasons.
- 4.** At least one of the supervisors must be attached to the University. The tasks of the first supervisor shall be performed by a supervisor of the University. At least one of the persons of the other institute(s) involved in the supervision must have the right award a doctoral degree according to the rules of that other institute. For the purposes of these Regulations, this person is considered as a supervisor.
- 5.** Contrary to Article 16 paragraph 3 the Assessment Committee must consist of a minimum of four and a maximum of six members. The Assessment Committee has at least one member of each cooperating institute and of two members not attached to one of the cooperating institutes.
Article 16 paragraph 3 under a remains fully applicable. Article 16 paragraph 3 under b is applicable to an Assessment Committee consisting of four or five members. In the event of an Assessment Committee consisting of six members Article 16 paragraph 3 under b will be replaced by:
"a maximum of four professors who do not have the *ius promovendi* or non-professors who are sufficiently expert in the area of the thesis subject. At least two of these persons must have obtained a doctorate".
- 6.** On the basis of a reasoned proposal of the Dean, the Board of Deans may grant an exemption from the requirements in paragraph 5.
- 7.** All members of the Assessment Committee and the Defence Committee who are attached to the cooperating Dutch or foreign institute(s) are considered as being attached to the University in connection with paragraph 5.
- 8.** On the title page of the thesis to be approved by the Rector Magnificus, it should also state, in addition to Article 20, paragraph 2, that the doctorate is a joint doctoral degree or double doctoral degree, and include the names of the cooperating universities.

Article 27 The cooperation agreement

1. Detailed arrangements with regard to the doctoral degree trajectory are laid down in the cooperation agreement as referred to in Article 26 paragraph 2 under b. Any discussions about the cooperation agreement as meant above commence in principle within two years after the commencement of the doctoral degree trajectory. The cooperation agreement will be determined in principle within two years after commencement of the discussions.
2. The cooperation agreement must stipulate at least:
 - a. that substantial input from each institute will be sought and preferably the way in which this will be achieved;
 - b. the manner in which the Assessment Committee and the Defence Committee are composed;
 - c. where and, in the event of a double doctoral degree, the order in which the doctoral degree ceremony (ceremonies) will take place;
 - d. in which language the thesis has to be written;
 - e. in the event of a joint doctoral degree, the design of the public defence if it takes place at a partner institute;
 - f. in the event of a joint doctoral degree, which procedure is to be followed to possibly obtain the designation *cum laude*;
 - g. a model for the joint title page; and
 - h. what procedures are applicable in the event of a dispute.
3. The cooperation agreement will also make arrangements with regard to the consequences of the dissolution of the cooperation for the degree award at the University and the other institute(s), in particular with regard to Article 12 paragraphs 4 and 5. In addition, arrangements must be made about the degree award and the certificates to be issued if the agreement is dissolved after the degree has already been conferred at the University or the other institute.

Article 28 Joint doctoral degree

1. In the event of a joint doctoral degree a single public defence will take place.
2. If the public defence takes place at the University, these Regulations, in particular Articles 20 up to and including 25, must be adhered to. If a partner institute wants to deviate from this, this can be accommodated insofar as it does not contravene the nature and character of these Regulations, all this at the discretion of the Rector Magnificus.
3. If the public defence takes place at a partner institute, the Defence Committee will be considered to have been established there on behalf of the University's Board of Deans.
4. A model for the joint certificate to be issued will be agreed in the cooperation agreement. The certificate must at least state that the degree is the result of a joint doctoral degree trajectory and the partner institutes involved in it.

Article 29 Double doctoral degree

1. In the event of a double doctoral degree each partner may decide for itself on the requirements of that partner for awarding degrees.
2. In the event of a double doctoral degree, in any event a doctoral degree ceremony must take place at the University. The degree will be awarded at the University in full accordance with what has been laid

down in these Regulations, with the exception that if the degree award has first taken place at a partner institute, the provision in Article 12, paragraph 6 does not apply.

3. In the event of a double doctoral degree being awarded, it will be stated on the certificate that the degree award is only valid in conjunction with the degree awarded by the partner institute to be specified, as is also evident from a certificate to be issued by the partner institute.

4. In the event of a double doctoral degree the University and the other institute(s) must proceed to award the degree within a period of six months from the first degree. If the partner institute does not award a degree, or if this deadline is exceeded, the agreement will in principle be dissolved and the provisions relating to the double doctoral degree will therefore lapse. Any certificate that might already have been issued as referred to in paragraph 3 of this Article can then be exchanged by the doctoral candidate for a certificate without the statement of the double doctoral degree.

CHAPTER 8

THE DEGREE OF DOCTOR HONORIS CAUSA

Article 30 Nomination

1. The Board of Deans is entitled, on the nomination of the institute's Board, to award the degree of Doctor Honoris Causa (honorary doctorate) to natural persons due to highly outstanding merits.
2. The degree of Doctor Honoris Causa as referred to in paragraph 1 of this Article can be awarded to:
 - a. a person who has carried out research which has proved to be of exceptional significance for the practice of science at the University or for science in general. A proposal for a nomination by the Executive Board for such an honorary doctorate can only be made by a faculty council;
 - b. a person who has directly or indirectly made a very exceptional contribution to scientific education and research from a scientific, cultural or social point of view. A nomination for such an honorary doctorate for society can only be made by the Executive Board.

Article 31 Decision-making process

1. If the Board of Deans intends to adopt a nomination to award the degree of Doctor Honoris Causa, the Board of Deans will submit the nomination in confidence to the University Council. Upon receipt of the notice regarding the views expressed by the University Council, the Board of Deans will take a decision on awarding the degree of Doctor Honoris Causa.
2. If the Board of Deans decides to award a degree of Doctor Honoris Causa, in doing so it will also appoint one or more professors of the University as supervisors.
3. Confidential notice of the decision shall be given to the doctoral candidate, the supervisor and, if applicable, the faculty council of the faculty concerned.
4. The decision will not be made public until after the doctoral candidate has declared to accept the degree of Doctor Honoris Causa.

Article 32 Degree award

1. The degree of Doctor Honoris Causa shall be awarded in a special public session of the Board of Deans, preferably during the celebration of the University's *dies natalis*.
2. On the instructions of the Rector Magnificus, the supervisor endows the doctoral candidate with the conferred dignity, while expressing words of praise and appreciation.
3. As evidence of the dignity conferred, the Doctor Honoris Causa will receive a *cappa* and a certificate signed by the Rector Magnificus, and if applicable the Dean of the faculty concerned and the supervisor.

CHAPTER 9

DISPUTE RESOLUTION

Article 33 Dispute - Mediation

1. At the request of a supervisor, co-supervisor and/or the doctoral candidate the Dean will mediate if:
 - a. during the doctoral degree trajectory a dispute arises between the supervisor and co-supervisor, the supervisor and the doctoral candidate, or the co-supervisor and the doctoral;
 - b. with regard to the approval of the thesis as referred to in Article 15 a dispute arises between the supervisors themselves, between the supervisor and co-supervisor or between the supervisor and the doctoral candidate;
 - c. the supervisor has a difference of opinion with the Assessment Committee about the assessment of the thesis.
2. If the Dean is the supervisor or a member of the Assessment Committee, the Board of Deans will appoint a professor as mediator. This professor shall not be the supervisor, co-supervisor or member of the Assessment Committee.
3. The mediator will in any event interview the parties to the dispute in order to reach an amicable solution. A report drawn up by the mediator with findings and substantiated conclusions will be discussed with the parties. The report will be brought to the notice of the parties and the Board of Deans.
4. In the event of a dispute in which the doctoral candidate is involved, it will be pointed out to the latter that the University has confidential advisers to whom the doctoral candidate can turn.

Article 34 Dispute - Settlement

1. If the mediation provided as referred to in Article 33 paragraph one has not reached an amicable solution within four weeks, any of the parties involved may apply in writing to the Board of Deans with a request to settle the dispute.
2. Within four weeks after receipt of the written request referred to in the first paragraph, the Board of Deans will establish an Advisory Committee to give advice to the Board of Deans. This Committee will consist of three professors not involved in the preparation of the thesis.
3. The Advisory Committee referred to in the second paragraph will hear all parties involved and is entitled to consult experts. The Committee will draw up a written report of this.
4. Within eight weeks after the establishment of the Advisory Committee, this committee shall issue its advice to the Board of Deans in the form of a substantiated draft decision, adding the written report referred to in the third paragraph.
5. The Board of Deans will settle the dispute within four weeks after receipt of the advice referred to in the fourth paragraph. The decision of the Board of Deans will be notified immediately to the parties. If the decision deviates from the advice referred to in the fourth paragraph, the decision - stating the grounds on which the deviation is based - shall be sent to the persons concerned and the said Advisory Committee.

CHAPTER 10

FINAL AND TRANSITIONAL PROVISIONS

Article 35 Special cases

1. In cases not provided for by these Regulations or in the event of a disagreement on the interpretation of any part in these Regulations, the Board of Deans will decide.
2. In special cases the Board of Deans, on the proposal of the Rector Magnificus may deviate from the provisions in these Regulations.
3. In the event of maternity or partner leave of the doctoral candidate after approval of the thesis by the Assessment Committee, the period referred to in Article 20, paragraph 1 shall be extended by adding to this period the duration of the leave granted.

Article 36 Objection

1. Objections to decisions taken by or on behalf of the Board of Deans may be lodged by any interested party with the Board of Deans within six weeks of announcement of the decision in accordance with the Dutch General Administrative Law Act (*Algemene wet bestuursrecht*).
2. If disputes arise in connection with (the preparation of the) doctoral degree that do not fall within the scope of existing regulations within the University, the dispute settlement procedure as included in Chapter 9 will apply.

Article 37 Mandates

1. The Board of Deans may mandate the exercise of its powers to the Rector Magnificus, including in any case the powers referred to in Article 12, paragraphs 7 and 11, Article 21 paragraph 6, and Article 31 paragraph 2, but excluding the powers referred to in Article 35 paragraph 2 and Article 38. The Rector Magnificus is entitled to sub-mandate the exercise of a mandated power to one or more persons.
2. The Rector Magnificus may mandate the exercise of the powers referred to in Article 20 paragraph 3 to one or more persons to be appointed.
3. The Board of Deans may mandate a part of its duties to a Dean. Appendix 6 states which duties are mandated.

Article 38 Withdrawal of *ius promovendi*

1. The Board of Deans may withdraw the *ius promovendi* under certain circumstances. Such a decision shall not be taken until after a careful weighing of interests has taken place in which at least the person concerned has been heard.

Article 39 Adoption

1. These Regulations have been adopted by the Board of Deans on 2 November 2022 with the approval of the Executive Board on 24 January 2023. These Regulations become effective on 1 February 2023. At the time of entry into force of these Regulations, the Maastricht University Regulations for obtaining the doctoral degree as adopted by the Board of Deans on 13 May 2020 shall expire.
2. With respect to doctoral degree trajectories that commenced on or after the day on which these Regulations came into force, the Maastricht University Promotion Regulations as adopted by the Board of Deans on 13 May 2020 shall cease to apply with immediate effect. With regard to doctoral degree trajectories which started prior to the date on which these Regulations came into force, the Maastricht University Promotion Regulations, as adopted by the Board of Deans on 13 May 2020, shall remain in force for six months from the date on which these Regulations came into force, unless a doctoral candidate requests the Board of Deans to apply these Regulations to this candidate's doctoral degree trajectory at an earlier date.
3. Persons who, on or before 31 August 2002, successfully completed the graduate examination in scientific education and thereby obtained the title of *Doctorandus* (the former title for the academic degree of *Master* in the Netherlands), comply with the condition stipulated in Section 7.18 subsection 2 under a of the Act and Article 3 paragraph 1.

Article 40 Incompatible versions

In the event of contradiction or incompatibility of the Dutch and English version of these Regulations, the Dutch text will prevail.

ANNEX 1

Texts as used during the doctoral degree ceremony

Rector or Chair:

'The session is open'.

*'Dear doctoral candidate,
the Board of Deans of Maastricht University is giving you the opportunity to defend your thesis in public.
I call upon the first opponent.'
(.....)*



'The exchange of views will be continued by '



After the 'hora est' by the beadle:

'Dear doctoral candidate, the opportunity to defend your thesis is over. The committee will retire for deliberations. I invite you and your party to wait in this hall for the results of these deliberations'.



After the committee has returned:

'The session is continued.'

Dear doctoral candidate, this committee, established by the Board of Deans, has taken note of your thesis and has heard your defence of it.

The Committee has decided to award you the degree of Doctor.

I now call upon the supervisor, to confer the honour on you in the usual manner'

or

'Dear doctoral candidate, the committee present here has considered the quality of your thesis and the way in which you have defended that thesis. On the basis of its positive opinion on it and considering the examinations previously taken by you, it has decided to award you the degree of Doctor.

Your supervisor has the floor'.

Supervisor:

'Do you promise always to act according to the principles of scientific integrity: truthfully and with due care, transparency, independence and responsibility?'

Promovendus:

'Yes I promise.

Supervisor:

'By virtue of the authority vested in us by the law, and in accordance with the decision of the Doctoral Committee present today, I hereby declare that you, (forename and surname of the candidate) the degree of Doctor with all rights and duties associated with this by law and custom. As evidence thereof, I hereby give you the degree certificate, signed by the Rector, secretary and other members of the Doctoral Committee and bearing the great seal of the University'.

Address by the supervisor or co-supervisor:

(.)



Rector or Chair:

*'Dear Doctor,
also on behalf of the Board of Deans I congratulate you on the honour that you have acquired.
I hereby declare this ceremony at an end'.*

ANNEX 2

Instructions for doctoral candidates

1. At the start of research for the doctoral degree

Admission to the doctoral degree trajectory, see Article 3 of the Doctoral Regulations, shall be requested by means of sample letter 1 available for this purpose.

The prospective supervisor shall submit to the Dean of the faculty a request for admission to the doctoral degree trajectory and the appointment of the supervisor and co-supervisor. The Dean will notify this decision to the principal supervisor with a copy to the PhD Office.

2. The date of the ceremony

After approval of the thesis by the Assessment Committee, the intended date of the ceremony can be set provisionally with the PhD Office. In doing so, please take several preconditions into account. The session must be planned within 6 months after the approval of the thesis by the Assessment Committee.

The session is held on the following days: Monday to Friday, at 10 am, 1 pm and 4 pm.

The secretariat of the PhD Office has details of whether the date has already been set aside for an inaugural lecture or for a valedictory lecture.

The date is fixed definitively by the Rector initialling the draft title page. The doctoral candidate shall email the first two pages to the PhD Office. After this, changes may only be made in very exceptional circumstances.

N.B.: the stated start time(s) is (are) strictly adhered to.

3. The title page of the thesis

The external and internal formal requirements for the thesis are set out in Articles 12 and 22 of the Doctoral Regulations. For approval by the Rector of the title page, designed pursuant to Article 20 of the Doctoral Degree Regulations, a copy (preferably printer's proof or master print) must be sent to the secretariat of the PhD Office at least three months before the doctoral degree ceremony.

The doctoral candidate is advised to provide the thesis with an ISBN number. That number ensures that the thesis is registered both nationally and internationally and is brought to the attention of potential users. Publications with an ISBN number are listed in the Boekblad and appear in the national bibliography (Brinkman).

When the thesis appears in a publisher's list or series, the ISBN number is requested by the publisher of the thesis.

If the doctoral candidate takes care of publication of the thesis independently, the printer or the ISBN Bureau in Culemborg must be contacted in order for the ISBN number to be allocated.

4. Reverse of the title page

This shows only the names of

- the (co-) supervisor(s),
 - the Assessment Committee, and
 - any bodies which have provided financial support for the research and/or the doctoral degree ceremony.
- One of the copies sent must be initialled by the supervisor.

Of all the supervisors, co-supervisors and members of the Assessment Committee, the name of the institution at which they are employed must be stated.

If the thesis is the result of a joint or double doctorate degree, this shall be mentioned, indicating the name of the partner institution(s).

5. Additions of a non-academic nature

With the express consent of the Board of Deans, the thesis may include additions which fall outside the specifications of the academic treatise in a strict sense (see Article 12 paragraph 7). Additions of a commercial nature are not permitted.

6. Reception and address

A card shall be inserted in the thesis stating the name, home address and telephone number of the doctoral candidate, including an announcement where the reception will be held.

Maps of the town centre (showing car parks) may also be attached.

7. Number of copies of the thesis

The doctoral candidate must supply the PhD Office with 6 copies of the thesis, with the propositions inserted, at least three weeks before the date of the ceremony.

8. Reimbursement of printing costs and grant

See the form 'doctoral degree ceremony reimbursement for the candidate'.

9. Other forms of duplication

Insofar as not otherwise stated above, other forms of duplication accepted by the Board of Deans are considered as equivalent to printing.

10. Preliminary discussion prior to the ceremony

Meetings are held weekly in the auditorium, during which the doctoral candidates are given the opportunity to practise the presentation and put questions to the beadle and to each other regarding matters relating to the ceremony.

11. Public nature, admission and reservation of seats

The doctoral degree ceremony takes place during a public session. Degree ceremonies in person take place in principle in the auditorium of the University. There are seats for 240 persons. The chair of the doctoral degree ceremony may restrict or refuse admission to the auditorium if there is a risk to order and (fire) safety.

Children under the age of 6 may not be present during defence of the thesis.

12. Video registration

The doctoral degree ceremony is recorded on Mediasite and the candidate receives a personal code for this.

Photographs and filming are not permitted during the defence. There are no objections to the taking of photographs, film and video recordings after the defence, during the results, when the degree certificate is handed over and at the reception.

13. Dress

It would be appreciated if dress is in accordance with the importance that the University attaches to the ceremony, also in the event of a degree ceremony taking place online.

14. Publicity

Doctoral degree ceremonies are announced on the academic events calendar, which is published monthly on the UM website and is sent to the media. The calendar is sent to regional and national press: newspapers, magazines, scientific journals, radio and TV. As well as factual information, such as date, candidate's name and title of the thesis, the calendar also includes a brief outline of the thesis. A few weeks before the ceremony, the doctoral candidate is asked to provide a description of the doctoral research in a maximum of one hundred words. The outline must be intelligible for anyone who is not trained in the subject area. The emphasis should be put on the main conclusions of the research or the practical consequences of it. It is advisable to consult the supervisor on this.

If necessary, the Marketing & Communications department will draw up a comprehensive press release on the basis of the outline. The purpose of such press releases is to draw greater attention among the media to particular research projects which are of social relevance. In such a situation, the Marketing & Communications department will contact the candidate.

15. Radio and television

Recordings for radio or television may be made with the written consent of the Rector and sound-recording equipment may be installed in the hall by the media. Consent must be requested in writing from the Rector at least three working days in advance. This period may be reduced in special circumstances.

ANNEX 3

Relevant articles from the Higher Education and Research Act (WHW)

Article 7.10a Award of Bachelor and Master degrees

1. The board of the institution shall award the degree of Bachelor and the degree of Master to any person who has successfully completed the final examination of a bachelor's programme in university education or, respectively, the final examination of master's programme in university education. Depending on the discipline in which the final examination of a bachelor's programme or the final examination of a master's programme was successfully completed, the words "of Arts" or "of Science" shall be added to the degree awarded. By order in council, a different designation from those referred to in the second sentence may be established for a degree programme or group of programmes with respect to a degree referred to in this paragraph.
2. The board of the institution shall award the degree of Bachelor and the degree of Master to any person who has successfully completed the final examination of a bachelor's programme in higher professional education or, respectively the final examination of a master's programme in higher professional education. The board of the institution may establish a different designation from those referred to in paragraph (1) second sentence for a degree programme or group of programmes with respect to a degree referred to in this paragraph.
3. The board of the legal entity referred to in Article 5a.1 (2) shall award the degree of Master to any person who has successfully completed the final examination of a master's programme as referred to in Article 7.3b (a) or (b). Paragraph (1) second sentence shall apply *mutatis mutandis* to a master's programme as referred to in Article 7.3b (a). Paragraph (2) second sentence shall apply *mutatis mutandis* to a master's programme as referred to in Article 7.3b (b).
4. The board of the institution or the board of the legal entity referred to (3) shall add to the degree the indication of the discipline or the professional field to which the degree relates.

Article 7.18. Award of the degrees of Doctor or Doctor of Philosophy; admission to and structure of the degree ceremony

1. The doctoral degree board of a university, the Open University or a university based on religious or philosophical principles has the authority to award the degrees of Doctor or Doctor of Philosophy on the basis of the doctoral degree ceremony. The degrees of Doctor and Doctor of Philosophy are equivalent.
2. Admission to the doctoral degree ceremony is open to anyone:
 - a. who has been awarded the degree of Master pursuant to Article 7.10a (1), (2) or (3); and
 - b. who, as evidence of competence to undertake academic research independently, has written a doctoral thesis or has prepared a draft version, and
 - c. who has fulfilled the requirements laid down in the Doctoral Regulations referred to in Article 7.19.
3. In special cases, the doctoral degree board may grant admission to the doctoral degree ceremony to persons who fulfil the requirements laid down in paragraph (2) (b) and (c) but who do not comply with paragraph (2) (a).
4. The doctoral degree board shall appoint a supervisor for each doctoral degree ceremony. The person appointed as supervisor may be a professor or, in so far as this person has been awarded the degree of Doctor or Doctor of Philosophy, another member of the staff of a university, a university based on religious or philosophical principles or the Open University who, in the opinion of the doctoral degree board, has sufficient competence to act a supervisor. The doctoral degree ceremony shall take place before that

board or a committee to be constituted by the board from professors and other persons deemed to have sufficient competence to sit on the committee, in compliance with the Doctoral Regulations referred to in Article 7.19.

5. For the purposes of paragraph (4), professors holding an endowed chair at a public university shall be regarded as professors of that university.

6. An institution may award the degrees of Doctor or Doctor of Philosophy jointly with one or more Dutch or foreign institutions on the basis of a doctoral degree ceremony. Paragraphs (1) to (5) inclusive shall apply *mutatis mutandis*. The institutions may conclude more detailed agreements concerning implementation within the provisions of the Doctoral Regulations.

Article 7.19. Doctoral Regulations; honorary doctorate

1. The doctoral degree board shall adopt the Doctoral Regulations in compliance with the provisions laid down in this respect in this Act. The regulations shall set out rules for:

- a. the procedure regarding preparation of the doctoral degree ceremony and regarding the ceremony itself, including the tasks and powers of each person who is or may be concerned in the ceremony, and
- b. the provisions for settlement of disputes which may arise with regard to the preparations for the doctoral degree ceremony and the ceremony itself, and
- c. where applicable, the procedure with regard to Article 7.18 (6).

2. The doctoral degree board, acting on a proposal by the board of the institution, has the authority to award the degree of Doctor honoris causa to natural persons for exceptional achievements.

Article 7.22. Indication of the degrees of Doctor, Doctor of Philosophy or Doctor honoris causa in one's name

1. Any person who has been awarded the degree of Doctor or Doctor of Philosophy on the basis of the doctoral degree ceremony referred to in Article 7.18, or the degree of Doctor honoris causa pursuant to Article 7.19 shall be entitled to express that degree in their own name.

2. Any person who is entitled under (1) to express the degrees listed there in their own name shall also be entitled to use the academic title doctor or Doctor of Philosophy.

3. The degrees listed in (1), indicated as D or as PhD, are placed after the name in the statement of one's name. The titles listed in (2), abbreviated to Dr, are placed before the name or, abbreviated to PhD, after the name.

4. The person concerned shall choose between expressing the degree in his/her own name, as referred to in (1), or using the title, as referred to in (2).

Annex 4

Explanatory Notes to the Doctoral Regulations

Article 1, paragraph 1, under s

The document 'Recruitment, selection and appointment of professors at Maastricht University'¹ includes an overview of the categories of professors. This document is applicable, *inter alia*, to questions relating to the competences of a professor, including exercising the right to supervise doctoral candidates (*ius promovendi*).

The Regulations further clarify each time whether they refer specifically to professors with the right to supervise doctoral candidates (*ius promovendi*) or professors in general.

Article 1 paragraph 1 under x

With regard to doctoral degree ceremonies the PhD Office operates as the secretariat of the Board of Deans.

Article 1 paragraph 1 under y

The listed sections cover those funded: public universities (a); special universities (b); the Open University (h); and religious universities (i).

Article 2 paragraph 2

The Rector's replacement as chair of the Defence Committee is generally referred to as the pro-rector. The pro-rector is a professor - whether emeritus or not - and is only technically the chair. It is therefore not necessary that the latter has the *ius promovendi*.

Article 3.1

Determination as to whether a candidate may be admitted to the doctoral degree trajectory on the basis of a foreign degree is the responsibility of the Dean, see Article 4, paragraph 3, mandated for this purpose by the Board of Deans on the basis of Article 37. The implementation of this test can, of course, be left to another organisational unit such as the Student Services Centre. The basis of the comparison is whether the diploma is equivalent to the ISCED level 7.

Attaching the requirement of a diploma to the request for admission to the doctoral degree trajectory, verifies at the earliest possible stage whether the legal requirement for admission to the doctoral degree trajectory has been met.

Article 4 paragraph 4

All doctoral candidates should be enrolled in a Graduate School, regardless of their status (according to UNL typology). The main purpose of this rule is in principle to allow all doctoral candidates to pass through the doctoral degree studies in the same way. In addition, this achieves administrative clarity regarding the population of doctoral candidates.

Article 5

¹ Established on 23 June 2017.

A training and supervision plan (TSP) is formulated for all doctoral candidates. However, the content of a plan may differ for various types of doctoral candidates.

At its core, the TSP is a document that sets out mutual expectations and the agreements made to realise those expectations. In any case, the following will be recorded in the TSP:

- The training programme requirements set by the Graduate School and/or supervisor for the doctoral candidate.
- The courses that will be followed at the request of the doctoral candidate.
- The form in which supervision is provided, for example by fixing the frequency of meetings in advance.
- A timeline along which actual progress can be tested.
- Arrangements for residing at the University or other institutions in order to do research or follow lectures.

Articles 6 and 7

Articles 6 and 7 deal with the supervisor as the tutor of the doctoral degree trajectory and as the one who is the supervisor during the doctoral degree ceremony (i.e. defence of the thesis).

In any case, the law stipulates that the emeritus professor retains the right to act as supervisor at the doctoral degree ceremony for up to five years after resignation. If a supervisor no longer holds the *ius promovendi*, Article 6, paragraph 7 will apply, which states that the Board of Deans shall appoint a new supervisor (unless this is unnecessary) who will act as supervisor during the doctoral degree ceremony. The supervisor who no longer has the *ius promovendi*, automatically becomes co-supervisor.

In cases where the *ius promovendi* has been terminated on grounds other than emeritus status, action can be taken accordingly.

Article 6 paragraph 4

If two or more supervisors are appointed, a distinction is made between the principal and the second supervisor. The principal supervisor is responsible for ensuring a smooth running of the doctoral degree process. The principal supervisor is mentioned first in the thesis.

When supervising the doctoral candidate, all supervisors have, in principle, the same responsibility. Where the regulations refer to the supervisor, this means, in principle, all supervisors. Where explicitly only the principal supervisor is meant, this is also worded as such. However, where all supervisors are expected to take an action, as for example when assessing the manuscript before sending it to the Assessment Committee, the principal supervisor is responsible for initiating and completing the action.

Articles 6, 16 and 21

Neither a supervisor, co-supervisor, member of the Assessment Committee nor a member of the Defence Committee can be the partner of the doctoral candidate, or have a blood or marriage relationship to the doctoral candidate in the first or second degree.

If the co-supervisor and the supervisor are married, have a registered partnership, a cohabitation contract, or an otherwise long-term partnership, a third (co)supervisor will be appointed.

Article 7 paragraph 2

As of 1 January 2020 associate professors with a doctoral degree employed by the University have the *ius promovendi* and they can be appointed as a supervisor. The extent of the employment is not important here, this can also be 0-hour employment. The Dean ensures that the doctoral candidate's supervision team has sufficient proven experience in supervising doctoral candidates.

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Neither a supervisor, co-supervisor, member of the Assessment Committee nor a member of the Doctoral Committee can be the partner of the doctoral candidate, or have a blood or marriage relationship to the doctoral candidate in the first or second degree.

If the co-supervisor and the supervisor are married, have a registered partnership, a cohabitation contract, or an otherwise long-term partnership, a third (co)supervisor will be appointed.

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Article 7 paragraph 3

Professors of practice who are employed by the University and associate professors with a doctoral degree who are not employed by the University may obtain the *ius promovendi* by the following procedure: the prospective supervisor submits a reasoned application to the Dean prior to or at the beginning of each doctoral degree trajectory in which the supervision is to take place. The Dean may consult a professor in the relevant discipline. In the event of a positive advice, the Dean makes a nomination to the Board of Deans. The Board of Deans decides on granting the *ius promovendi* for the doctoral degree trajectory for which it has been applied, and its duration. The *ius promovendi* is therefore explicitly limited to the doctoral degree trajectory for which it was applied, and is not transferable to other doctoral degree trajectories.

Article 9

This article aims to provide order in the procedures with regard to changes in the composition of supervisors and co-supervisors. A reasoned request for amendment should be submitted to the Dean by the doctoral candidate with the involvement of at least one of the supervisors or co-supervisors.

Article 12 paragraph 3

When a thesis is based on several independent scientific treatises (articles) the minimum requirement should be included that at least one scientific treatise should be demonstrably in the review process of a scientific journal. Paragraph 12 of this Article provides scope for a faculty or Graduate School to impose additional requirements based on the practice of various disciplines.

Article 12 paragraph 5

Because much doctoral research takes place in projects to which several doctoral candidates contribute, this paragraph leaves open the possibility that an article may be used by several doctoral candidates in their theses. For this, however, the doctoral candidate who wishes to include such an article must be able to demonstrate to have made an essential contribution to it. In addition, a maximum of half of the articles included may already have been included in another thesis.

Article 12 paragraph 6

Article 3 paragraph 2 provides that the doctoral candidate will only be admitted to a second doctoral degree ceremony if it is essentially in a different field of study. Article 12 paragraph 6 adds to this that the doctoral candidate may not use work from a previous thesis for the second doctoral degree.

Article 12 paragraph 8

The doctoral candidate must add an impact paragraph to the thesis of 500 to 2,000 words. This paragraph consists of a reflection in layman's terms (for a wide target group) on the scientific impact of the results of

the research described in the thesis, and if applicable also the impact on society already achieved or expected.

The impact paragraph forms part of the thesis and will be fully included in the consideration by the Assessment Committee and the Defence Committee when evaluating the thesis. If the impact of the results of the research is also discussed elsewhere in the thesis, the doctoral candidate can come back to it in the impact paragraph. In the case of a joint doctorate as referred to in Article 13, one impact paragraph shall be added jointly to the thesis by the two candidates. The impact paragraph must be written in the same language as the thesis.

Scientific impact is the short- and long-term contribution of the results of scientific research, to a shift in understanding and to advance science, method, theory and application within and across disciplines. Scientific impact has a wide variety of manifestations: from conferences for a scientific audience to contributions to publications, (open) data, infrastructure or education.

Impact on society is the short- and long-term contribution of the results of scientific research to changes in, or development of societal sectors and to societal challenges. Examples of societal sectors include the economy, culture, public sector and healthcare. Societal challenges can include issues such as climate change, immigration, quality of life, the living environment, rule of law and security. Impact on society has a wide variety of manifestations: from communicating science to the wider public to contributions to government policy, patient care or innovation in the industry or business sectors.

In order to formulate the impact paragraph, four questions are provided that may serve as a guidance:

1. (Research) What is the main purpose of the research described in the thesis and what are the main results and conclusions?
2. (Relevance) What is the (potential) contribution of the results of this research to science, and if applicable to societal sectors and societal challenges?
3. (Target group) To whom are the research findings interesting and/or relevant? And why?
4. (Activity) In what way can these target groups be involved and informed about the research findings so that the knowledge gained can be used in the future?

Article 12 paragraph 10

The extra requirements for the thesis are preferably to be made known at the beginning of the doctoral degree trajectory. Some flexibility is possible, although this should not lead to situations where the doctoral candidate is faced with the additional requirements at a very late stage.

Article 14 paragraph 4

The course units passed with success are recorded by the Graduate School.

Article 16 paragraph 5

Diversity should be sought in the composition of the Assessment Committee. First and foremost, the assessment should take place from different scientific viewpoints. In addition, gender diversity should be pursued in any event and if possible the international perspective should also be taken into account.

Article 17

Each member of the Assessment Committee will receive an assessment form from the chair. All members, including the chair, are requested to assess the thesis using the assessment form within four weeks of receiving the thesis. The completed assessment form should be returned to the chair. The use of the assessment form is compulsory.

The anonymised versions of the assessment forms are sent by the chair to the supervisor as feedback on the quality of the thesis. The supervisor may share the anonymised assessment forms with the doctoral candidate.

The chair sends the non-anonymised forms to the PhD Office.

This Article does not specify how to proceed if the thesis is rejected a second time by the Assessment Committee. In that case, Article 35 paragraph 1 can be invoked.

Article 18

In assessing the thesis, the chair of the Assessment Committee must explicitly include in the consideration of the thesis whether a proposal should be made to award the *cum laude* distinction to the thesis. If the chair considers this to be the case, or if such a request is made by other members of the Committee, the chair shall submit the request to the other members of the Assessment Committee.

A member of the Assessment Committee may raise the possibility of *cum laude* directly with the chair.

To indicate the opinion of a member of the Assessment Committee on the *cum laude* question, a separate section form is used that the chair will send to the members. The chair will collect the filled in forms. These forms will not be shared with the supervisor.

The Dean will be informed by the Rector of the intended recommendation to award *cum laude*.

Article 18

To qualify for the *cum laude* distinction, a thesis must be of exceptional quality. In this connection it should be borne in mind that as a guideline a thesis should be among the 5% best theses defended at UM each year.

Article 22 paragraph 2

Propositions and summary(ies) form part of the thesis. For archiving and communication purposes, it is important that the propositions and summary are delivered to the University Library in separate files.

Article 24 paragraph 1

There is a hybrid session when at least one of the participants is not present in person.

Article 24 paragraph 2

Following the doctoral degree ceremony via an online platform is only possible if the doctoral candidate is present online. Where only one or more opponents are present online, it is not necessary to make it possible for the public to participate in the ceremony.

The public nature of doctoral degree ceremonies requires accessibility to a live video stream of the ceremony. There may be conditions attached to the use of this live video stream, such as mandatory disabling of spectators' sound functions. The link indicating where to watch the ceremony will be included in the calendar of the PhD Office.

Article 24 paragraph 3

During the defence (opposition), the official language should in principle be chosen in such a way that the members of the Defence Committee are able to follow the entire defence, as they have to form an opinion on it. For the doctoral candidate's presentation, the award of the degree and the laudation there is a free choice between English and Dutch. The Defence Committee must be informed in advance of the language to be used.

Article 24 paragraph 4

It is not the intention that words of thanks or overly voluminous words of appreciation about the thesis are spoken during the doctoral degree ceremony. There should be a serious defence of the thesis.

Article 24 paragraph 12

During the doctoral degree ceremony, the doctoral candidate and persons who accompany and assist them must be appropriately dressed. Professors are expected to wear a gown. Other members of the Defence Committee are requested to also wear appropriate attire for this ceremony.

In an online or hybrid session, online participants will also be asked to dress appropriately for the occasion. However, the requirement for professors to wear a gown is then dropped.

Article 25 paragraph 2

The degree of Doctor is equivalent to the degree of Doctor of Philosophy. Any person who is entitled, on the basis of the doctoral degree ceremony, to indicate the degree of Doctor in his/her own name, is also entitled to use the title doctor. The degree, indicated as D, is placed after the name; the title, abbreviated to Dr, is placed before the name. The person concerned shall choose between expressing the degree in his/her own name and using the title.

Article 25 paragraph 3

In the very exceptional case that no degree is granted, Article 35 paragraph 1 comes into effect (special cases).

Articles 30 and 31

An honorary doctorate can only be given on the recommendation of the Executive Board. In practice, nominations for candidates for an honorary doctorate based on academic merit are made by a Faculty Board.

Article 35 paragraph 3

Partner leave refers to the leave that a parent, other than the one who has given birth, can take under statutory regulations after giving birth. This leave is known by various names.

Article 39 paragraph 2

If negotiations on a cooperation agreement for the purpose of a joint or double doctorate so require, the cooperation agreement may stipulate that the doctoral degree trajectory of 13-5-2020 remains valid for a longer period of time. This will then be assessed by the Rector when agreeing to the agreement. This may be particularly relevant for negotiations that have already started (well) before the present version enters into force.

Preferably, however, such agreements should also be covered as far as possible by these Doctoral Regulations.

ANNEX 5

Doctoral degree in arts

The Board of Deans has decided to introduce and recognise doctoral degrees in the arts. These doctoral trajectories are facilitated by the introduction and/or amendment of the Articles in the Regulations listed below. The Regulations remain otherwise unchanged and apply to doctoral degree trajectories in the arts.

Article 1 of the Regulations is supplemented by Article 1 paragraph 1 under u:

Doctorate in arts: a thesis accompanied by a work of art, being a coherent and completed body of artistic work created by the doctoral candidate as part of the doctoral research.

Article 4 paragraph 2 of the Regulations is supplemented by Article 4 paragraph 2f:

In the case of a doctoral degree in arts, the application for admission to the doctoral degree trajectory referred to in paragraph 1 must include the subject and (working) title of the work of art or, if this information is not available at the time of the application, the purpose pursued by the work of art.

Article 6 paragraph 5 is supplemented by:

In the case of a doctoral degree in arts, the supervisor supervises (the creation of) the work of art as referred to in Article 12 paragraph 12.

Article 6 paragraph 6 is supplemented by:

In the case of a doctoral degree in arts, the supervision by a co-supervisor may also extend or be limited to (the creation of) the work of art referred to in Article 12 paragraph 12.

Article 6 of the Regulations is supplemented by Article 6 paragraph 8:

In the case of a doctorate in arts, a supervisor without a doctoral degree but with relevant artistic expertise may be appointed by the Dean after a reasoned proposal by the supervisor(s), provided there is another co-supervisor who meets the requirements in Article 8.

Article 12 of the Regulations is supplemented by Article 12 paragraph 12:

In the case of a doctorate in arts, the thesis must be accompanied by a work of art created by the doctoral candidate as part of the doctoral research.

Article 13 of the Regulations is supplemented by Article 13 paragraph 1 under d:

In the case of a doctorate in arts, each of the doctoral candidates has made an independent, clearly identifiable and sufficient contribution to the work of art as referred to in Article 12, paragraph 12.

Article 15 paragraph 2 is supplemented by:

The assessment also applies to the work of art referred to in Article 12 paragraph 12.

Article 15 of the Regulations is supplemented by Article 15 paragraph 6:

With due observance of the requirements in Article 15, paragraph 1, in the case of a doctorate in arts, the supervisor and co-supervisors shall also decide whether the work of art referred to in Article 12, paragraph 12, is of such quality that it can be submitted to the Assessment Committee. If the supervisor and co-

supervisors decide that the work of art is not ready to be submitted to the Assessment Committee, this automatically applies to the thesis and vice versa.

Article 17 of the Regulations is supplemented by Article 17 paragraph 11:

In the case of a doctorate in arts, the assessment by the Assessment Committee as stipulated in this Article 17 also applies to the work of art belonging to the thesis. If the work of art cannot be physically presented to the Assessment Committee due to its nature, the doctoral candidate must provide the Assessment Committee with sufficient documentation regarding the work of art, which may include images and/or recordings of the work of art.

Article 19 of the Regulations is supplemented by Article 19 paragraph 1 under e:

Whose work of art, in the case of a doctoral degree trajectory in arts, has been approved by the Assessment Committee within the meaning of Article 12 paragraph 12.

Article 24 of the Regulations is supplemented by Article 24 paragraph 13:

In the case of a doctorate in arts, the Defence Committee will view the doctoral candidate's work of art prior to the defence if this is necessary due to the nature of the work of art. If the nature of the work of art so requires, the doctoral candidate shall provide the Defence Committee with sufficient documentation on the work of art, which may include images and/or recordings of the work of art.

Article 25 of the Regulations is supplemented by Article 25 paragraph 7:

In the case of a doctorate in arts, in addition to the three aspects mentioned in paragraph 1, the members of the Defence Committee shall also give an opinion on the work of art belonging to the thesis.

Annex 6

Mandate given to the Dean

The Board of Deans hereby grants a mandate to each Dean of a faculty of the University individually to exercise the powers described in Articles 3 and 4, Article 6 paragraph 3 and paragraph 7, Article 7 paragraph 2, Article 9, Article 16 paragraph 6 and paragraph 10 and Article 26 paragraph 3 within the frameworks laid down in these Regulations. The Dean does not exercise the mandate when the Dean is involved in a doctoral degree trajectory as supervisor, co-supervisor or as a member of the Assessment and/or Doctoral Committee. In the Dean's absence, the Board of Deans will still exercise the powers itself.

The Dean is not given the authority to grant submandates to employees hierarchically subordinate to him/her/them. The Board of Deans is authorised at all times to revoke this mandate in whole or in part, whether or not temporarily. The Dean is accountable to the Board of Deans for exercising the mandate.

This mandate becomes effective with the entry into force of these Doctoral Regulations.