

Regulation governing the attainment of doctoral degrees

Maastricht University 2018

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CHAPTER 1

GENERAL PROVISIONS

Article 1

The terminology used in this regulation shall be interpreted as follows:

- a.** The Act: the Higher Education and Scientific Research Act (abbr. WHW; Law Gazette 1992, 593), which came in to effect on 1 September 1993, amended by the Modernisation of the University Administrative Organisation Act (Law Gazette 1997, 117), which came in to effect on 19 March 1997, by the Act of 6 June 2002 (Law Gazette 2002, 303) in connection with the introduction of the Bachelor/Master structure in Higher Education and by the Governance Reinforcement Act of 4 February 2010 (Law Gazette 2010, 119);
- b.** General Administrative Law (abbr. AWB; Law Gazette 1994, 1), which came in to effect on 1 January 1994;
- c.** The university: Maastricht University;
- d.** Faculty: the faculty of the university to which the topic of the dissertation belongs in terms of subject matter, as stipulated in Article 18, Annex, Paragraph 1, Article 22, Paragraph 1;
- e.** Dean: the dean of the faculty;
- f.** Board of Deans: the board of doctoral degrees, as meant in Article 9.10, Paragraph 1 of the Act;
- g.** Rector: the official meant in Article 9.3, Paragraph 1 of the Act, also chairman of the Board of Deans;
- h.** Academic Sessions Office: the office that organises academic sessions, i.e. PhD ceremonies, inaugurations and farewell lectures.
- i.** Professor: 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 an ecclesiastical university or the Open University, with the right to act as supervisor;
- j.** (Medical) Review Ethics Committee: the Medical Review Ethics Committee (METC) of Maastricht Academic Hospital and the university or the Ethics Review Committee of the Faculty of Health Medicine and Life Sciences (FHML-REC), the Faculty of Psychology and Neurosciences (ERCPN) or the Faculty of Arts and Social Sciences, the Faculty of Humanity and Sciences, the Faculty of Law and the School of Business and Economics (ERCIC);
- k.** Study programme: a Master study as meant in Article 7.3a of the Act, or a post-initial Master study as meant in Article 7.3b of the Act, insofar as the study has been accredited on the basis of the Act;
- l.** Doctoral candidate: the person who has access to the doctoral degree by virtue of Article 7.18, Paragraph 2 or Paragraph 3 of the Act, and who has been admitted as such by the Board of Deans to the preparations for the doctoral degree;
- m.** Supervisor: a professor or non-professor who has obtained the qualification of Doctor or Doctor of Philosophy and the right to act as supervisor appointed as such by the Board of Deans by virtue of Article 7.18, Paragraph 4 of the Act;
- n.** Co-supervisor: a non-professor who holds the qualification of Doctor or Doctor of Philosophy or professor without the right to act as supervisor who has been appointed by the Board of Deans to assist the supervisor in the supervision of the doctoral candidate;
- o.** Assessment Committee: 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 procedure;

- p.** Defence Committee: the committee before whom the doctoral degree ceremony may take place;
 - q.** Dissertation: the academic treatise in the form of a book, article or electronic document or a technological design as meant in Article 7.18, Paragraph 2, Section b of the Act;
 - r.** Doctoral degree ceremony: the public defence of the dissertation on the basis of which the doctoral degree may be obtained;
 - s.** Doctoral degree research: the scientific research that serves as the basis for the dissertation;
 - t.** Joint doctorate degree: a doctoral degree granted jointly by the university with one or more Dutch or foreign universities. Candidates who earn a joint doctorate degree will receive only one diploma from both universities and, as a rule, only one official graduation ceremony shall be held;
 - u.** Double doctorate degree: a degree involving one dissertation completed at two different universities. Candidates with a double doctorate degree receive two diplomas.
2. Where masculine pronouns are used in this regulation, these should be read as feminine in cases where the positions referred to are held by women.

Article 2

- 1.** Persons who may be admitted as candidates to the doctorate must comply with the following:
- a.** having been awarded the degree of Master on the basis of Article 7.10a, Paragraphs 1, 2 or 3 of the Act;
 - b.** having written a dissertation or having created a technological design as proof of his competence to do research independently;
 - c.** having met all other requirements pursuant to or ensuing from the present regulation;
- 2.** In special cases, the Board of Deans of the university, having received a well-reasoned request from the prospective candidate, has the right to admit any person to the examination who does not meet the requirements of Paragraph 1, Section a., but who demonstrates or has demonstrated sufficient knowledge in some other manner. Such a request must be submitted to the Board of Deans, accompanied by a recommendation by a professor of the university. Before the Board of Deans takes a decision, it shall consult the dean of the faculty concerned and obtain further information on the educational qualifications and value of the applicant's diplomas.
- 3.** Anyone who has already obtained a doctoral degree (or an equivalent degree, including a Doctor of Philosophy degree) cannot be admitted to the doctoral degree procedure at the university. The Board of Deans may grant an exemption from this rule, if the person concerned wishes to obtain a doctoral degree on the basis of new research, independent of the previous PhD programme.

Article 3

- 1.** Wherever these regulations speak of supervisor or co-supervisor and where more than one appointment has been made, this shall be read as supervisors or co-supervisors accordingly.
- 2.** If the Rector of the university is appointed as a supervisor or is part of the Assessment Committee, his tasks and competences as chairman of the Defence Committee shall be assumed by a former Rector, dean, former dean, professor or emeritus professor of the university, to be appointed by the Board of Deans.
- 3.** All those present during meetings of the Assessment Committee, during the closed council of the Defence Committee, or during the meetings of the Advisory Committee as meant in Article 40, Paragraph 2, should treat the meeting content as confidential.

CHAPTER 2

THE DOCTORAL CANDIDATE

Article 4

- 1.** At the start of his research project, the doctoral candidate should approach at least two supervisors or one supervisor and a co-supervisor for his research, and request the Board of Deans to decide whether the doctoral candidate meets the admission requirements as referred to in Article 1, Paragraph 2 under a or Article 2, Paragraph 2 of this regulation. Together with this request for admission as referred to in the preceding sentence, the doctoral candidate shall submit a written statement, stating that he is familiar with and will commit to the 2004 Netherlands Code of Conduct for Scientific Practice, Version 2014 (VSNU).
- 2.** At his request, the doctoral candidate shall receive the written consent of the intended supervisor, including the latter's appointment as supervisor. The candidate shall also receive the written consent of the intended co-supervisor. If consent is withheld or given conditionally, this shall be communicated to the doctoral candidate in writing, including the reasons that led to the decision.
- 3.** After consent is granted as referred to in Article 4, Paragraph 2, the doctoral candidate should ask the Board of Deans to appoint the supervisor, submitting the written consent referred to in Article 4, Paragraph 2. Preferably at the same time, the supervisor shall ask the Board of Deans to appoint the co-supervisor, submitting the written consent referred to in the previous paragraph and in Article 15, Paragraphs 1 and 2.
- 4.** The Board of Deans may decide, with sufficient motivation, to revoke the appointment of the supervisor and co-supervisor, irrespective of whether a motivated request to this effect has been made.
- 5.** Within four weeks after receiving a request to that effect, the Board of Deans shall appoint the supervisor and co-supervisor, and inform the doctoral candidate, the supervisor and the co-supervisor of this. If the Board of Deans appoints more than one supervisor, it shall also designate the primary supervisor, as referred to in Article 10, Paragraph 1.
- 6.** The parties concerned have the right to appeal to the Board of Deans against the decision stipulated in Paragraphs 2 and 4.

Article 5

- 1.** The doctoral candidate shall submit a request to the Board of Deans for admission to the doctoral degree ceremony, specifying diplomas gained, as stipulated in Article 2, the topic and title of his dissertation, the person he wishes to be appointed as supervisor and the faculty that, in his view and that of the appointed supervisor, covers the topic of the doctoral research.
- 2.** A request, as meant in Paragraph 1, should also include the following details of the doctoral candidate:
 - a.** surname and first name(s);
 - b.** address;
 - c.** place where and time when the examination was taken on the basis of which the diploma, referred to in Paragraph 1, was obtained.
- 3.** A request, as meant in Paragraph 1, must include a statement that the dissertation is the result of research either done by the doctoral candidate himself or herself, or to which the candidate made an essential contribution, as well as a statement that the research has not

previously been used to obtain a doctoral or equivalent degree, including a Doctor of Philosophy.

4. The request shall be submitted on the appropriate form, also signed by the appointed supervisor.

Article 6

The research upon which the dissertation is based, must meet the following requirements:

a. the doctoral candidate shall have carried out the research independently or shall have made an essential contribution to it;

b. the research shall have been carried out in keeping with the code of conduct applying to professional activities in the relevant academic field as well as the standards in the Memorandum on Academic Integrity of the KNAW, NWO and VSNU¹ and the Netherlands Code of Conduct for Scientific Practice 2004, version 2014;

c. if test subjects were involved in the research, such must have taken place with the explicit consent of the subjects concerned or of their legal representative(s) and, whenever appropriate, with the approval of a (medical) review ethics committee for the research protocol;

d. if experimental animals were involved in the research, such must have taken place in accordance with the regulations and with the approval of the university's Animal Experiments Commission;

e. the research shall have been carried out without any restrictions that conflict with the "academic freedom" as referred to in Article 1.6 of the Act being imposed on the research or the freedom of publication of data or research results. This also applies if the research or part thereof was funded by a third party.

Article 7

1. Joint research may serve as the basis for a joint dissertation for a maximum of two candidates, provided that the following conditions shall have been met:

a. each of the doctoral candidates shall have made a separate, clearly demarcated and sufficient contribution to the research, which is adequate for the purposes of a doctoral dissertation and to the satisfaction of the supervisor;

b. each of the doctoral candidates shall be specified as the author of a particular part of the dissertation, leaving intact the joint responsibility of the candidates for the internal coherence;

c. the dissertation should state the individual share that each of the candidates had in its creation;

d. each of the doctoral candidates should add the required number of propositions as meant in Article 22, Paragraph 6 to the dissertation;

2. In the case of a joint dissertation as meant in the previous paragraph, the procedures and rules of the present regulations apply to each doctoral candidate separately.

¹ Memorandum on Academic Integrity, *On the 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. Upon receipt of the request from the doctoral candidate, as meant in Article 4, the Board of Deans shall appoint at least one professor as supervisor, with due observance of Article 9.19, Paragraph 3 of the Act. The doctoral candidate must have at least two supervisors, either two supervisors or one supervisor and a co-supervisor. The supervisor shall submit a substantiated request for a deviation from this procedure to the dean.

Unless stated otherwise, the term “supervisor” in this document refers to the primary supervisor. The supervisor shall be actively involved in supervising the research and the writing of the dissertation.

2. Eligible candidates for the position of supervisor include a professor or, provided that he has obtained the qualification of Doctor or Doctor of Philosophy, another staff member of a university, an ecclesiastical university or the Open University to whom the right to act as supervisor is assigned by the Board of Deans.

3. If a professor who has been appointed as supervisor is honourably discharged or becomes a professor emeritus, the PhD defence must take place within five years after discharge.

4. If the PhD defence has not taken place within five years after honourable discharge of the supervisor, the appointment shall be terminated and the Board of Deans, having consulted the doctoral candidate, shall appoint a new supervisor, unless - in the case of more than one supervisor having been appointed - it considers the appointment of a new supervisor unnecessary.

Article 9

If the research on which the dissertation is based takes place under the supervision of a particular professor, the latter shall as a rule be appointed as supervisor.

Article 10

1. The primary supervisor is ultimately responsible for the supervision of the doctoral candidate during the writing of the latter’s dissertation.

2. The supervisor supervises the doctoral candidate to the best of his ability in the completion of the dissertation. Supervisors for doctoral candidates who are employed by the University or have a grant will draw up a training and supervision plan together with the doctoral candidate and send a copy of this to the doctoral candidate and the dean no later than twelve weeks after s/he has been appointed supervisor.

3. The supervisor shall judge a dissertation presented to him on the basis of the points stipulated in Article 11.

Article 11

1. The doctoral candidate shall request the supervisor to submit his dissertation for assessment to the Assessment Committee. The supervisor shall not make a decision regarding this request until he has ascertained that the doctoral candidate has met the requirements stipulated in Article 6.

2. In his assessment of the dissertation, the supervisor shall in any event consider the following points:

- a.** the importance of the topic;
 - b.** the importance and clear definition of the problem;
 - c.** the originality of the approach;
 - d.** the quality of scholarship in the organization, analysis and processing of the material;
 - e.** the consistency in the methodology used in the analysis;
 - f.** how the analysis of the material has yielded new insights and new ideas;
 - g.** a critical confrontation between the conclusions of the doctoral candidate and existing theories and views;
 - h.** a creative approach to the field of science dealt with in the dissertation;
 - i.** balance in the structure of the dissertation and clarity of style;
 - j.** self-imposed restriction in the volume of the text.
- 3.** The supervisor shall also assess whether the dissertation meets the requirements set forth in Articles 22 to 25 inclusive.
- 4.** The supervisor shall check the dissertation for plagiarism before it is submitted to the Assessment Committee.

Article 12

- 1.** The supervisor shall decide within two months after receipt of the doctoral candidate's dissertation whether it will be submitted to the Assessment Committee. The decision shall be either to submit the dissertation for assessment or to refuse submission for assessment. The reasons for refusal shall be explained.
- 2.** The supervisor may, if and insofar as the doctoral candidate agrees, postpone his decision.
- 3.** If the deadline referred to in Paragraph 1 is exceeded, the doctoral candidate may ask the Board of Deans to direct the supervisor to submit his decision on the dissertation submitted for assessment by a certain date. The Board of Deans shall take a decision within 30 days after receipt of such a request.
- 4.** The supervisor shall inform the doctoral candidate in writing of his decision on the dissertation submitted for assessment, sending copies of the assessment to any co-supervisor, the Dean and the Board of Deans.
- 5.** The supervisor shall send the dissertation to the members of the Assessment Committee as soon as the Board of Deans has decided on the composition of this committee.

Article 13

- 1.** If the supervisor has refused to submit the dissertation for assessment, the doctoral candidate may request the Board of Deans to appoint another supervisor.
- 2.** The Board of Deans shall take a decision with regard to a request as meant in Paragraph 1, after consulting both the doctoral candidate and the supervisor.

Article 14

- 1.** The appointed supervisor and co-supervisor shall determine by mutual agreement, having consulted the doctoral candidate and in accordance with Article 10, Paragraph 1, on the division of tasks, which may be laid down in writing.
- 2.** The appointed supervisor and co-supervisor shall take a joint decision on the submission of the dissertation for assessment, as meant in Article 12, Paragraph 1. Should they be unable to reach agreement, they shall inform the Board of Deans accordingly. The Board of Deans shall then take a decision, having consulted the supervisor, the 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 and having consulted the doctoral candidate, appoint one or more co-supervisors. The supervisor shall ascertain that the proposed co-supervisor is prepared to accept such an appointment. The number of supervisors and co-supervisors shall not exceed three for each degree procedures, unless the Board of Deans decides otherwise on the basis of a reasoned request from the dean.

2. A request as meant in Paragraph 1 may be made to the Board of Deans at any stage of the supervision, by intervention of the dean, but preferably at the same time as the request referred to in Article 4, Paragraph 3.

3. The co-supervisor has the right to withdraw by means of a reasoned argument in writing to the Board of Deans.

Article 16

Any person who has obtained the qualification of Doctor or Doctor of Philosophy, possesses the necessary expertise in the field of science with which the dissertation is concerned, is not a professor or is a professor without the right to act as supervisor and has actually supervised part of the research may be appointed as a co-supervisor.

Article 17

1. The co-supervisor shall, in consultation with the supervisor, give guidance with regard to the production of the dissertation.

2. The supervisor shall give the co-supervisor time to give his views on the submission of the dissertation for assessment. The co-supervisor shall give his decision in writing. The supervisor shall attach this assessment to his report on the approval to the doctoral candidate, as referred to in Article 12, Paragraph 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 is to be obtained for the appointment of a professor of the university as chairman and also member of the Assessment Committee.
- 2.** The supervisor and the proposed chairman of the Assessment Committee shall jointly make a proposal to the Dean for the appointment of the other members of the Assessment Committee, subject to the provisions of Article 19, Paragraph 1. The proposed chairman of the Assessment Committee shall ascertain that the proposed members are prepared to join the Assessment Committee.
- 3.** Final appointment of the Assessment Committee shall be done by the Board of Deans, on the written proposal of the Dean of the faculty concerned.

Article 19

- 1.** The following may be appointed as members of the Assessment Committee.
 - a.** at least two and up to five professors attached to a Dutch or foreign university, or emeritus professors who are still authorized to supervise doctoral dissertations;
 - b.** at least one and up to two experts who have written dissertations and are sufficiently expert in the area covered by the topic of the dissertation.
- 2.** A professor from an equivalent foreign institute of higher learning may serve as a supervisor at the university if s/he is also qualified as such in the country where the foreign institute is located.
- 3.** The total number of members stipulated in Paragraph 1 under a and b, shall be at least four and no more than five, on the understanding that half or the majority of the Committee shall comprise the professors stipulated in Paragraph 1 under a. Two of the members stipulated in Paragraph 1 under a and b must be from outside the university. In addition, half or the majority of the Committee members must work at the university.
- 4.** Neither a supervisor nor a co-supervisor can be appointed as members of the Assessment Committee.
- 5.** A co-author of one or more of the articles that form part of the research on the basis of which the doctoral candidate wishes to obtain his doctoral degree may not be a member of the Assessment Committee.
- 6.** The partner and immediate or second-degree family members of the doctoral candidate may not be members of the Assessment Committee.

Article 20

- 1.** Within four weeks of receipt of the dissertation, the Assessment Committee shall decide whether the doctoral candidate has demonstrated his ability to carry out independent scholarly work by means of the dissertation, and that the dissertation can be accepted as a doctoral dissertation and that he can be admitted to the doctoral degree ceremony. If the Assessment Committee has points of criticism with regard to the dissertation, which is such that it would be possible to improve the dissertation within a period of four weeks, then the Committee may decide to extend the period of approval by four weeks. In such case the chairman of the Committee shall consult with the supervisor.

- 2.** If the Assessment Committee has rejected an earlier version of the dissertation as a doctoral dissertation, the composition of the Committee for the assessment of the revised version shall be the same as it was for the original assessment.
- 3.** The decision to admit the doctoral candidate to the doctoral degree ceremony shall be taken with or without the application of the provisions of Paragraph 1, second sentence, if the majority of the Committee with no more than one opposing vote accepts the dissertation as a doctoral dissertation. The decision to admit the candidate shall be taken immediately after the period of four, or eight, weeks mentioned in Paragraph 1 has expired.
- 4.** The Committee shall not include any recommendation for changes or additions to the dissertation and shall not make any conditions relating to its decision to admit the doctoral candidate.
- 5.** The decision of the Committee on the admission or rejection of the doctoral candidate to the degree, shall be made in writing by the chairman of the Committee to the (primary) supervisor, who will forthwith inform the candidate and the Board of Deans in writing.
- 6.** Upon receipt of the decision to admit the doctoral candidate to the degree, the doctoral candidate shall decide, in consultation with the supervisor and the Office for Academic Ceremonies, on a date for the ceremony. Subsequently, the doctoral candidate shall propose a date to the Rector in the form of a draft of the dissertation's title page and its reverse side.
- 7.** The Rector of the university shall set the place, the day and the hour of the ceremony and shall initial the draft of the title page by way of approval.

Article 21

- 1.** On the basis of the responses received from the members of the Assessment Committee, as meant in Article 20, Paragraph 1, the chairman may propose to the members of the Assessment Committee that the distinction cum laude be added to the doctoral degree in due course.
- 2.** The decision on a proposal as meant in Article 21, Paragraph 1, shall be taken unanimously by the Assessment Committee. If the supervisor (after consultation with any co-supervisor) also agrees, within two weeks of the Assessment Committee's decision on the admission to the doctoral defence, the Chairman of the Assessment Committee shall contact the Rector of the university to ensure that the Rector, in consultation with the dean of the faculty, consults two independent, external authorities in the field of science concerned with regard to the intention to award the designation cum laude.
In order to award the designation cum laude, these authorities must issue a unanimous positive evaluation.
- 3.** To be eligible for the designation cum laude, a dissertation must be of exceptionally high quality, which shall be decided on the basis of at least the following criteria:
 - a.** the dissertation formulates clear theoretical and normative basic principles;
 - b.** to this end, the dissertation contains a thorough and exhaustive analysis of a particular scientific problem;
 - c.** the dissertation places this analysis (and hence the problem) within a wider theoretical framework;
 - d.** the dissertation shows that the doctoral candidate is able to transcend the boundaries of the field of science concerned and is not bound by its natural assumptions;
 - e.** the dissertation must make a significant contribution to the academic debate, leading to new points of view or insights, and
 - f.** the dissertation must be readable and accessible.

- 4.** If the experts consulted agree that awarding the designation cum laude can be justified, the Rector shall ensure that the members of the Defence Committee are informed of this proposal and advice before the ceremony.
- 5.** The designation will be awarded if the Defence Committee, after the defence of the dissertation, decides unanimously by a secret written vote on the proposal after having taken the decision to grant the doctorate.

CHAPTER 6

THE DISSERTATION

Article 22

- 1.** The dissertation shall comprise either a scholarly treatise on a particular subject or a number of separate scholarly papers, all or some of which have already been published in the form of articles and which demonstrate sufficient mutual coherence.
- 2.** An article written by several authors may be accepted as part of the dissertation if, according to a written statement by the supervisor, the doctoral candidate made an essential contribution to the article.
- 3.** If the dissertation consists of a number of separate scholarly papers, the doctoral candidate shall write an introduction or a conclusion, in which he explains the relationship between the papers.
- 4.** A summary will be added to the dissertation in the language as stipulated in Article 23, paragraphs 2 or 3.
- 5.** An addendum will be added to the dissertation about valorisation. See the notes in Appendix 4 with regard to what this addendum should contain.
- 6.** A minimum of eight and a maximum of eleven propositions shall be appended to the dissertation. Four of these propositions must be related to the topic of the dissertation. Three other propositions must be related to the field of science of the doctoral candidate, but not the topic of the dissertation. One proposition must be related to the valorisation opportunities for the topic of the dissertation. Other propositions need not be related to the topic of the dissertation or the doctoral candidate's field. The supervisor needs to agree with the propositions.

Article 23

- 1.** The dissertation and the propositions shall be written in Dutch or in English, or - with the approval of the Board of Deans - in another language.
- 2.** If the dissertation is written in Dutch, a translation of the title and a summary of the contents in English shall be appended.
- 3.** If the dissertation is written in English, the title and a summary of the contents in Dutch may be appended.
- 4.** If the dissertation is written in a language other than Dutch or English, at least the title and a summary of the contents shall be translated into Dutch or English.

Article 24

- 1.** The dissertation shall comprise:
 - a.** a title page, conforming to Examples 8a and 8b in Chapter 12 of the model appended to the present regulations, stating the surname and first name(s) of the author;
 - b.** a table of contents;
 - c.** the required indices. If the supervisor has agreed that no subject index be included, the dissertation should have a detailed table of contents;
 - d.** an introduction, placing the research in the context of other related research at both national and international level;
 - e.** the scholarly dissertation;

f. a general discussion, which includes a reasoned representation of the doctoral candidate's point of view in respect of the main topic, or the most important topics of his dissertation.

2. The reverse of the title page shall only include the following details:

a. the name of the supervisor(s);

b. the names of any co-supervisor(s);

c. the names of the members of the Assessment Committee;

d. the names of organizations that made a financial contribution to the completion of the dissertation.

3. Only after permission from the Board of Deans can additions be made to the dissertation that lie outside the framework of scholarly dissertations in the strictest sense. Additions of a commercial nature are not permitted.

Article 25

The dissertation shall include a brief curriculum vitae of the doctoral candidate, including the following:

a. his date and place of birth;

b. the period in which he completed pre-university or similar education;

c. the period and the nature of the training received for the diploma, as referred to in Article 2;

d. any comments made on the diplomas awarded;

e. data in respect of any professional practice after completion of the training, referred to under c;

f. the name of any institution (or comparable organization) in which research was carried out;

g. other relevant information (such as academic awards for work carried out).

Article 26

1. The dissertation shall be printed, or if the nature of the dissertation does not prevent it, copied in some other way.

2. In the case of a joint dissertation, as meant 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 submit a digital version of the dissertation with the propositions to the University Library. This includes the following files:

a. the dissertation (PDF)

b. the propositions (PDF)

c. the summary (PDF)

d. the cover page (JPG).

2. The supervisor decides whether an embargo shall apply to (components of) the dissertation.

3. No later than three weeks before the date of the doctoral degree ceremony, the doctoral candidate shall submit ten copies of the dissertation with the propositions to the BAZ.

If the dissertation has not been printed, the doctoral candidate shall also submit a number of copies of the dissertation with the propositions to the BAZ in a suitable, printed form to be used during the public session as meant in Article 29, Paragraph 1.

The doctoral candidate then receives a form that can be used to apply for a reimbursement, the amount of which shall be determined by the Board of Deans, as recompense for the copies placed at the disposal of the university.²

4. The doctoral candidate shall ensure timely dispatch of the dissertation and the propositions to the members of the Defence Committee.

² The Board of Deans has determined that for the additional printing costs of the 10 copies of the dissertation that need to be made available to Maastricht University, compensation of €0.36 per printed page shall be paid.

CHAPTER 7

THE DEFENCE COMMITTEE AND THE DEGREE CEREMONY

Article 28

- 1.** The doctoral degree ceremony shall take place before a Defence Committee instituted by the Board of Deans.
- 2.** The Defence Committee shall as a rule comprise:
 - a.** the members of the Assessment Committee, as stipulated in Article 19, Paragraph 1;
 - b.** the supervisor and any co-supervisor;
 - c.** possibly one or more professors and members with doctorates, appointed by the Board of Deans as members of the Defence Committee, at the proposal of the supervisor. Recognized experts without doctoral degrees in the area of the dissertation topic may also, with the special permission of the Board of Deans, be members of the Defence Committee;
 - d.** those members stipulated under a, b, and c shall take part in the deliberations, stipulated in Article 31, Paragraph 3.
- 3.** The Board of Deans shall ensure that the majority of the members taking part in the deliberations, as stipulated in Article 31, Paragraph 3, are professors and that at least half of participants are connected with the University.
- 4.** In the event of the impediment of (one of) the participants in the Defence Committee who are also members of the Assessment Committee, the supervisor shall arrange the replacement(s).
- 5.** The partner and immediate and second-degree family members of the doctoral candidate may not form part of the Defence Committee.
- 6.** The Rector shall be the Chairman of the Committee. He may be replaced by one of his predecessors or a dean, former dean, professor at the university or emeritus professor at the university. The chair is not a member of the Defence Committee.
- 7.** At the proposal of the Chairman, one of the members of the Defence Committee, a professor of the University, shall be appointed as committee secretary.

Article 29

- 1.** All members of the Defence Committee are authorised to oppose the dissertation with the exception of the supervisor and the co-supervisor. The supervisor shall ensure that at least five members of the Defence Committee are prepared to oppose.
- 2.** Before commencement of the doctoral degree ceremony, in a closed meeting of the Defence Committee, the Chairman shall propose the sequence and the average time to be given for the oppositions (a written proposal for the sequence of the opposition opinions must be communicated to the Academic Sessions Office at least two weeks before the date of the ceremony).
- 3.** In cases as stipulated in Article 7, the defence shall be by each doctoral candidate separately where possible on the same day, so that one can follow the other.

Article 30

- 1.** The doctoral degree ceremony shall take place during a public session, in general in the auditorium of the university.

2. The language to be used during the doctoral degree ceremony is Dutch or English. Opposition and defence can only be carried out in another language by way of exception and with permission of the Rector.

3. A separate protocol contains rules regarding clothing, precedence in the procession of the members of the Defence Committee and other opposing speakers, the doctoral candidate and his assistants, the mode in which they are to be addressed and also further directives for formulations pursuant to Article 33.

Article 31

1. After the opening address, the Chairman shall request the doctoral candidate to give a summary of his dissertation in 10 to 15 minutes (possibly with the use of audio-visual equipment). Subsequently, the Chairman gives the floor to opposing speakers and to the doctoral candidate to reply to each opposing speech.

2. The Chairman regulates the sequence in such a way that the doctoral candidate has the opportunity to answer after each opposing speaker.

3. In principle, the session shall be terminated approximately one hour after commencement. The beadle will use the words *Hora est* to indicate that the time for opposition and defence has elapsed. The doctoral committee then withdraws for private deliberation.

Article 32

1. In the deliberations, as stipulated in Article 31, Paragraph 3, the members of the Defence Committee will pass their judgement on the research underlying the degree, on the dissertation and on the defence. If the judgement on the three aspects referred to in the previous full sentence is not uniform, the judgement on the research and the dissertation shall be deemed to count the heaviest.

2. After the supervisor and any co-supervisor(s) have also given their opinions, the committee decides whether or not to award the degree of Doctor.

3. If any of the members of the Defence Committee requires such, a separate vote shall be taken on the decision. Each member of the committee, with the exception of the supervisor and co-supervisor, has one vote (See Article 28, Paragraph 2). If the votes are balanced, the degree of Doctor shall be awarded.

4. If the degree of Doctor is to be awarded, all members of the Defence Committee shall sign the certificate. The distinction, as stipulated in Article 21, is appended to the certificate.

Article 33

1. After conclusion of the internal deliberations, the Chairman reopens the session of the Defence Committee and announces the decision.

2. If the degree of Doctor is awarded, the supervisor at the charge of the Chairman shall invest the doctoral candidate with the insignia and hand over the diploma referred to in Article 32, Paragraph 4. If the distinction *cum laude* is attached to the degree of Doctor, the supervisor shall announce such.

3. Thereafter, the supervisor, or, with permission of the Chairman of the committee, the co-supervisor, gives an assessment of the dissertation and possibly of the scholarly qualities of the graduate. He may also add some very brief personal comments at this point.

CHAPTER 8

JOINT AND DOUBLE DOCTORATE DEGREES

Article 34

- 1.** The University may supervise a PhD candidate jointly with one (or more) Dutch or foreign university/ies and jointly award a degree and confer a joint degree to the candidate in question by virtue of a joint doctorate degree. Furthermore, the University may supervise a PhD candidate jointly with one (or more) foreign university/ies whereby each university awards a separate degree and each university confers a degree certificate (double doctoral degree).
- 2.** Collaboration as referred to in Paragraph 1 is only possible if the following conditions are satisfied:
 - a.** the PhD candidate has access to the PhD as referred to in Article 2;
 - b.** prior to the commencement of the research, a cooperation agreement shall be entered into between the cooperating universities which is to be submitted to the Board of Deans for approval. If it has been agreed that the PhD is to be conducted at the foreign university, the Board of Deans shall assess the quality requirements that the foreign university places on the PhD. If it is established that these are not equivalent to the quality requirements observed in the Netherlands and at the University in particular, additional provisions shall be included in the agreement aimed at ensuring that the conditions for the PhD as set out in these regulations are met.
 - c.** substantial input from the other university shall be a goal of the cooperation;
 - d.** in derogation from Article 8, Paragraph 1, the joint number of supervisors and co-supervisors shall not exceed four per PhD candidate. Any request to deviate from this provision must be submitted by the supervisor to the dean and must be substantiated.
 - e.** If a professor at a foreign university is designated supervisor, a professor at the university shall also be designated first or second supervisor. If the supervisor designated by the university is the second supervisor, they must be able to fulfil all tasks assigned to the first supervisor in the Regulation Governing the Attainment of Doctoral Degrees as though they were the first supervisor.
 - f.** in derogation from Article 19, Paragraphs 1 and 2, the Assessment Committee must comprise no less than four and no more than six members, with as an equal as possible distribution of the committee members across the cooperating universities. Two of the members referred to in Article 19, Paragraph 1, under a and b, must not originate from the cooperating universities.
 - g.** if the cooperation is with a foreign university, the doctoral degree ceremony and the conferral of the degree certificate shall take place at the university so designated in the cooperation agreement, though preferably at the University;
 - h.** if the cooperation is with a foreign university, the doctoral degree ceremony shall take place in accordance with the provisions in this Regulation Governing the Attainment of Doctoral Degrees to the extent the ceremony takes place at the University.
 - i.** in the event of a double doctorate degree, the first doctoral degree ceremony shall take place at the university;
 - j.** the title page of the dissertation to be approved by the Rector Magnificus shall also state the name of the foreign university.

CHAPTER 9

THE DEGREE OF DOCTOR HONORIS CAUSA

Article 35

The degree of Doctor honoris causa can be awarded to:

- a.** a person who has carried out research which has shown to be of special importance for the practice of science at the university or for science in general. A proposal for the award of a Doctor honoris causa can only be made by the faculty board;
- b.** a person who has, directly or indirectly, made an extraordinary contribution to university education and research, in scientific, cultural or social terms. A proposal for the award of a Doctor honoris causa can only be made by the Executive Board.

Article 36

- 1.** If the Board of Deans has the intention to accept the proposal of a faculty board of the university for the award of a Doctor honoris causa, the Board of Deans shall consult the Executive Board. Subsequently, the Board of Deans will submit this proposal to the university board in confidence.
- 2.** Upon receipt of the points of view expressed by the university board, the Board of Deans shall decide on the award of the degree of Doctor honoris causa.

Article 37

- 1.** If the Board of Deans decides to award the degree of Doctor honoris causa, it shall at the same time appoint one or more professors of the university as supervisor(s).
- 2.** A confidential communication of the decision shall be made to the doctoral candidate, the supervisor and the council of the faculty involved.
- 3.** The decision shall not be made public before the doctoral candidate has stated that he will accept the degree of Doctor honoris causa.

Article 38

- 1.** The award of the degree of Doctor honoris causa shall take place in a special public session of the Board of Deans, preferably during the university's celebration of dies natalis.
- 2.** The supervisor, at the request of the Rector, shall invest the doctoral candidate with the insignia and shall express words of praise and appreciation.
- 3.** As a mark of the distinction awarded, the person who is awarded the Doctor honoris causa shall receive the hood and a diploma, signed by the Rector of the university, the dean of the faculty and the supervisor.

CHAPTER 10

ARBITRATION CLAUSE

Article 39

- 1.** The dean shall, at the request of the first applicant, agree to act as an intermediary:
 - a.** if, during the preparation of the dissertation a disagreement arises between the supervisor and co-supervisor, between the supervisor and the doctoral candidate, or between the co-supervisor and the doctoral candidate;
 - b.** if a dispute arises among the supervisors, the supervisor and the co-supervisor, or between the (co-)supervisor and the doctoral candidate concerning the approval of the dissertation;
 - c.** if the Assessment Committee refuses the candidate access to the defence ceremony.
- 2.** If the dean is himself a member of the Assessment Committee, the Board of Deans shall appoint a professor as an intermediary.
- 3.** The intermediary shall in any event hear the parties to the dispute, in order to achieve an amicable solution. His findings and reasoned conclusions shall be specified in a report, which he shall discuss with the parties. The report and a written summary of the discussions shall be communicated by him to the parties and the Board of Deans.
- 4.** In the event of a dispute involving the doctoral candidate, the candidate will be informed that the university has confidential advisers to whom s/he can appeal for help.

Article 40

- 1.** If the assistance of the intermediary does not lead to an agreement within four weeks, either or both of the parties may apply to the Board of Deans in writing, with a request for arbitration.
- 2.** Within four weeks after receipt of a communication as stipulated in the first paragraph, the Board of Deans shall appoint an advisory committee that shall give advice in the matter of the dispute. The committee shall comprise three professors who have not been involved in the preparation of the dissertation.
- 3.** The committee as stipulated in the second paragraph shall in any event consult all those involved and is authorized to consult experts. The committee shall then draw up a written report of its findings.
- 4.** Within eight weeks after its institution, the committee referred to in the second paragraph shall present its advice to the Board of Deans in the form of a reasoned draft decision, submitting the report as stipulated in the third paragraph.
- 5.** The Board of Deans shall arbitrate the dispute within a period of four weeks after receipt of the advice referred to in the fourth paragraph. The decision of the Board of Deans shall be communicated forthwith in writing to all those involved. If the decision deviates from the advice as stipulated in the fourth paragraph, the advice, accompanied by the grounds upon which deviation was made, shall be communicated to all involved and to the committee referred to in the second paragraph.

CHAPTER 11

CONCLUDING AND TRANSITIONAL PROVISIONS

Article 41

- 1.** In all cases not provided for in the present regulation, or in the case of a difference of opinion regarding the interpretation of any part of the regulation, a decision shall be taken by the Board of Deans.
- 2.** In exceptional cases, the Board of Deans, on the recommendation of the Rector, may deviate from the provisions in this regulation.

Article 42

- 1.** An interested party can lodge an appeal to the Board of Deans in line with the AWB against a decision taken by or on behalf of the Board of Deans within six weeks of the decision being announced.
- 2.** If disputes arise during the preparations for the doctoral degree ceremony or the ceremony itself that fall outside the scope of existing university regulations, the disputes regulation as described in Chapter 10 of this regulation shall apply.

Article 43

- 1.** The Board of Deans may transfer the exercise of its authority to the Rector in the cases specified in Articles 8, 13, 14, 18 and 23, Paragraph 1, Article 24, Paragraph 3, Article 28, Paragraph 2, and Article 29, Paragraph 2 (but not Article 42, Paragraph 1). The Chairman is authorized to appoint one or more persons who shall exercise authority in his stead.
- 2.** The Rector may transfer the powers vested in him, as specified in Article 20, Paragraph 7, and Article 38, to one or more persons to be appointed by him.

Article 44

- 1.** This regulation shall come into effect on 1 January 2018.
- 2.** Anyone who – on or before 31 August 2002 – met the condition stipulated in Article 7.18, Paragraph 2 under a. of the Act, as the condition was phrased on 31 August 2002, shall be regarded as equal to those who meet the condition stipulated in Article 2, Paragraph 1, under **a.** of the present regulation.
- 3.** Anyone who is registered for a study that is scheduled for discontinuation as meant in Article 18.14 of the Act, or for a study as meant in Article 18.15 of the Act, and who meets the condition meant in Article 7.18, Paragraph 2, under a. of the Act, as this condition was phrased on 31 August 2002, shall be regarded as equal to those who meet the condition as meant in Article 2, Paragraph 1, under a. of the present regulation.

APPENDIX 1

Texts spoken during the degree ceremony

Rector or chairman:

'This session has been opened'.

'Dear candidate,

the Board of Deans of Maastricht University is giving you the opportunity to defend your dissertation 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 time to defend your dissertation is over. The committee will now 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 has been resumed.'

Dear candidate, this committee, appointed by the Board of Deans, has taken note of your dissertation and has heard your defence.

The committee has decided to grant you the degree of Doctor.

I now call upon the supervisor, to bestow the honours in the appropriate fashion.'

Or

'Dear candidate, the committee present here, having examined the quality of your dissertation 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:

'On the basis of the powers vested in us by law, and in accordance with the decision of the Defence Committee present here, I hereby grant you, (first name and last name of the candidate) the degree of Doctor, (and because of your special merits, with distinction) with all the rights and duties towards science and society associated with this by law and custom. As witness whereof, I hereby give you the certificate, duly signed by the Rector, the secretary and the other members of the committee, and by the supervisor, and adorned by the Great Seal of the university'.

Speech by the supervisor or co-supervisor:

(.....)



Rector or chairman:

'Dear Doctor,
also on behalf of the Board of Deans, I congratulate you
with the honour you have acquired.
I hereby declare this ceremony to be ended'.

APPENDIX 2

Instructions for Candidates

1. At the start of the doctoral research

If applicable (see Article 2 of the Regulation Governing the Attainment of Doctoral Degrees), admission to the doctoral programme should be applied for by means of Model Letter 1.

The doctoral candidate should submit an application for access to the doctoral programme and appointment of the supervisor and the co-supervisor to the Academic Sessions Office (BAZ).

2. Date of the ceremony

After the dissertation has been accepted by the Assessment Committee, which must have been done at least 10 weeks before the planned date of the ceremony, this date can be provisionally reserved with the BAZ. In doing so, take account of the following conditions.

Sessions may take place on the following days: Wednesday, Thursday or Friday, at 10:00, 12:00, 14:00 or 16:00 hours.

The BAZ secretariat knows whether a particular date has already been reserved for an inaugural lecture or farewell lecture.

The date and time will be officially set by the Rector's signature on the draft title page. The candidate will send the first two pages to the BAZ by email. After this, changes can only be made in very special circumstances.

Note: the time of commencement will be strictly adhered to.

3. The title page of the dissertation

The formal external and internal requirements of the dissertation are described in Chapters 6 and 11 of the Regulation Governing the Attainment of Doctoral Degrees. To obtain the Rector's approval of the title page, candidates must submit a copy (preferably a printer's proof or master print) to the BAZ secretariat at least three months prior to the date of the ceremony. Candidates are advised to add an ISBN number to the dissertation. This number ensures that the dissertation is registered both nationally and internationally, and is brought to the attention of potential readers. Publications carrying an ISBN number are listed in the Boekblad and appear in the national bibliography (Brinkman).

If the dissertation is published as part of a fund or series, the ISBN number will be applied for by the publisher of the dissertation. If the candidate is the publisher of the dissertation, he must contact the printer or the ISBN Bureau in Culemborg to obtain the ISBN number.

4. Reverse of the title page (see Model text 8a)

This only lists the names of

- the (co-)supervisor(s) and the name of the institution where such person(s) work(s),
- the Assessment Committee, and
- any institutions that have provided financial support for the research and/or the dissertation. One of the copies submitted must be signed by the supervisor.

5. Additions of a non-scientific nature

With the express permission of the Board of Deans, the dissertation may include additions which lie outside the scope of a scholarly treatise in the strictest sense of the term (Article 25, Paragraph 3 of the Regulation Governing the Attainment of Doctoral Degrees). Additions of a commercial nature shall not be allowed.

6. Reception and address

Dissertations shall include a card containing the name, the private address and the telephone number of the candidate, as well as an announcement concerning the reception.

A map of the town centre (including the locations of car parks) can also be added.

7. Number of copies

At least three weeks before the date of the ceremony, the secretariat of the BAZ must have received: 10 copies of the dissertation.

8. Compensation of printing costs and subsidies

See Form 12 in Chapter 11: compensation for 10 copies at €0.36 per printed page.

9. Other means of duplication

Unless stated otherwise above, other means of duplication accepted by the Board of Deans will be considered equal to printing with regard to the application of the above.

10. Introductory meeting

There are weekly meetings in the auditorium during which doctoral candidates are given the opportunity to practise their presentation and to ask questions to the panel and each other concerning matters about the doctoral degree ceremony.

11. Public nature, admission and reservation of seats

The doctoral degree ceremony will take place in the auditorium and is open to the public. The auditorium seats up to 240 persons. The chairman of the doctoral degree ceremony may restrict or refuse entrance to the auditorium, if such is required in the interest of order or public safety.

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

12. The doctoral degree ceremony will be recorded on DVD and presented to the candidate at the end of the ceremony.

No photographs or film/video recordings may be made during the defence.

No objections shall be made to the taking of photographs, film/video recordings after the defence, during the announcement of the decision of the Assessment Committee, during the presentation of the certificate, or during the reception.

13. Clothing

It will be appreciated if the clothing is in accordance with the importance that the university attaches to this ceremony.

14. Press Release

Doctoral degree ceremonies are announced in the university's academic events agenda that is published every month on the UM website and sent to the various media. The agenda is sent to the regional and national press: newspapers, magazines, journals, radio and television. In addition to factual information, such as the date, the name of the candidate and the title of the dissertation, the information also includes a brief outline of the dissertation. A few weeks before the doctoral degree ceremony, the candidate will be asked to provide a brief summary (of up to 100 words) of the dissertation. The summary must be intelligible for a person not familiar with the subject field. The emphasis should be on the main conclusions of the research or the practical effects of such. It is advisable to consult the supervisor with regard to this issue. The PR Office may draft a more elaborate press release on the basis of the outline. The purpose of such press releases is to stress to the media the social relevance of certain research projects. In such cases the PR Office will contact the doctoral candidate.

15. Radio and television

Radio or television recordings may be made with the prior written consent of the Rector. The latter's permission is also required for the installation of audio recording equipment in the auditorium by public media. Such permission must be requested from the Rector at least three working days before the ceremony. Under special circumstances, this term may be shorter.

APPENDIX 3

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

Article 7.10a. Awarding of the degrees Bachelor and Master

- 1.** The Board of the institute shall grant the degree of Bachelor or the degree of Master to anyone who has successfully completed the final examination of a Bachelor study in university education, or the final examination in a Master study in university education. Depending on the discipline in which the successfully completed final examination for a Bachelor study, or the successfully completed final examination for a Master study was taken, the words “of Arts” or “of Science” will be added to the title. In the case of ministerial regulation, a different designation may be assigned with respect to the degree as meant in this paragraph for a programme or group of programmes as referred to in the previous sentence.
- 2.** The Board of the institute shall grant the degree of Bachelor or the degree of Master to anyone who has successfully completed the final examination of a Bachelor study in higher professional education, or the final examination of a Master study in higher professional education, respectively. The Board of the institute may assign a different designation with respect to the degree as meant in this paragraph for a programme or group of programmes as referred to in the second sentence of Paragraph 1.
- 3.** The Board of the legal entity as meant in Article 5a.1, Paragraph 2, shall grant the degree of Master to anyone who has successfully completed the final examination of a Master study as meant in Article 7.3b, under a. or b. The second sentence of Paragraph 1 also applies to a Master study as meant in Article 7.3b, under a. The second sentence of Paragraph 2 also applies to a Master study as meant in Article 7.3b, under b.
- 4.** The Board of the institution or the Board of the legal entity referred to in Paragraph 3, shall add to the title an indication of the field of science or the professional field to which the degree refers.

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

- 1.** The doctoral degree board of a university, the Open University or an ecclesiastical university 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.** Those who wish to be admitted as candidates to the doctoral examination must meet the following requirements:
 - a.** having obtained the degree of Master on the basis of Article 7.10a, Paragraph 1, 2, or 3; and
 - b.** to have demonstrated the ability to do independent scholarly work by writing a dissertation or completing a draft version; and
 - c.** to have met other requirements as set in the Regulation meant in Article 7.19.
- 3.** In special circumstances, the doctoral degree board may admit candidates who comply with Paragraph 2 under *b* and *c*, but who do not meet the requirement under *a*.
- 4.** The doctoral degree board appoints a supervisor for each doctoral degree ceremony. The following persons may be appointed as supervisor: a professor or, provided that he has obtained the qualification of Doctor or Doctor of Philosophy, another staff member of a university, an ecclesiastical university or the Open University who, in the opinion of the

doctoral degree board, is sufficiently qualified to act as supervisor. The doctoral degree ceremony shall take place in the presence of this board or of a committee, composed by the board from professors or other persons deemed to have the necessary qualities to sit on this committee, respecting the Regulation as meant in Article 7.19.

5. For the application of Paragraph 4, extraordinary professors at a public university shall be regarded as professors of such a university.

6. An institution may grant the degrees of Doctor or Doctor of Philosophy jointly with one or more Dutch or foreign universities on the basis of a doctoral degree ceremony. Paragraphs 1 to 5, inclusive, are applicable. The institutions may make further agreements concerning the implementation of this arrangement within the provisions of the present regulation.

Article 7.19. Regulation Governing the Attainment of Doctoral Degrees; Doctor honoris causa

1. With due regard for the applicable legal stipulations, the doctoral degree board shall set up a Regulation governing the attainment of doctoral degrees. This Regulation governs the following procedures:

a. the procedure regarding the preparations for the doctoral degree ceremony and regarding the ceremony itself, including the tasks and responsibilities of all those who are or may be involved in the doctoral degree ceremony; and

b. the provisions for the settlement of any disagreement which may arise with regard to the preparation for the doctoral degree ceremony or the ceremony itself; and

c. if applicable, the running of affairs with respect to Article 7.17, Paragraph 6.

2. The doctoral degree board has the right to award the degree of Doctor honoris causa to natural persons who have been nominated for such a degree by the Board of the institute because of their exceptional scholarly performance.

Article 7.22. Adding the title of Doctor, Doctor of Philosophy or Doctor honoris causa to one's own name

1. Anyone who has been awarded the degree of Doctor or the degree of Doctor of Philosophy on the basis of the doctoral degree ceremony referred to in Article 7.18, or has been awarded the degree of Doctor honoris causa in accordance with Article 7.19, Paragraph 2, shall be entitled to express such in a title added to one's name.

2. Anyone who is entitled to express the degrees referred to in Paragraph 1 by an addition to one's name, shall also be entitled to use the title of Doctor or Doctor of Philosophy.

3. The degrees referred to in Paragraph 1 shall appear as the abbreviation *D* or *PhD* after the name. The titles referred to in Paragraph 2 are placed either before one's name, abbreviated to *Dr*, or after one's name, abbreviated to *PhD*.

4. The person involved shall make a choice between expressing the degree in one's own name, as referred to in Paragraph 1, or using the titles, as referred to in Paragraph 2.

Article 9.10. Doctoral degree board

1. A university has a doctoral degree board. The members of the doctoral degree board consists are professors.

2. The doctoral degree board consults the Executive Board on the granting of doctoral degrees, as referred to in Article 7.19, Paragraph 2.

3. The administrative and management regulations specify the tasks, the composition and the appointment procedure of the doctoral degree board in detail.

Article 9.19. Rights and Responsibilities of Professors

- 1.** The university's staff includes at least the professors. The appointment letter specifies the field of science in which the professor shall carry out his research and education tasks.
- 2.** With due consideration to the authority of the Board of the study programme, as referred to in Article 9.17, professors are first and foremost responsible for the scientific development of the field for which they have been appointed and for education in this field.
- 3.** Honourably discharged professors retain the right to act as supervisors for a period of five years after their discharge.
- 4.** Professors are entitled to use the title of Professor. Former professors who have been honourably discharged for health reasons, voluntary early retirement, or upon reaching the statutory age for retirement from public service, retain this title.

Article 18.37. Admission to the doctoral degree ceremony for those who have an "old style" diploma

Those who – on or before 31 August 2002 - complied with the condition referred to in Article 7.18, Paragraph 2, under a., as the condition was phrased on 31 August 2002, shall be considered as being equal to those who comply with the condition referred to in Article 7.18, Paragraph 2, under a.

APPENDIX 4

Note on the Regulation Governing the Attainment of Doctoral Degrees

Article 1, Paragraph 1, under i and n

The document 'Recruitment, selection and appointment of professors at Maastricht University'³ contains an overview of the categories of professors. This document is applicable to, among other things, questions relating to the authorities of a professor, including with regard to the right to act as supervisor.

Article 2

The education of candidates who previously studied abroad will also be examined by the Board of Deans, who may consult NUFFIC. If such a candidate asks for supervision during his dissertation research, it is advisable to evaluate such a candidate's previous education at an early stage.

The secretariat of the Office for Academic Ceremonies (BAZ) will only accept such requests if a supervisor has been found who is prepared to supervise the dissertation research, provided the candidate can be admitted.

Article 8

If two supervisors are present during the doctoral degree ceremony, a distinction shall be made between the primary supervisor and the secondary supervisor. The primary supervisor shall have been responsible for the larger share of the supervision, and will be responsible for the proper handling of the procedures relating to the doctoral degree ceremony. The primary supervisor shall be mentioned first in the dissertation.

The following procedure applies when conferring the right to act as supervisor to a staff member of the university who is not a professor and holds the qualification of Doctor or Doctor of Philosophy: the non-professor with a Doctor or Doctor of Philosophy qualification must submit a well-reasoned application to the relevant dean prior to or at the start of each PhD track for which he wishes to act as supervisor. The dean may consult with a professor in the specialist field in question. If a positive assessment is reached, the dean submits a corresponding nomination to the Board of Deans. The Board of Deans decides on the conferment of the right to act as supervisor and the duration of this conferment.

Articles 4, 8, 16, 19, 28

The partner and/or an immediate or second-degree family member of the doctoral candidate may not be appointed as supervisor, co-supervisor, member of the Assessment Committee or member of the Defence Committee. If the supervisor and the co-supervisor are married, or have a registered partnership, a cohabitation contract or any other long-term partnership, then a third (co-)supervisor is to be appointed.

³ Issued on 23 June 2017.

Article 20

The members of the Assessment Committee may accept a dissertation, reject it, or indicate that they would like to see minor changes being made, which changes will be communicated to the supervisor by the chairman of the Assessment Committee. If such changes should be made, the dissertation will not be accepted until after the Assessment Committee has accepted the changes made. The members of the Assessment Committee do not have the right to withhold an evaluation of the dissertation.

Article 21

Part of the task of the chairman of the Assessment Committee during the assessment of the dissertation is to evaluate whether a request should be submitted to award the dissertation with the distinction cum laude. If such is deemed to be the case, or if such a request is made by other members of the committee, the chairman shall submit this request to the other members of the Assessment Committee. If the Assessment Committee intends to award the distinction of cum laude with respect to an inter-faculty PhD, the deans of the faculties involved will be informed of this intention by the Rector.

Article 22

The doctoral candidate shall append an approximately five-page addendum about valorisation to the dissertation. In a joint dissertation as referred to in Article 7, the two candidates can append one joint addendum to their joint dissertation.

The addendum about valorisation is included in the dissertation but it is not viewed as a part of the dissertation and neither the Assessment Committee nor the Defence Committee should include it in their assessment of the dissertation. The addendum about valorisation can sometimes be a part of the dissertation being assessed. In that case, inclusion of a separate addendum about valorisation is superfluous.

Knowledge valorisation refers to the “process of creating value from knowledge, by making knowledge suitable and/or available for social (and/or economic) use and by making knowledge suitable for translation into competitive products, services, processes and new commercial activities” (definition derived from the ‘*Waardevol: Indicatoren voor Valorisatie*’ report by the National Valorisation Committee (2011), The Hague: Rathenau Institute, p. 8).

Examples of social (and/or economic) value creation based on research results can be highly diverse and furthermore differ per discipline (or per combination of disciplines). Some examples include the following: patents, licences, open source tools, software, making models and systems available, 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 recommendations for governments, training programmes for professionals, public-sector workers, organisations or companies, participation in Top Institutes, in United Brains Limburg, collaborations in BioPartner, the Chemelot Campus, the Maastricht Health Campus, Campus Greenport Venlo, the Smart Services Campus, spin-offs and start-up companies, special collections, putting together exhibitions and/or catalogues, participation in administrative bodies.

Five questions are provided that can guide candidates in writing 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) To who, in addition to the academic community, are your research results of interest and why?
3. (Activities/Products) Into which concrete products, services, processes, activities or commercial activities will your results be translated and shaped?
4. (Innovation) To what degree can your results be called innovative in respect to the existing range of products, services, processes, activities and commercial activities?
5. (Schedule & Implementation) How will this/these plan(s) for valorisation be shaped? What is the schedule, are there risks involved, what market opportunities are there and what are the costs involved?

If the dissertation addresses valorisation itself, this can be referred to in the valorisation addendum. Reference is also given to the website <https://www.maastrichtuniversity.nl/research/phds> which lists a number of links to relevant publications.

Article 28

The Defence Committee shall consist of those professors and experts with a doctor's degree whose names have been reported to the BAZ at least 7 days before the ceremony. Other professors and experts may be part of the circle, but have no voting right in the Defence Committee.

Article 30

During the doctoral degree ceremony, the candidate and his assistants shall wear appropriate attire. The doctors are invited to also adapt their attire to suit the occasion.

Article 31

During the doctoral degree ceremony, there should not be any extensive expression of gratitude or appreciation of the dissertation. The ceremony must have the character of a serious defence of the dissertation.

Article 32

The degree of Doctor is equivalent to the degree of Doctor of Philosophy. Anyone who is entitled to express having obtained the degree of Doctor by means of an addition to their name shall also be entitled to use the title of Doctor. The degree, abbreviated to D, is placed after one's name; the title, abbreviated to Dr, is placed before one's name. The person involved shall make a choice between using the degree in their own name or using the title.