

# **Regulations for obtaining the doctoral degree Maastricht University 2018**

Adopted by a decision of the Board of Deans of 12 May 2003, amended by a decision of the Board of Deans in February 2007, on 14 December 2011, on 3 July 2013, on 19 October 2016, on 24 January 2018 and on 1 September 2018



**Maastricht University**

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# CHAPTER 1

## GENERAL PROVISIONS

- Article 1    **1.** In these regulations:
- a.** the Act means the Higher Education and Research Act, abbreviated to WHW (Stb. [Bulletin of Acts and Decrees] 1992, 593), which entered into force on 1 September 1993, amended *inter alia* by the University Government (Modernisation) Act (Stb. 1997, 117), which entered into force on 19 March 1997, by the Act of 6 June 2002 (Stb. 2002, 303) in connection with the introduction of the bachelor/master structure in higher education and by the Improved Governance (Higher Education) Act of 4 February 2010 (Stb. 2010, 119);
  - b.** the Awb means the General Administrative Law Act, abbreviated to Awb (Stb. 1994, 1), which entered into force on 1 January 1994;
  - c.** University means Maastricht University;
  - d.** faculty means the faculty of the University to which the topic of the thesis belongs in terms of subject matter, as referred to in Article 18 (1), Annex Article 22 (1);
  - e.** Dean means the dean of the faculty;
  - f.** Board of Deans means the doctoral degree board as referred to in Article 9.10 (1) of the Act;
  - g.** Rector means the official as referred to in Article 9.3 (1) of the Act, also the chair of the Board of Deans;
  - h.** Office of Academic Ceremonies means the office that organises academic sessions: doctoral degree ceremonies, inaugurations and valedictory lectures;
  - i.** professor means a professor at the University or another Dutch or foreign university, a professor holding an endowed chair at a Dutch university or a professor at a university based on religious or philosophical principles or the Open University, who has the *ius promovendi* (right to supervise doctoral candidates);

- j.* (medical-)ethical review committee means the medical-ethical review committee (METC) of the Academic Hospital Maastricht (azM) and the university or the ethical review committee of the Faculty of Health Medicine and Life Sciences (FHML-REC), the Faculty of Psychology and Neuroscience (ERCPN) or the Faculty of Arts and Social Sciences, Faculty of Science and Engineering, Faculty of Law and School of Business and Economics (ERICIC);
- k.* study programme means a master's programme as referred to in Article 7.3a of the Act or a post-initial master's programme as referred to in Article 7.3b of the Act, in so far as the programme has accreditation under the Act;
- l.* Doctoral candidate means persons who, under Article 7.18 (2) or (3) of the Act, are admitted to the degree ceremony and who, as such, are permitted by the Board of Deans to prepare for the degree ceremony;
- m.* supervisor means the professor or non-professor who holds a doctoral degree and has been assigned the right to supervise doctoral candidates by the Board of Deans pursuant to Article 7.18 (4) of the Act;
- n.* co-supervisor means a non-professor who holds a doctoral degree or a professor without the right to supervise doctoral candidates, who is appointed by the Board of Deans to assist the supervisor in supervising the doctoral candidate;
- o.* Assessment Committee means the committee appointed by the Board of Deans, which decides whether the doctoral candidate has provided such proof of competence that he may be admitted to the degree ceremony;
- p.* Defence Committee means the committee before which the degree ceremony may take place;
- q.* (doctoral) thesis means the academic treatise in the form of a book, article or electronic document or a draft version as referred to in Article 7.18 (2)(b) of the Act;
- r.* Degree ceremony means the public defence of the thesis, on the basis of which the doctoral degree can be obtained;
- s.* Doctoral research means the academic research on which the thesis is based;

**t.** joint doctoral degree means a degree ceremony where the University, jointly with one (or more) Dutch or foreign universities, confers the doctoral degree. With a joint doctoral degree, only one diploma is awarded by the two universities and, as a rule, only one official degree ceremony is held;

**u.** double doctoral degree means a degree ceremony where the doctoral candidate obtains a doctoral degree at two universities with one doctoral thesis. With a double doctoral degree, two diplomas are awarded.

**2.** Where masculine references are used in these regulations, these should be read as feminine forms if they relate to a woman.

## Article 2

**1.** Admission to the degree ceremony is open to anyone:

**a.** who has been awarded a master's degree pursuant to Article 7.10a (1), (2) and (3) of the Act;

**b.** who has written a doctoral thesis or has prepared a draft version as evidence of competence to practise independent scholarship, and

**c.** who has met the other requirements laid down in or pursuant to these regulations.

**2.** In special circumstances, the Board of Deans may, upon a reasoned request by that person, grant admission to the degree ceremony to a person who does not fulfil the requirements laid down in (1)(a) but who, in some other way, provides or has provided evidence that he has sufficient knowledge. The request shall be submitted to the Board of Deans, together with a recommendation from a professor at the University. Before deciding, the Board of Deans shall consult the dean of the relevant faculty and may obtain further information concerning the level of the degree programmes and the value of the applicant's diplomas.

**3.** Persons who have already obtained a doctoral degree (or equivalent, including the degree of Doctor of Philosophy) may not be admitted to the degree ceremony at the University. The Board of Deans may grant exemption from this provision if the

person concerned wishes to obtain a doctoral degree on the basis of research which has not provided the basis of a previous doctoral degree.

- Article 3
- 1.** Where these regulations refer to supervisor or co-supervisor, this must be understood as supervisors and co-supervisors respectively in cases where more than one appointment has been made.
  - 2.** If the Rector is appointed as supervisor or forms part of the assessment committee, his tasks and competences as chair of the Defence Committee shall be taken over by a former Rector, dean, former dean, professor at the University or an emeritus professor at the University appointed by the Board of Deans for this purpose.
  - 3.** The persons present shall treat the subjects discussed during meetings of the Assessment Committee, during the private deliberations of the Defence Committee and during meetings of the Advisory Committee referred to in Article 40 (2) as confidential.

## CHAPTER 2

### THE DOCTORAL CANDIDATE

- Article 4
1. At the start of his doctoral research the doctoral candidate shall look for at least two supervisors or one supervisor and one co-supervisor for his doctoral research and shall ask the Board of Deans to decide whether the doctoral candidate fulfils the conditions for admission to the degree ceremony as referred to in Article (2) (1)(a) or Article 2 (2) of these Regulations. At the same time as requesting admission as referred to in the preceding sentence, the doctoral candidate must submit a written statement in which he states that he is familiar with and commits to the Netherlands Code of Conduct for Academic Practice 2004, revised version of 2014 (VSNU).
  2. After requesting this, the doctoral candidate shall receive written consent from the proposed supervisor to appointment as supervisor. The doctoral candidate shall also receive the written consent of the proposed co-supervisor. If consent is withheld or is given subject to conditions, the doctoral candidate must be informed of this in writing together with the reasons.
  3. After consent as referred to in Article 4 (2) has been given, the doctoral candidate shall ask the Board of Deans to appoint the supervisor, submitting the written consent as referred to in Article 4 (2). Preferably at the same time, the supervisor shall ask the Board of Deans to appoint the co-supervisor, submitting the written consent as referred to in the preceding paragraph and in Article 15 (1) and (2).
  4. The Board of Deans may decide, on substantiated grounds, to withdraw the appointment of the supervisor and, where appropriate, the co-supervisor, irrespective of whether a reasoned request to that end has been made.
  5. The Board of Deans shall appoint the supervisor and co-supervisor within four weeks of receipt of the request and shall notify the doctoral candidate, supervisor and co-supervisor of this. If the Board of Deans appoints more than one supervisor, it shall

appoint the principal supervisor as referred to in Article 10 (1) at the same time.

**6.** Any party concerned may submit an objection to the Board of Deans against the decisions referred to in (1) and in (4).

- Article 5
- 1.** The doctoral candidate shall submit a request for admission to the degree ceremony to the Board of Deans, stating the diploma as referred to in Article 2, the subject and the title of his thesis, the person appointed as supervisor, and the faculty which, in his opinion and that of the supervisor, covers the subject of the doctoral research.
  - 2.** A request as referred to in (1) shall also give the following information regarding the doctoral candidate:
    - a.** name and forenames;
    - b.** address and place of residence;
    - c.** time and place of the examination on the basis of which the diploma referred to in (1) was obtained.
  - 3.** A request as referred to in (1) shall also include a statement that the thesis is the result of academic work which was undertaken independently by the doctoral candidate or to which the doctoral candidate made an essential contribution, and a statement that the research has not been used previously to obtain a doctoral degree or equivalent, including the degree of Doctor of Philosophy.
  - 4.** The request shall be submitted on a form intended for this purpose, which is also signed by the supervisor.

- Article 6
- The research on which the thesis is based must meet the following requirements:
- a.** the doctoral candidate has undertaken the research independently or made an essential contribution to it;
  - b.** the research has been undertaken in accordance with the code of conduct or code of professional ethics applicable to professional activities in the relevant academic field and the standards as set out in the Memorandum on Academic Integrity of the



KNAW, NWO and VSNU<sup>1</sup> and the Netherlands Code of Conduct for Academic Practice 2004, revised version of 2014;

**c.** if test subjects are involved in the research, this shall occur with their express consent, or with that of their legal representative(s) and, where appropriate, a (medical-) ethical review committee shall have approved the research protocol;

**d.** if test animals are used in the research, this shall be done in accordance with the regulations laid down in this respect and with the approval of the Animal Experiments Committee of the University;

**e.** the research shall be undertaken without any restrictions that conflict with “academic freedom” as referred to in Article 1.6 of the Act being imposed on the research and the freedom to publish data and results of the research, and also in so far as (a part of) the research is financed by third parties.

- Article 7
1. Joint research may be used as a basis for a joint thesis by a maximum of two doctoral candidates, provided that the following conditions are met:
    - a.** each of the doctoral candidates has made an independent, clearly identifiable, adequate contribution to the research sufficient for the degree ceremony, to the satisfaction of the supervisor;
    - b.** each of the doctoral candidates is regarded as the author of a specific part of the thesis, irrespective of the joint responsibility of the candidates for the coherence of the whole;
    - c.** the share of each of the doctoral candidates in its creation is stated in the thesis;
    - d.** each of the doctoral candidates adds the required number of propositions to the thesis, as stated in Article 22 (6).
  2. In the case of a joint thesis as referred to in the preceding paragraph, the procedures and provisions of these regulations shall apply separately to each doctoral candidate.

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<sup>1</sup> Memorandum on Academic Integrity, *On standards of scientific research and a national body for academic integrity*, Royal Netherlands Academy of Arts and Sciences (KNAW), Netherlands Organisation for Scientific Research (NWO), Association of Universities in the Netherlands (VSNU), 2001.

## CHAPTER 3

### THE SUPERVISOR

- Article 8
1. On receipt of the doctoral candidate's request, as referred to in Article 4, the Board of Deans shall appoint at least one professor as supervisor, in compliance with Article 9.19 (3) of the Act. The doctoral candidate must have at least two (co-) supervisors, including at least one supervisor. The number of supervisors and co-supervisors together shall not exceed three per degree ceremony. A request to derogate from this must be submitted to the dean by the supervisor, together with the reasons for it. Where these regulations refer to supervisor, this means the principal supervisor unless expressly stated otherwise. The supervisor shall be actively involved in supervision of the research and the writing of the thesis.
  2. The person appointed as supervisor may be a professor or, provided that he has obtained 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 has been assigned the right to supervise doctoral candidates (*ius promovendi*) by the Board of Deans.
  3. Where a professor appointed as supervisor is honourably discharged or becomes emeritus professor, the degree ceremony must take place within five years of discharge.
  4. If the degree ceremony has not taken place within five years of the supervisor's honourable discharge, the Board of Deans, having consulted the doctoral candidate, shall appoint another supervisor, unless it takes the view – where more than one supervisor was appointed – that it is not necessary to appoint a new supervisor.
- Article 9
- If the research forming the basis for the thesis is carried out under the supervision of a professor, as a rule that professor shall be appointed as supervisor.

Article 10 **1.** The principal supervisor has ultimate responsibility for supervision of the doctoral candidate during completion of the thesis.  
**2.** The supervisor shall, to the best of his ability, supervise the doctoral candidate in completion of the thesis. For doctoral candidates who are employed at the University or have a scholarship, the supervisor shall draw up a training and supervision plan for the doctoral candidate, in consultation with the latter, not later than twelve weeks after he has been appointed supervisor.  
**3.** The supervisor shall assess a thesis submitted to him on the basis of the points set out in Article 11.

Article 11 **1.** The doctoral candidate shall ask the supervisor to submit his thesis to the Assessment Committee for assessment. The supervisor shall not take a decision on such a request until after he has ensured that the candidate has complied with the requirements set out in Article 6.  
**2.** When assessing a thesis, the supervisor shall in all cases consider the following points:  
**a.** the importance of the subject;  
**b.** the importance of and a clear definition of the problem;  
**c.** the originality of the approach;  
**d.** the academic standard of the University, analysis and processing of the material;  
**e.** the soundness of the methodology used in the analysis;  
**f.** the drawing of new insights and new ideas from the analysis;  
**g.** a critical confrontation between the candidate's conclusions and existing theories or views;  
**h.** a creative approach to the academic field dealt with in the thesis;  
**i.** balance in the structure of the thesis and clarity of style;  
**j.** self-imposed restriction in the scope of the text.  
**3.** The supervisor shall also assess whether the thesis complies with the requirements laid down in Articles 22 to 25 inclusive.  
**4.** The supervisor shall ensure that the thesis is checked for plagiarism before it is presented to the Assessment Committee.

- Article 12
1. The supervisor shall decide within two months of receipt of the doctoral candidate's thesis on whether the thesis will be submitted to the Assessment Committee. The decision covers whether to submit the thesis for assessment or to refuse to submit it. Reasons shall be given for a refusal.
  2. The supervisor may suspend his decision if and in so far as the candidate agrees.
  3. If the time limit laid down in (1) is exceeded, the doctoral candidate may ask the Board of Deans to instruct the supervisor to take his decision regarding the thesis submitted for assessment before a specific time. The Board of Deans shall reach a decision within thirty days of receipt of the request.
  4. The supervisor shall inform the doctoral candidate in writing of his decision regarding the thesis submitted for assessment and shall send copies of it to the co-supervisor, where applicable, the dean and the Board of Deans.
  5. The supervisor shall send the thesis to the members of the Assessment Committee as soon as a decision has been taken by the Board of Deans regarding its composition.
- Article 13
1. If the supervisor has refused to have the thesis assessed, the doctoral candidate may ask the Board of Deans to appoint another supervisor.
  2. The Board of Deans shall decide on a request as referred to in (1), after consulting the doctoral candidate and the supervisor.
- Article 14
1. The appointed supervisor and co-supervisor shall decide on division of the tasks by mutual agreement and after consulting the doctoral candidate, in compliance with Article 10 (1), and if necessary shall lay this down in writing.
  2. The appointed supervisor and co-supervisor shall decide jointly on submission of the thesis for assessment, as laid down in Article 12 (1). If they cannot agree on their decision, they will inform the Board of Deans of this. The Board of Deans shall take a decision on the matter, after consulting the supervisor, co-supervisor and the doctoral candidate.

## CHAPTER 4

### THE CO-SUPERVISOR

- Article 15
1. The Board of Deans may, at the request of the supervisor, appoint one or two co-supervisors, after consulting the doctoral candidate. The supervisor shall ensure that the proposed co-supervisor is prepared to act as such.
  2. A request as referred to in (1) may be submitted to the Board of Deans through the dean at any stage of the supervision, but preferably at the same time as the request referred to in Article 4 (3).
  3. The co-supervisor is entitled to withdraw consent once given by writing to the Board of Deans with a statement of his reasons.
- Article 16
- Any person who holds a doctoral degree, is expert in the academic field with which the thesis is concerned, is not a professor or is a professor without the right to supervise doctoral candidates, and has actually supervised part of the research may be appointed as co-supervisor.
- Article 17
1. The co-supervisor, in consultation with the supervisor, shall supervise the doctoral candidate with regard to completion of the thesis.
  2. The supervisor shall give the co-supervisor sufficient opportunity to give his opinion regarding submission of the thesis for assessment. The co-supervisor shall give his opinion in writing. The supervisor shall attach this opinion to his report concerning approval to the doctoral candidate, as referred to in Article 12 (4).

## CHAPTER 5

### THE ASSESSMENT COMMITTEE

- Article 18
1. The supervisor shall make a proposal to the dean of the faculty within which the degree ceremony is to take place regarding the appointment of a professor attached to the University as chair and also member of the Assessment Committee.
  2. The supervisor and the proposed chair of the Assessment Committee shall jointly make a proposal to the dean for the appointment of the other members of the Assessment Committee, in compliance with the provisions of Article 19 (1). The proposed chair of the Assessment Committee must be satisfied that the proposed members are prepared to sit on the Assessment Committee.
  3. The final composition of the Assessment Committee is decided by the Board of Deans on a written proposal from the dean of the faculty.

- Article 19
1. The Assessment Committee shall consist of at least four and no more than five members, including:
    - a. at least two professors who:
      - i. are attached<sup>2</sup> to a Dutch University (professors with the right to supervise doctoral candidates), or
      - ii. are attached to a foreign university (professors with the right to supervise Doctoral candidates), or
      - iii. are attached to an equivalent foreign institution providing university education, with the right to supervise doctoral candidates in the country of their institution, or

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<sup>2</sup> 'Attached to the University' in the context of these regulations is defined as: a professor of the University within the professor classifications of distinguished professor, key domain professor, personal professor, professor with a specialised remit, affiliate professor, professor of practice or endowed professor; emeritus professor of the University who still has the right to supervise doctoral candidates (see memorandum 'Recruitment, selection and appointment of professors at Maastricht University'), or experts who hold a doctoral degree and have sufficient expertise in the field of the subject of the thesis and who hold an appointment at the University.

iv. are emeritus professors who still have the right to supervise doctoral candidates.

**b.** at least one and no more than two experts who hold a doctoral degree and have sufficient expertise in the field of the subject of the thesis.

**2.** Two of the members listed in paragraph (1) (a) and (b) are not attached to the University.

**3.** On the basis of a substantiated proposal by the dean, the Board of Deans may grant exemption from the requirements of (1) and (2).

**4.** Supervisor and co-supervisor may not be appointed as members of the Assessment Committee.

**5.** A co-author of one or more of the articles forming part of the research for which the Doctoral candidate wishes to obtain a doctoral degree may not be a member of the Assessment Committee.

**6.** The doctoral candidate's partner and family members up to and including second degree of kinship may not be a member of the Assessment Committee.

Article 20 **1.** Within four weeks of receipt of the thesis the members of the Assessment Committee shall give the chair of that committee a reasoned opinion on the question of whether the doctoral candidate has provided, by means of the thesis, such evidence of his competence to carry out independent academic work, that the thesis can be accepted as a doctoral thesis and that he can be admitted to the degree ceremony.

If the thesis was subject to points of criticism in the Assessment Committee, which are such that it is possible for the thesis to be improved within four weeks, then the committee may decide to extend the deadline for the decision on approval by four weeks. In that case the chair of the committee shall consult with the supervisor.

**2.** If a thesis has been previously rejected as a doctoral thesis by the Assessment Committee, the composition of the committee for assessing a revised version of that thesis may not be different from that for the original assessment.

**3.** The decision to admit the doctoral candidate to the degree ceremony, whether or not subject to the provisions of paragraph (1), second sentence, is taken if a majority of the committee, with no more than one vote against, approves the thesis as a doctoral thesis. The decision on admission shall be taken immediately after the deadline of four or eight weeks stated in paragraph (1).

**4.** The committee does not include any recommendations in its decision on admission regarding changes or additions to the thesis and does not attach any conditions to that effect to its decision.

**5.** The committee chair shall inform the (principal) supervisor in writing of the committee's decision to admit the candidate or to refuse admission to defend the thesis, and the (principal) supervisor shall immediately inform the doctoral candidate and the Board of Deans in writing.

**6.** After receipt of the decision on admission to defend the thesis, the doctoral candidate shall consult the supervisor and the Office of Academic Ceremonies regarding the date of the degree ceremony.

The doctoral candidate then proposes a date to the Rector in the form of a draft of the title page of the thesis and the reverse thereof.

**7.** The Rector shall set the place, date and time of the degree ceremony and, by way of approval, initials the draft of the title page.

Article 21 **1.** On the basis of the responses received from the members of the Assessment Committee, as referred to in Article 20 (1), the chair may propose to the members of the committee that the distinction "cum laude" be assigned to the degree of Doctor in due course.

**2.** The decision on a proposal as referred to in Article 21 (1) shall be taken by the Assessment Committee by a unanimous vote. If the supervisor (after consulting any co-supervisor) agrees with that, the chair of the Assessment Committee shall contact the



Rector within two weeks of the committee's decision on admission to the degree ceremony in order to ensure that the Rector, in consultation with the dean of the faculty, consults two independent external experts in the relevant academic field regarding award of the distinction "cum laude".

A unanimous positive opinion from these two experts is required for award of the distinction "cum laude".

**3.** To be eligible for the distinction 'cum laude', a thesis must be of exceptional quality, for which at least the following criteria are relevant:

**a.** the thesis formulates clear theoretical and normative basic principles;

**b.** to this end, the thesis contains a thorough and exhaustive analysis of a particular scientific problem;

**c.** the thesis places that analysis (and thereby the problem) in a wider theoretical context;

**d.** the thesis demonstrates that the doctoral candidate is able to step outside the boundaries of his own academic field and go beyond its accepted assumptions;

**e.** the thesis must make a substantial contribution to the academic debate leading to new points of view or insights, and,

**f.** the thesis must be readable and accessible.

**4.** If the experts consulted also make a positive recommendation concerning award of the distinction 'cum laude', the Rector shall ensure that the members of the Defence Committee are informed of this proposal and the recommendation before the start of the degree ceremony.

**5.** The distinction shall be awarded if, after defence of the thesis, the Defence Committee decides unanimously on the proposal by a secret written vote, after the decision to award the doctoral degree has been taken.

## CHAPTER 6

### THE DOCTORAL THESIS

- Article 22
1. The doctoral thesis comprises either an academic treatise on a specific subject or a number of separate academic papers, all or some of which have already been published in the form of articles and which demonstrate sufficient coherence.
  2. An article that has been written by several persons may be accepted as part of the thesis if, according to the written declaration by the supervisor, the doctoral candidate made an essential contribution to it.
  3. If the thesis consists of a number of separate academic papers, the doctoral candidate shall add an introduction or a conclusion to it, in which he explains the relationship between the papers.
  4. A summary shall be added to the thesis in the language as specified in Article 23 (2) or (3).
  5. A valorisation addendum shall be attached to the thesis. For the content of this addendum, refer to the explanatory notes in annex 4.
  6. A minimum of eight and a maximum of eleven propositions shall be added to the thesis. Four propositions must be related to the subject of the thesis. Three positions must be related to the doctoral candidate's discipline, with the exception of the subject of the thesis. One proposition must be related to the valorisation opportunities of the subject of the thesis. Any other propositions do not have to be related to the subject of the thesis or to the doctoral candidate's discipline. The supervisor must approve the propositions.
- Article 23
1. The thesis and the propositions shall be written in Dutch or English or – with the approval of the Board of Deans – in another language.

- 2.** If the thesis is written in Dutch, a translation of the title and a summary of the contents in English shall be attached.
- 3.** If the thesis is written in English, the title and the summary of the contents in Dutch may be attached.
- 4.** If the thesis is written in a language other than Dutch or English, the title and a summary of the contents in Dutch or English shall be attached in all cases.

- Article 24
- 1.** The thesis shall contain:
    - a.** a title page in accordance with Chapter 12 Examples 8a and 8b of the model attached to these regulations, bearing the surname and forenames of the doctoral candidate;
    - b.** a table of contents;
    - c.** the necessary indexes. If, with the consent of the supervisor, a subject index is not included, the thesis must contain a detailed table of contents;
    - d.** an introduction, indicating the position of the research compared to other related research in a national or international context;
    - e.** the academic treatise;
    - f.** a general discussion which includes a reasoned representation of the doctoral candidate's point of view in relation to the main topic, or the most important topics of his thesis.
  - 2.** The reverse of the title page shall state only:
    - a.** the supervisor(s);
    - b.** the co-supervisor(s), if any;
    - c.** the members of the Assessment Committee;
    - d.** the bodies which have contributed financially to completion of the thesis.
  - 3.** Only after approval by the Board of Deans, additions may be made to the thesis, which fall outside the specifications of the academic treatise in a strict sense. Additions of a commercial nature are not permitted.

- Article 25
- The thesis shall contain a brief curriculum vitae of the doctoral candidate, stating:
- a.** his date and place of birth;

- b.** the period in which he received pre-university or comparable education;
- c.** the period and the nature of the education in preparation for obtaining the degree certificate, referred to in Article 2;
- d.** any qualifications with respect to the diplomas obtained;
- e.** data concerning professional practice after completion of the studies referred to in c;
- f.** the name of any institution (or comparable establishment) where the research was undertaken;
- g.** other relevant reports (such as evidence from academic appraisals).

- Article 26
1. The thesis shall be printed or, unless precluded by the nature of the thesis, duplicated in some other way.
  2. In the case of a joint thesis, as referred to in Article 7, the provisions of Articles 24 and 25 shall apply equally to each of the doctoral candidates.

- Article 27
1. The doctoral candidate shall send a digital version of the thesis with the propositions to the University Library. The doctoral candidate shall provide the following files:
    - a.** the thesis (PDF)
    - b.** the propositions (PDF)
    - c.** the summary (PDF)
    - d.** the cover (JPG).
  2. The supervisor shall decide whether an embargo on (parts of) the thesis is necessary.
  3. The doctoral candidate shall submit 10 copies of the thesis, together with the propositions, to the Office of Academic Ceremonies no later than three weeks before the date of the degree ceremony. This provision shall expire with effect from 1 January 2019, and from that date the doctoral candidate must submit 6 copies of the thesis, together with the propositions, to the Office of Academic Ceremonies no later than three weeks before the date of the degree ceremony.
- If the thesis has not been printed, the doctoral candidate shall

also submit a number of copies of the thesis with the propositions in a suitable printed form to the Office of Academic Ceremonies for the purpose of the public hearing referred to in Article 29 (1).

The doctoral candidate will then receive a form for applying for reimbursement for the copies of the thesis made available to the University<sup>3</sup>.

**4.** The doctoral candidate shall ensure that the thesis and propositions are sent to the members of the Defence Committee on time.

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<sup>3</sup> The reimbursement for the copies of the thesis made available to the University is € 0.36 per printed page.

## CHAPTER 7

# THE DEFENCE COMMITTEE AND THE DEGREE CEREMONY

- Article 28
- 1.** The degree ceremony shall take place before the Defence Committee, which is composed by the supervisor.
  - 2.** The Defence Committee comprises in principle:
    - a.** the members of the Assessment Committee, as referred to in Article 19 (1);
    - b.** the supervisor and any co-supervisor;
    - c.** Possibly one or more other professors and holders of a doctoral degree, appointed as members of the Defence Committee on the recommendation of the supervisor. Persons who do not hold a doctoral degree but who have recognised expertise in the field of the subject of the thesis may be members of the Defence Committee, with special permission of the dean and the Rector.
    - d.** the members referred to under (a), (b) and (c) shall take part in the deliberations referred to in Article 31 (3).
  - 3.** The supervisor shall ensure that at least half of the participants in the deliberations referred to in Article 31 (3) are attached to the University and that at least half of the participants are professors.
  - 4.** On the basis of a substantiated proposal by the dean, the Board of Deans may grant exemption from the requirements of paragraph (3).
  - 5.** If (one of the) members of the Defence Committee who are also members of the Assessment Committee are unable to attend, the supervisor shall arrange for a replacement. The Office of Academic Ceremonies must be informed in writing of the inability to attend the degree ceremony.
  - 6.** The doctoral candidate's partner and family members up to and including second degree of kinship may not form part of the Defence Committee.

**7.** The Rector chairs the Defence Committee. He may be replaced by one of his predecessors, a dean, a former dean, a professor attached to the University or an emeritus professor attached to the University. The chair is not a member of the Defence Committee.

**8.** A member of the Defence Committee, attached to the University, shall be appointed as secretary of the Defence Committee on a proposal by the chair.

**Article 29** **1.** All members of the Defence Committee, with the exception of the supervisor and co-supervisor, shall be entitled to oppose the thesis.

The supervisor shall ensure that at least five members of the Defence Committee state that they are prepared to oppose.

**2.** Before the start of the Degree ceremony, in a closed meeting of the Defence Committee, the chair shall lay down the order and overall duration for opposition (a proposal for the order of opposition shall be drawn up by the supervisor and must be communicated to the Office of Academic Ceremonies no later than two weeks before the date of the ceremony).

**3.** In the cases referred to in Article 7, the defence shall be presented separately by each candidate, where possible on the same day at successive times.

**Article 30** **1.** The degree ceremony shall take place during a public session, in principle in the auditorium of the University.

**2.** The language used during the degree ceremony is Dutch or English. Opposition and defence may be conducted in a different language only exceptionally and with the permission of the Rector.

**3.** For the purposes of the degree ceremony, further detailed rules shall be laid down in a separate protocol regarding clothing and order of the procession of members of the Defence Committee and other opposing speakers, the doctoral candidate and his assistants, the forms of address to be used for them and also further guidelines for formulations pursuant to Article 33.

- Article 31
1. After the opening address, the chair asks the doctoral candidate to give a summary of the thesis (if necessary, using audio-visual aids) lasting 10 to 15 minutes. The chair then gives the floor to the opposing speakers and, after each opponent, to the doctoral candidate to answer the opposing argument.
  2. The chair shall arrange the sequence of speakers so that the candidate has the opportunity to answer after each opposing speaker.
  3. In principle, the session shall be suspended approximately one hour after it began. The beadle announces with the words 'Hora est' that the time for opposition and defence has expired. The Defence Committee then withdraws for private deliberation.

- Article 32
1. In the deliberations referred to in Article 31 (3) the members of the Defence Committee give their judgment on the research on which the degree ceremony is based, the thesis and the defence. If the judgment on the three aspects listed in the preceding sentence is not unanimous, the verdict on the research and the thesis must be deemed to be the most important.
  2. After the supervisor and, where applicable, the co-supervisor have expressed their opinion, the committee shall decide whether to award the degree of Doctor.
  3. If any member of the Defence Committee requires such, a vote by roll call shall be taken on the decision. Each member of the committee, with the exception of the supervisor and co-supervisor, has one vote.  
If the vote is tied, the degree of Doctor shall be awarded.
  4. If the degree of Doctor is awarded, all members of the Defence Committee shall sign the certificate.  
The distinction referred to in Article 21 shall be recorded on the certificate.

- Article 33
1. After conclusion of the internal deliberations, the chair shall re-open the session of the Defence Committee and announce its decision.
  2. If the degree of Doctor is awarded, the supervisor, by order of the chair, shall confer the honour awarded on the doctoral



candidate and hand him the certificate, as referred to in Article 32 (4).

If the distinction 'cum laude' is attached to the degree of Doctor, the supervisor shall announce this.

**3.** Thereafter, the supervisor or, with the permission of the chair of the Defence Committee, the co-supervisor gives a judgment on the thesis and, if required, on the academic qualities of the person awarded the doctorate.

He may add a few brief personal remarks on the honour at this point.

## CHAPTER 8

### JOINT AND DOUBLE DOCTORAL DEGREES

- Article 34
- 1.** The University may supervise a doctoral candidate jointly with one (or more) Dutch or foreign university(-ies) and jointly award a degree for this and may confer a joint doctoral diploma based on a joint degree ceremony (joint doctoral degree). In addition, the University may supervise a doctoral candidate jointly with one (or more) Dutch or foreign university(-ies), where each university awards a degree separately and each university confers a doctoral diploma (double doctoral degree).
  - 2.** A collaboration as referred to in (1) may take place provided that the following conditions are fulfilled:
    - a.** the doctoral candidate is admissible to the degree ceremony as referred to in Article 2;
    - b.** a cooperation agreement will be concluded between the cooperating universities, which is submitted to the Rector for approval. If it is agreed that the degree ceremony will take place at the foreign university, the Board of Deans shall assess the quality requirements imposed by the foreign university for the degree ceremony. It is found that these do not meet the quality requirements as applied in the Netherlands, and the University in particular, the agreement shall include supplementary provisions so as to ensure that the conditions for the degree ceremony laid down in these regulations are fulfilled;
    - c.** a request to draw up a cooperation agreement shall in principle be submitted in the first two years of the doctoral track;
    - d.** the aim will be to achieve substantial input from each university;
    - e.** in derogation from Article 8 (1), the number of supervisors and co-supervisors jointly shall not exceed four per degree ceremony. A request to derogate from this, stating the reasons, must be submitted to the dean by the supervisor;

- f.** if a professor at a foreign university is appointed supervisor, a professor at the University shall be appointed principal or co-supervisor in addition. If the supervisor appointed from the University is the co-supervisor, he must carry out all tasks allocated to the principal supervisor in the Regulations for obtaining the doctoral degrees as if he were the principal supervisor;
- g.** in derogation from Article 19 (1), (2) and (3), the Assessment Committee must comprise at least four and no more than six members. The Assessment Committee shall be made up of at least one member from each of the cooperating universities and two members who are not attached to either of the cooperating universities.
- h.** all members of the Assessment Committee and the Defence Committee who are attached to the cooperating Dutch or foreign university are deemed to be attached to the University in the context of Article 28 (3).
- i.** on the basis of a substantiated proposal by the dean, the Board of Deans may grant exemption from the requirements of paragraph (2)(g).
- j.** in the case of a collaboration with a foreign university, the Degree ceremony and conferral of the doctoral diploma shall take place at the university designated for this purpose in the cooperation agreement, but preferably at the University;
- k.** in the case of collaboration with a foreign university, the degree ceremony shall be held in accordance with the provisions of these Regulations for obtaining the doctoral degree if the degree ceremony is held at the University;
- l.** in the case of a double doctoral degree, the first degree ceremony shall be held at the University;
- m.** the name of the foreign university shall also be stated on the title page of the thesis to be approved by the Rector.

## CHAPTER 9

### THE DEGREE OF DOCTOR HONORIS CAUSA

- Article 35 The degree of Doctor honoris causa can be awarded to:
- a.** anyone who has undertaken research which has been shown to be of exceptional importance for academic practice at the University or for science in general. A recommendation for such an honorary doctorate may only be made by a faculty board;
  - b.** anyone who, directly or indirectly, has made an exceptional contribution to university education and research in scientific, cultural or social terms. A recommendation for such an honorary doctorate may only be made by the Executive Board.
- Article 36
- 1.** If the Board of Deans proposes adopting a recommendation by a faculty board of the University to award the degree of Doctor honoris causa, the Board of Deans shall consult the Executive Board regarding the recommendation. The Board of Deans shall then submit the recommendation to the University Council in confidence.
  - 2.** The Board of Deans shall take a decision on award of the degree of Doctor honoris causa after receiving the report concerning the points of view put forward by the University Council.
- Article 37
- 1.** If the Board of Deans decides to award a degree of Doctor honoris causa, it shall at the same time designate one or more professors of the University as supervisor.
  - 2.** The doctoral candidate, the supervisor and the council of the faculty concerned shall be informed of the decision in confidence.
  - 3.** The decision is not made public until after the doctoral candidate has stated that he will accept the degree of Doctor honoris causa.

- Article 38
1. The degree of Doctor honoris causa shall be awarded at a public, special session of the Board of Deans, preferably during celebration of the *dies natalis* of the University.
  2. By order of the Rector, the supervisor shall invest the doctoral candidate with the honour awarded, expressing words of praise and appreciation.
  3. As a mark of the honour awarded, the Doctor honoris causa receives a hood and a certificate signed by the Rector, the dean of the faculty concerned and the supervisor.

## CHAPTER 10

### DISPUTE SETTLEMENT

- Article 39
- 1.** The dean shall act as intermediary at the request of either party:
    - a.** if a dispute arises during preparation of the thesis between the supervisor and co-supervisor, the supervisor and doctoral candidate or the co-supervisor and the doctoral candidate;
    - b.** if a dispute about approval of the thesis arises between the supervisors, between the supervisor and co-supervisor or between the (co-)supervisor and the doctoral candidate;
    - c.** if the Assessment Committee decides not to permit defence of the thesis.
  - 2.** If the dean is a member of the Assessment Committee, the Board of Deans shall appoint a professor as intermediary.
  - 3.** In each case, the intermediary shall hear the parties to the dispute in order to reach an amicable solution. He shall set out his findings and reasoned conclusions in a report, which he discusses with the parties. He shall inform the parties and the Board of Deans of the report and the written summary of those discussions.
  - 4.** In the case of a dispute involving the doctoral candidate, he shall be informed that the University has confidential advisers, to whom an appeal can be made.

- Article 40
- 1.** If the mediation provided does not lead to agreement within four weeks, either or both parties may approach the Board of Deans in writing, requesting that the dispute be settled.
  - 2.** Within four weeks of receipt of the communication referred to in (1) the Board of Deans shall set up an advisory committee, which shall provide advice regarding the dispute referred to it. The committee shall consist of three professors who have not been involved in preparation of the thesis.

- 3.** The committee referred to in (2) shall hear all parties concerned in each case and has the authority to consult experts. It shall draw up a written report of these activities.
- 4.** Within eight weeks of being established, the committee referred to in (2) shall present its recommendation to the Board of Deans in the form of a reasoned draft decision, attaching the report referred to in (3).
- 5.** The Board of Deans shall settle the dispute within four weeks of receipt of the recommendation referred to in (4). All parties concerned shall be informed immediately of the decision of the Board of Deans. If the decision is different from the recommendation referred to in (4), that recommendation, with a statement of the reasons for departing from it, shall be made available to the parties concerned and also to the committee referred to in (2).

## CHAPTER 11

### FINAL AND TRANSITIONAL PROVISIONS

- Article 41
1. In cases not provided for in these regulations or in the event of a difference of opinion regarding interpretation of any section of these regulations, the decision shall be taken by the Board of Deans.
  2. In special cases, the Board of Deans may, on a proposal by the Rector, depart from the provisions of these regulations.
- Article 42
1. An interested party may lodge an objection against decisions taken by or on behalf of the Board of Deans with the Board of Deans within six weeks of notification of the decision, in accordance with the General Administrative Law Act.
  2. If disputes arise in connection with the (preparations for the) degree ceremony, which do not come within the scope of existing regulations in the University, the disputes procedure as set out in Chapter 10 of these Regulations shall be applicable.
- Article 43
1. The Board of Deans may authorise the Rector to exercise its powers, including in each case those set out in Articles 8, 13, 14, 18, 23 (1), 24 (3), 28 (2) and 29 (2), but with the exception of those laid down in Article 42 (1). The Rector is authorised to appoint one or more persons who will exercise an assigned power on his behalf.
  2. The Rector may transfer exercise of his powers laid down in Articles 20 (7) and 38 to one or more persons to be appointed by him/her.
- Article 44
1. These regulations shall come into force on 1 September 2018.
  2. Anyone who, on or before 31 August 2002, fulfils the condition laid down in Article 7.18 (2)(a) of the Act, in the wording of that provision on 31 August 2002, is deemed to be equivalent to



a person who fulfils the condition laid down in Article 2 (1) (a) of these regulations.

**3.** Anyone who is registered for a course as referred to in Article 18.15 of the Act and who fulfils the condition laid down in Article 7.18 (2)(a) of the Act, in the wording of that provision on 31 August 2002, is deemed to be equivalent to a person who fulfils the condition laid down in Article 2 (1) (a) of these regulations.

Article 45 In the event of inconsistency or incompatibility between the Dutch and the English versions of these regulations, the Dutch text shall prevail.

## ANNEX 1

### Texts as used during the degree ceremony

#### Rector or Chair:

*'The session has been opened'.*

*'Dear 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:

*'Sir/Madam, the opportunity to defend your thesis is over. The committee will retire for deliberations. I invite you and your company to await the results of these deliberations in this room'.*



#### After the committee has returned:

*'The session is continued.'*

*Dear candidate, this committee, appointed 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 appropriate manner'*

or

*'Dear candidate, the committee present here, having examined the quality of your thesis and the way in which you have defended it, having approved of both, and considering the results of previous examinations taken by you, has decided to grant you the degree of Doctor.*

*I call upon the supervisor'.*

**Supervisor:**

*'By virtue of the authority vested in us by the law, in accordance with the decision of the Defence Committee present today, I hereby grant you, . . . . .  
. . . . . (forename and surname of the candidate) the degree of Doctor with all the 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 Defence 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 with the honour that you have acquired.  
I hereby declare this ceremony to be ended'.*

## ANNEX 2

### Instructions for doctoral candidates

#### 1. **At the start of the doctoral research**

Where applicable – see Article 2 of the Regulations for obtaining the doctoral degree – admission to the degree ceremony shall be requested by means of sample letter 1.

The doctoral candidate should submit a request to the Office of Academic Ceremonies for admission to the degree ceremony and appointment of the supervisor and co-supervisor.

#### 2. **The date of the ceremony**

After approval of the thesis by the Assessment Committee, which must be given no later than 10 weeks before the proposed date of the ceremony, this date can be provisionally fixed with the Office of Academic Ceremonies. In doing so, take a number of conditions into account.

The session may take place on the following days: Wednesday, Thursday and Friday, at 10.00, 12.00, 14.00 and 16.00 hours.

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

The date and time are fixed definitively by the Rector initialling the draft title page. The doctoral candidate shall email the first two pages to the Office of Academic Ceremonies. 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 Chapter 6 and Chapter 11 of these regulations. For approval of the title page by the Rector, the doctoral candidate must send a copy (preferably printer's proof or master print) to the secretariat of the Office of Academic Ceremonies at least three months before the 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 publishes the thesis himself, he must contact the printer or the ISBN Bureau in Culemborg for the ISBN number to be allocated.

### **4. Reverse of the title page (see example 8)**

This shows only the names of

- the (co-)supervisor(s) and the name of the institution where they are employed,
- the Assessment Committee, and
- any bodies which have provided financial support for the research and/or the degree ceremony. One of the copies sent must be signed by the supervisor.

### **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 25 (3) of these regulations). 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 a statement concerning reception.

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 Office of Academic Ceremonies with 10 copies of the thesis, with the propositions inserted, at least three weeks for the date of the ceremony. This regulation expires with effect from 1 January 2019, and from that date the doctoral candidate must supply the Office of Academic Ceremonies with 6 copies of the thesis, with the propositions inserted, at least three weeks for the date of the ceremony.

**8. Reimbursement of printing costs and grant**

See the form 'Allowance Degree ceremonyDegree ceremony'.

**9. Other forms of duplication**

Unless otherwise stated above, other forms of duplication accepted by the Board of Deans are deemed equivalent to printing for application of the above.

**10. Preliminary discussion prior to the degree 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 all matters relating to the degree ceremony.

**11. Public nature, admission and reservation of seats**

The degree ceremony takes place during a public session, in principle in the auditorium of the University. There are seats for 240 persons. The chair of the Defence Committee 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. The degree ceremony is recorded on Mediasite and the doctoral 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. Clothing**

It would be appreciated if clothing is in accordance with the importance that the University attaches to the degree ceremony.

**14. Publicity**

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, doctoral candidate's name and title of the thesis, the calendar also includes a brief outline of the thesis. A few weeks before the degree ceremony, the doctoral candidate is asked to provide a description of the doctoral research in a maximum of 100 words. The summary 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 doctoral candidate.

15.

**Radio and television**

Recordings for radio or television may be made with the written consent of the Rector. Likewise with his consent, sound-recording equipment may be installed in the auditorium 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 degree ceremony. The degrees of Doctor and Doctor of Philosophy are equivalent.

**2.** Admission to the 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 Regulations for obtaining the doctoral degree referred to in Article 7.19.

**3.** In special cases, the doctoral degree board may grant admission to the 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 degree ceremony. The person appointed as supervisor may be a professor or, in so far as he 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 degree ceremony shall take place before that board or a committee to be constituted by the board from pro-

fessors and other persons deemed to have sufficient competence to sit on the committee, in compliance with the Regulations for obtaining the doctoral degree 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 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 Regulations for obtaining the doctoral degree.

Article 7.19 **Regulations for obtaining the doctoral degree; honorary doctorate**

**1.** The doctoral degree board shall adopt the Regulations for obtaining the doctoral degree 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 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 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 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 own name, as referred to in (1), or using the title, as referred to in (2).

Article 9.10 **Doctoral degree board**

1. A doctoral degree board shall be attached to a university. The members of the doctoral degree board shall be professors.
2. The doctoral degree board shall consult the executive board regarding award of the degree referred to in Article 7.19 (2).
3. The administration and management regulations shall lay down the details concerning the tasks, composition and appointment procedure for the doctoral degree board.

Article 9.19 **Responsibilities and rights of professors**

1. Professors form part of the staff of the university in all cases. The appointment decision shall state the academic field in which the professor will undertake his teaching and research tasks.
2. Professors are particularly responsible for development of the academic field assigned to them and for the content of the education to be provided in that field, without prejudice to the authority of the board for the study programme referred to in Article 9.17.
3. Honourably discharged professors shall retain the right to act as supervisor for five years after their discharge.
4. Professors shall be entitled to use the title professor. Former professors who have been granted honourable discharge as professor for health reasons, on grounds of voluntary early retirement or upon or after reaching the effective age limit for public service are also entitled to use this title.

Article 18.37 **Admission to the degree ceremony for holders of an “old style” diploma**

Persons who, on or before 31 August 2002, complied with the condition laid down in Article 7.18 (2)(a), in the wording of the provision on 31 August 2002, shall be deemed equivalent to persons who comply with the condition laid down in Article 7.18 (2)(a).

## ANNEX 4

### Explanatory Notes to the Regulations for obtaining the doctoral degree

Article 1 (1) The document ‘Recruitment, selection and appointment of professors at Maastricht University’<sup>4</sup> includes an overview of the categories of professors. This document is applicable, *inter alia*, to questions relating to the authorities of a professor, including exercising the right to supervise doctoral candidates (*ius promovendi*).

Article 2 For doctoral candidates who received their education abroad, the study programme is also assessed by the Board of Deans, which asks the NUFFIC for an opinion on this, if necessary. If such a candidate asks to be supervised during the doctoral research, it is advisable for his study programme to be assessed at an early stage.

The secretariat of the Office of Academic Ceremonies shall consider such requests only if there is a supervisor prepared to take on the supervision of such doctoral research, provided that the candidate can be admitted.

Article 8 If two supervisors are designated for a degree ceremony, a distinction shall be made between the principal and the second supervisor. The principal supervisor shall have been responsible for the main part of the supervision and is responsible for the correct conduct of the procedure concerning the degree ceremony. The principal supervisor is ultimately responsible and is named as first in the thesis.

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<sup>4</sup> Established on 23 June 2017.

The following procedure shall apply with respect to assigning the right to supervise doctoral candidates to a member of the University staff who holds the degree of Doctor or Doctor of Philosophy and is not a professor: the holder of the Doctor or Doctor of Philosophy degree who is not a professor submits a reasoned request to the dean prior to or at the start of each doctoral track for which he wishes to act as supervisor. The dean may consult a professor in the relevant discipline. In the case of a positive opinion, the dean makes a recommendation to the Board of Deans. The Board of Deans decides on whether to assign the right to supervise doctoral candidates and the duration of it.

Articles 4, 8, 16, 19, 28 The doctoral candidate's partner and/or first-degree and second-degree relatives by blood or marriage may not be appointed supervisor, co-supervisor, member of the Assessment Committee or member of the Defence Committee. If the co-supervisor and supervisor are married or have a registered partnership, a cohabitation contract or other long-term partnership, a third (co-) supervisor shall be appointed.

Article 20 The members of the Assessment Committee may approve or reject a thesis or state that they would like to see minor changes made to it; the chair of the Assessment Committee shall inform the supervisor of the desired changes. If such changes are required, the thesis is not approved until after the Assessment Committee has approved the changes made. The members of the Assessment Committee are not permitted to withhold an evaluation of a thesis.

Article 21 When assessing the thesis, the chair of the Assessment Committee must explicitly consider in the evaluation whether a proposal should be made to award the thesis the distinction 'cum laude'. If he deems this to be the case, or if such a request is made by other members of the committee, he must submit that request to the other members of the Assessment Committee.

Article 22 In the case of a proposal to award the designation ‘cum laude’ with respect to an inter-faculty degree ceremony, the deans of the faculties in question shall be informed of this by the Rector.

The doctoral candidate must add a valorisation addendum of approximately 5 pages to the thesis. In the case of a joint degree ceremony as referred to in Article 7, a single valorisation addendum shall be added to the thesis jointly by the two candidates.

While the valorisation addendum is included in the thesis, it is not regarded as part of the thesis and must not be taken into account in the assessment of the thesis by the Assessment Committee and the Defence Committee. Sometimes, the valorisation addendum may be part of the thesis that is assessed. In that case, it is unnecessary to include a separate valorisation addendum.

Knowledge valorisation means “the process of creating value from knowledge, by making knowledge suitable and/or available for social (and/or economic) use and by making it suitable for translation into competing products, services, processes and new activities” (definition taken from the report of the National Valorisation Committee, *Waardevol: Indicatoren voor Valorisatie* [Valuable: Indicators for valorisation] (2011) The Hague: Rathenau Institute, p. 8).

Examples of social (and/or economic) value creation from research results can be very diverse and, furthermore, differ by discipline (interdisciplinary/multidisciplinary). The following examples come to mind: patents, licences, open source tools, software, the opening up of models and systems, co-publications with social and/or economic stakeholders, publications in journals and newspapers, non-academic publications, appearances in the media, contributions to public debates, advice for social organisations or companies, projects for the SME portal, policy advice for governments, training programmes for professionals, public officials, organisations or companies, participation in Top



Institutes, in United Brains Limburg, collaboration in BioPartner, the Chemelot Campus, the Maastricht Health Campus, Campus Greenport Venlo, the Smart Services Campus, spin-offs and start-up companies, assembly of special collections, putting together exhibitions and/or catalogues, participation in administrative bodies, etc.

Five questions are provided which can be used as a guide for completing this addendum:

1. (Relevance) What is the social (and/or economic) relevance of your research results (i.e. in addition to the scientific relevance)?
2. (Target groups) For whom, outside academic circles, are your research results of interest and why?
3. (Activities/products) In which actual products, services, processes, activities or commercial activities will your research results be applied and given shape?
4. (Innovation) To what extent can they be called innovative compared to the existing range of products, services, processes, activities and commercial activities?
5. (Planning & Implementation) How will this (these) valorisation plan(s) be implemented? What is the schedule, what are the possible risks, what are the market opportunities and what are the costs?

If valorisation is already addressed in the thesis itself, this can be referred to in the valorisation addendum. Reference is also given to the website

<https://www.maastrichtuniversity.nl/research/phds> which includes a number of links to relevant publications.

Article 30 During the degree ceremony, the doctoral candidate and his assistants will be dressed appropriately. The doctors are also asked to adjust their clothing for this ceremony.

Article 31 The intention is that the degree ceremony should not include expressions of thanks or excessive comments of appreciation regarding the thesis. It should be a serious defence of the thesis.

Article 32 The degree of Doctor is equivalent to the degree of Doctor of Philosophy. Any person who is entitled, on the basis of the degree ceremony, to indicate the degree of Doctor in his 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 own name and using the title.