

# **Regulation governing the attainment of doctoral degrees**

**Maastricht University  
2013**

Decreed by resolution of the Board of Deans dated 12 May 2003, changed by resolution of the Board of Deans dated February 2007 (Article 27), 14 December 2011 and 3 July 2013

## CONTENTS

Chapter	1	General provisions
	2	The doctoral candidate
	3	The supervisor
	4	The co-supervisor
	5	The assessment committee
	6	The dissertation
	7	The supervisory committee and the degree ceremony
	8	The honorary doctorate
	9	Arbitration clause
	10	Concluding and transitional provisions
	11	Timetable and model letters
Appendix	1	Texts spoken during the degree ceremony
	2	Instructions for candidates
	3	Relevant articles from the Higher Education and Scientific Research Act
	4	Note on the regulation governing the attainment of doctoral degrees
	5	Important addresses: see separate insert

## 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 became effective on 1 September 1993, amended by the Modernisation of the University Administrative Organisation Act (Law Gazette 1997, 117), which became effective 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 became effective on 1 January 1994;
- c.** The university: the Maastricht University;
- d.** Faculty: the faculty of the university to which the topic of the dissertation properly belongs in terms of subject matter, as stipulated in Article 19, Annex, Paragraph 1, Article 23, 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.** Professor: a professor or ecclesiastical professor at a university;
- i.** Medical Ethics Committee: the Medical Ethics Committee of the relevant faculty, i.e. the Faculty of Health, Medicine and Life Sciences or the Faculty of Psychology and Neuroscience;
- j.** Study programme: a Master's study as meant in Article 7.3a of the Act, or a post-initial Master's study as meant in Article 7.3b of the Act, insofar as the study has been accredited on the basis of the Act;
- k.** 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;
- l.** Supervisor: the professor appointed as such by the Board of Deans by virtue of Article 7.18, Paragraph 4 of the Act;
- m.** Co-supervisor: a non-professor with a PhD or a professor who does not have his/her own doctoral candidates who has been appointed by the Board of Deans to assist the supervisor in the supervision of the doctoral candidate;
- n.** 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;
- o.** Supervisory Committee: the committee before whom the doctoral degree ceremony may take place;
- p.** 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;
- q.** Doctoral degree ceremony: the public defence of the dissertation on the basis of which the doctoral degree may be obtained;
- r.** Doctoral degree research: the scientific research that serves as the basis for the dissertation;

**s.** Joint doctorate: 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;

**t.** double doctorate: degree involving one dissertation completed at two different universities. Candidates with a double doctorate receive two diplomas.

#### *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/her 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 Ph.D.) cannot be admitted to the doctoral degree procedure at the university. The Board of Deans may grant exemption from this rule, if the person concerned wishes to obtain a doctoral degree on the basis of research done in a different field of science than the field of the previous doctoral degree research.

#### *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 supervisor or is part of the Assessment Committee, his or her tasks and competence as chairman of the Supervisory 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 Supervisory Committee, or during the meetings of the advisory committee as meant in Article 40, Paragraph 2, shall observe secrecy to anything discussed.

## CHAPTER 2

### THE DOCTORAL CANDIDATE

#### *Article 4*

- 1.** At the start of his/her research project, the doctoral candidate should approach two supervisors or one supervisor and a co-supervisor for his or her 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 s/he is familiar with and will commit to the 2004 Netherlands Code of Conduct for Scientific Practice, Version 2012 (VSNU).
- 2.** At his or her 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 16, 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 11, 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.** After acceptance of the doctoral candidate's thesis, he or she shall submit a request to the Board of Deans for admission to the degree ceremony, specifying diplomas gained, as stipulated in Article 2, the topic and title of his or her thesis, the professor he or she wishes to be appointed as supervisor and the faculty that, in his or her 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 Ph.D. 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 VSNU<sup>1</sup> and the 2004 Netherlands Code of Conduct for Scientific Practice, version 2012 (VSNU);
- 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 the Medical 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.

#### *Article 8*

**1.** The university may grant the doctoral degree jointly with one or more Dutch or foreign universities on the basis of a PhD defence.<sup>2</sup>

---

<sup>1</sup> 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.

<sup>2</sup> Also known as a 'joint doctorate'.

**2.** Collaboration as referred to in Paragraph 1 may take place if the following conditions are met:

- a.** the doctoral candidate has access to the PhD defence as referred to in Article 2;
- b.** prior to the start of the research, the proposal for collaboration with one or more Dutch or foreign universities as part of the PhD project shall be submitted to the Board of Deans for approval;
- c.** prior to the start of the research, a collaboration agreement shall be signed by the participating universities, which shall be submitted to the Board of Deans for approval. If it is agreed that the PhD defence shall take place at a university abroad, the Board of Deans shall assess the quality requirements that need to be met at that university for the granting of a doctoral degree. If it is established that these do not meet the quality requirements of Dutch universities, and this university in particular, the collaboration agreement shall stipulate further provisions to ensure that the requirements for a doctoral project as set out in this regulation are met;
- d.** each of the participating universities shall be urged to provide substantial input;
- e.** in the case of collaboration with a foreign university, the doctoral defence and ceremony shall take place at the university designated in the collaboration agreement, but preferably at the university;
- f.** in the case of collaboration with a foreign university, the defence shall take place in line with the provisions of this regulation insofar that it takes place at the university;
- g.** in the event of a double doctorate, the first degree ceremony shall take place at the university. The name of the foreign university will be listed on the back of the title page of the dissertation, which shall be approved by the Rector.

## CHAPTER 3

### THE SUPERVISOR

#### *Article 9*

**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 (co-)supervisors, and at least one of them needs to be a supervisor. The number of supervisors and co-supervisors shall not exceed three for each degree procedure, unless the Board of Deans decides otherwise. For this reason the Dean shall submit a reasoned request to the Board of Deans on the initiative of the supervisor.

**2.** Eligible candidates for the position of supervisor include a professor at the university or another Dutch or foreign university, an extraordinary professor at a Dutch university who is authorised to supervise doctoral candidates, or a professor at an ecclesiastical university or Open University. Unless stated otherwise, the term “supervisor” in this document refers to the primary supervisor.

If a professor from a university abroad is appointed as supervisor, an additional professor from the university shall be appointed as primary supervisor.

The supervisor shall be actively involved in supervising the research and the writing of the dissertation.

**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 10*

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 11*

**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/her ability in the completion of the manuscript. Supervisors for doctoral candidates who are employed by UM 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 manuscript presented to him/her on the basis of the points stipulated in Article 12.

#### *Article 12*

**1.** The doctoral candidate shall request the supervisor to submit his/her dissertation for assessment to the Assessment Committee. The supervisor shall not make a decision regarding



this request until he/she has ascertained that the doctoral candidate has met the requirements stipulated in Article 6.

**2.** In his/her assessment of the thesis, 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 thesis meets the requirements set forth in Articles 23 to 26 inclusive.

**4.** The supervisor shall check the manuscript for plagiarism before it is submitted to the Assessment Committee.

#### *Article 13*

**1.** The supervisor shall decide within two months after receipt of the doctoral candidate's manuscript whether it will be submitted to the Assessment Committee. The decision shall be either to submit the manuscript 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 or her 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/her decision on the thesis 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/her decision on the thesis 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 manuscript to the members of the Assessment Committee as soon as the Board of Deans has decided on the composition of this committee.

#### *Article 14*

**1.** If the supervisor has refused to submit the thesis 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 15*

**1.** If several supervisors and co-supervisors have been appointed, they shall determine by mutual agreement, having consulted the doctoral candidate and in accordance with Article 11, Paragraph 1, on the division of tasks, which may be laid down in writing.

**2.** If several supervisors and co-supervisors have been appointed, they shall take a joint decision on the submission of the thesis for assessment, as meant in Article 13, 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 both the supervisors and the doctoral candidate.

## CHAPTER 4

### THE CO-SUPERVISOR

#### *Article 16*

- 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.
- 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 17*

Any person who has obtained a doctoral degree, possesses the necessary expertise in the field of science with which the dissertation is concerned, is not a professor or is not a professor authorised to supervise doctoral candidates may be appointed as a co-supervisor, as long as he or she has actually supervised part of the research.

#### *Article 18*

- 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 or her views on the submission of the manuscript for assessment. The co-supervisor shall give his or her decision in writing. The supervisor shall attach this assessment to his/her report on the approval to the doctoral candidate, as referred to in Article 13, Paragraph 4.

## CHAPTER 5

### THE ASSESSMENT COMMITTEE

#### *Article 19*

- 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 20, 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 20*

- 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 thesis.
- 2.** A professor from an equivalent foreign institute of higher education may serve as a member of the assessment committee at the university if s/he is also authorized to supervise doctoral dissertations 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.** Paragraph 1 and Paragraph 2 notwithstanding, the Assessment Committee for a PhD defence as referred to in Article 7a shall consist of a maximum of six members, if possible with an equal proportion of members from the collaborating universities.
- 5.** Neither a supervisor nor a co-supervisor can be appointed as members of the Assessment Committee.
- 6.** 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/her doctoral degree and immediate or second-degree family members of the doctoral candidate may not be members of the Assessment Committee.

#### *Article 21*

- 1.** Within four weeks of receipt of the thesis, the Assessment Committee shall decide whether the doctoral candidate has demonstrated his or her ability to carry out independent scholarly work by means of the thesis and that the thesis can be accepted as a doctoral dissertation and that he/she can be admitted to the degree ceremony. If the Assessment Committee has points of criticism with regard to the thesis, which is such that it would be possible to improve the

thesis 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 manuscript 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 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 thesis 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 thesis 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. The proposed date of the ceremony should be at least ten weeks after the signing of this proposal.
- 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 22*

- 1.** On the basis of the responses received from the members of the Assessment Committee, as meant in Article 21, 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 22, 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 would be justified, the Rector shall ensure that the members of the Supervisory Committee are informed of this proposal and advice before the ceremony.
  - 5.** The Supervisory Committee shall decide after the defence of the dissertation, by a written vote on the proposal after having taken the decision to grant the doctorate. The distinction shall be awarded in case the opposing speakers have decided unanimously to award the designation cum Laude.

## CHAPTER 6

### THE DISSERTATION

#### *Article 23*

- 1.** The dissertation shall comprise either a scholarly thesis 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/she explains the relationship between the papers.
- 4.** A summary will be added to the dissertation in the language as stipulated in Article 24, paragraphs 2 or 3.
- 5.** An addendum will be added to the dissertation about valorization. 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 valorization 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 24*

- 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. If the dissertation is written in English, the title and a summary of the contents in Dutch may be appended.
- 3.** 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 25*

- 1.** The dissertation shall comprise:
  - a.** a title page, conforming to examples 8a and 8b in Chapter 11 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/her dissertation.

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

- a.** the name of the supervisor;
- b.** the names of any co-supervisors;
- 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.
- e.** in the case of a double doctorate in accordance with Article 8g, the name of the foreign university shall be specified.

**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 26*

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

- a.** his or her date and place of birth;
- b.** the period in which he/she 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 27*

**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 25 and 26 shall apply equally to each of the doctoral candidates.

#### *Article 28*

**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.** No later than three weeks before the date of the degree ceremony, the doctoral candidate shall submit ten copies of the dissertation with the propositions to the secretariat of the Office for Academic Ceremonies (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 30, 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.<sup>3</sup>

**3.** The doctoral candidate shall ensure timely dispatch of the dissertation and the propositions to the members of the Supervisory Committee.

---

<sup>3</sup> 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 SUPERVISORY COMMITTEE AND THE DEGREE CEREMONY

#### *Article 29*

**1.** The degree ceremony shall take place before a Supervisory Committee instituted by the Board of Deans.

**2.** The Supervisory Committee shall preferably comprise:

**a.** the members of the Assessment Committee, as stipulated in Article 20, Paragraph 1;

**b.** the supervisor and any co-supervisor;

**c.** one or more professors and members with doctorates, appointed by the Board of Deans as members of the Supervisory 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 Supervisory Committee;

**d.** those members stipulated under a, b, and c shall take part in the deliberations, stipulated in Article 32, Paragraph 3.

The Board of Deans shall ensure that the majority of the members taking part in the deliberations, as stipulated in Article 32, Paragraph 3, are professors.

**3.** Immediate and second-degree family members of the doctoral candidate may not be members of the Supervisory Committee.

**4.** 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.

**5.** At the proposal of the Chairman, one of the members of the Supervisory Committee, a UM professor, shall be appointed as committee secretary.

#### *Article 30*

**1.** All members of the Supervisory Committee are authorized to make objections in order to oppose the thesis. The supervisor shall ensure that at least three members of the Supervisory Committee are prepared to make objections. Neither the supervisor nor the co-supervisor shall present any objections.

**2.** Before commencement of the degree ceremony, in a closed meeting of the Supervisory Committee, the Chairman shall propose the sequence and the average time to be given for the objections (a written proposal for the sequence of the opposition opinions must be communicated to the Rector one week 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 31*

**1.** The 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 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 Supervisory Committee and other opposing speakers, the doctoral candidate

and his/her assistants, the mode in which they are to be addressed and also further directives for formulations pursuant to Article 34.

#### *Article 32*

- 1.** After the opening address, the Chairman shall request the doctoral candidate to give a summary of his/her dissertation in 10-15 minutes (possibly with the use of projection slides). 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 33*

- 1.** In the deliberations, as stipulated in Article 32, Paragraph 3, the members of the Supervisory Committee will pass their judgement on the research underlying the degree, on the dissertation and on the defence.
- 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 Supervisory Committee requires such, a separate vote shall be taken on the decision. Each member of the committee, with the exclusion of the supervisor and co-supervisor, has one vote (See Article 28, Paragraph 2). The supervisor and the co-supervisor do not have a vote. If the votes are balanced, the doctorate shall be awarded.
- 4.** If the doctorate is to be awarded, all members of the Supervisory Committee shall sign the certificate; the Chairman and the Secretary of the committee as well as the supervisor, shall add their capacity. The distinction, as stipulated in Article 22, is appended to the certificate.

#### *Article 34*

- 1.** After conclusion of the internal deliberations, the Chairman reopens the session of the Supervisory Committee and announces the decision.
- 2.** If the doctorate 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 33, Paragraph 4. If the distinction *cum laude* is attached to the doctorate, 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/she may also add some very brief personal comments at this point.

## CHAPTER 8

### 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 proved to be of special importance for the practice of science at the university or for science in general. A proposal for the award of an honorary doctorate can only be made in this circumstance 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 an honorary doctorate can only be made in this circumstance 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 an honorary doctorate, 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 an honorary doctorate, 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/she will accept the honorary doctorate.

#### *Article 38*

- 1.** The award of an honorary doctorate 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 honorary doctor shall receive the hood and a diploma, in accordance with the model drawn up in Appendix 3, signed by the Rector of the university, the dean of the faculty and the supervisor.

## CHAPTER 9

### ARBITRATION CLAUSE

#### *Article 39*

- 1.** The dean shall, at the request of the first supplicant, 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 thesis;
  - 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 10

### 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 degree ceremony or the ceremony itself that fall outside the scope of existing university regulations, the disputes regulation as described in Chapter 9 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 9, 14, 15, 19 and 24, Paragraph 1, Article 25, Paragraph 3, Article 29, Paragraph 2, and Article 30, 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 21, 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 2014. Article 23, paragraphs 5 and 6, shall come into effect on 1 September 2014.
- 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 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.

## CHAPTER 11

### TIMETABLE AND MODEL LETTERS

<b>At the start of the doctoral research</b>	<b>See model letter<sup>4</sup></b>
If applicable: submit a request for exemption	1
Finding supervisor(s) and co-supervisor(s)	—
Acceptance by supervisor(s) and co-supervisor(s)	—
Request by doctoral candidate to appoint the supervisor(s)	2
Request by supervisor(s) to appoint co-supervisor(s)	3
<b>No later than 5 months before the degree ceremony</b>	
Approval by supervisor(s) of the dissertation	—
Request for admission to the degree ceremony, submitted to the Board of Deans, also including the original of the certificate that provides access to the degree ceremony	4
Acceptance of the thesis, as well as proposal to the dean for the composition of the Assessment Committee	5
<b>No later than 4½ months before the degree ceremony</b>	
Proposal by the dean to the Board of Deans for the composition of the Assessment Committee	6
Appointment of the Assessment Committee by the Chairman of the Board of Deans	—
Members of the Assessment Committee receive the thesis from the supervisor/doctoral candidate	—

---

<sup>4</sup> A digital version of this letter can be downloaded at [www.promotiewijzer.nl](http://www.promotiewijzer.nl).

## Model letter 1

To: Board of Deans  
From: Doctoral candidate

Request for exemption as meant in Article 2, Section 2 of the Doctoral Degree Regulation

Name applicant:  
First names:

Home address:  
Postal code + city  
Telephone:  
E-mail address:

Work address:  
Postal code + city:  
Telephone:

requests to be exempted from the requirement of having a master's degree as meant in Article 7.10a, Paragraph 1, 2 or 3 of the Act, with regard to admission to the doctoral degree ceremony, as meant in Art. 7.18, Paragraph 3, of the Higher Education and Scientific Research Act, on the basis of the data below.

Diplomas obtained from institute(s)/course(s) of higher education  
Name institute:  
Study:  
Date of diploma:

Name institute:  
Study:  
Date of diploma:

Other studies completed, diploma(s) or certificate(s) obtained  
Name institute:  
Study:  
Date of diploma\*:

Name institute:  
Study:  
Date of diploma<sup>5</sup>:

Description of work experience insofar as relevant in view of the doctoral degree:

Description of the subject matter or field dealt with in the proposed dissertation:

---

<sup>5</sup> Please enclose copies of diploma(s) obtained.



Signature applicant:

Date:

The undersigned

Senior lecturer at the Faculty of ..... hereby declares that the knowledge and experience of the applicant described above constitute a sufficient basis for the preparation of a dissertation by the applicant.

Signature:

Date:

## Model letter 2

To: Board of Deans  
From: Doctoral candidate

### Request for the appointment of a supervisor

Name applicant:  
First names:

Home address:  
Postal code + city:  
Telephone:

Work address:  
Postal code + city:  
Telephone:  
E-mail address:

Diplomas obtained<sup>6</sup>:  
Name institute:  
Date of diploma:  
Study/Course/Degree programme (Open University):  
Title:

If not in possession of a diploma as referred to under in Article 2, Paragraph 1, under a., of the Regulation Governing the Attainment of Doctoral Degrees, exemption\* granted by the Board of Deans, dated:

Subject of the dissertation:

Requests the appointment of supervisor<sup>7</sup>:

Primary supervisor:  
Professor:  
Senior lecturer of the Faculty of ..... and, in the event of not being of the Maastricht University, also the university:  
Department/special appointment:

Work address:  
Postal code + city:

### Secondary supervisor:

Professor:  
Senior lecturer of the Faculty and, in the event of not being of the Maastricht University, also the university:

---

<sup>6</sup> A copy of the diploma or the exemption must be included with the application.

<sup>7</sup> The total number of supervisors and any co-supervisors shall be no more than three for any doctorate. The primary supervisor shall have final responsibility for assisting the doctoral candidate in the creation of the thesis.

Department/special appointment:

Work address:

Postal code + city:

Signature of the applicant:

Date:

Signature of the primary supervisor:

Date:

Signature of the secondary supervisor:

Date:

## Model letter 3

To: Board of Deans  
From: The Supervisor

Request for the appointment of a co-supervisor

Professor:  
Department:  
Work address:  
Postal code + city :  
Telephone, private:  
Telephone, work:

(Appointed as) supervisor of:

Subject of the dissertation:

Requests the appointment as co-supervisor<sup>8</sup> of:

Name:  
Department/position/status:  
Work address:  
Postal code + city:  
Telephone, private:  
Telephone, work:  
Obtained the degree of Doctor on (date):

Signature supervisor:  
Date:

Signature co-supervisor:  
Date:

This request may be submitted to the Board of Deans at any stage of the supervision process, by intervention of the dean, but preferably at the same time as the request for the appointment of the supervisor(s).

---

<sup>8</sup> The total number of supervisors and any co-supervisors shall be no more than three for any doctorate.

## Model letter 4

To: Board of Deans  
From: Doctoral candidate

Request for admission to the doctoral degree ceremony at the Maastricht University

Name applicant:  
First names:

Private address:  
Postal code + city:  
Telephone:  
E-mail address:

Work address:  
Postal code + city:  
Telephone:

Diplomas obtained<sup>9</sup>:  
Name institute:  
Date of diploma:  
Study/Course/Degree programme (Open University):  
Title:

If not in possession of a diploma as referred to under in Article 2, Paragraph 1, under a. of the Regulation Governing the Attainment of Doctoral Degrees, exemption granted by the Board of Deans, dated:

Topic of the dissertation:  
Field of science:  
of the faculty of .....  
Title of the dissertation:

Supervisor(s):  
Primary supervisor:  
Professor:  
Senior lecturer of the Faculty of ..... and, in the event of not being of the Maastricht University, also the university:  
Department/special appointment:  
Work address:  
Postal code + city:  
E-mail address:

Secondary supervisor:  
Professor:

---

<sup>9</sup> A copy of the diploma or the exemption must be included with the application.

Senior lecturer of the Faculty of ..... and, in the event of not being of the Maastricht University, also the university:

Department/special appointment:

Work address:

Postal code + city:

E-mail address:

Requests to be admitted to the doctoral degree ceremony;

Declares that the thesis is the result of scientific research carried out by himself/herself independently, or to which he/she has made an essential contribution;

Declares that the research has not been used before to obtain the degree of Doctor or an equivalent of such, including a Ph.D. degree.

Signature applicant:

Date:

Signature of approval by the supervisor(s)

Primary supervisor:

Date:

Secondary supervisor:

Date:

You are asked to submit this application in person to the secretariat of the Board of Deans.

Please also bring the following original diplomas or certificates:

- a diploma from a Master degree programme in higher education, to which the degree of Master has been attached pursuant to Article 7.10a, Paragraph 1, 2 or 3 of the Higher Education and Scientific Research Act;
- a 'Doctoraal' diploma from a Dutch university;
- a diploma from a four-year study of higher professional education (full-time or equivalent evening or part-time study) obtained before or on 31 August 2002;
- an equivalent diploma to the above, obtained at the Open University.

## Model letter 5

To: Dean of the Faculty of .....

From: The Supervisor(s) and intended Chairman of the Assessment Committee

C.c.: Board of Deans

Acceptance of manuscript and proposal for the composition of the Assessment Committee

The undersigned:

1.:

2.:

Appointed as supervisor(s) of:

Home address:

Postal code + city

Telephone, private:

Telephone, Work:

He/she/they also declare(s) that the Doctoral candidate has made a vital contribution to the following articles that constitute part of the manuscript: (Note: complete only for those articles in the manuscript which the Doctoral candidate has written himself/herself.)

The undersigned supervisor(s) as mentioned above propose(s) that the following be appointed as a member of the Assessment Committee<sup>10</sup>

Prof./Dr.:

Special appointment:

Address:

Postal code + city:

E-mail address:

Prof./Dr.:

Special appointment:

Address:

Postal code + city:

E-mail address:

Prof./Dr.:

Special appointment:

Address:

Postal code + city:

---

<sup>10</sup> The Committee consists of at least three and no more than five members.

E-mail address:

Prof./Dr.:  
Special appointment:  
Address:  
Postal code + city:  
E-mail address:

and also propose as chairman and member of the Assessment Committee:  
Professor:

Signature(s) of the supervisor(s):

1.:  
Date: .....

2.:  
Date: .....

3.:  
Date: .....



## Model letter 6

To: Board of Deans

From: Prof. .... , Dean of the Faculty of

C.c.: Supervisor(s) and envisaged Chairman of the Assessment Committee

Date:

Having consulted the supervisor(s), Prof. .... and the envisaged Chairman of the Assessment Committee, Prof. . . . . . I would like to propose the following as members of the Assessment Committee for the dissertation of .....

1<sup>11</sup>

2<sup>11</sup>

3<sup>11</sup>

4<sup>11</sup>

I would like to propose that the following be appointed as Chairman of the Assessment Committee:

Kind regards,

Prof

Dean of the Faculty of . . . . .

\*

---

<sup>11</sup> Name, special appointment/status, institute: for external members, please also add their full address, including postal code.

## Model letter 7

To: Board of Deans  
From: Supervisor(s)  
C.c.: Doctoral candidate, Dean of the Faculty

Statement of the Assessment Committee concerning the defence of the dissertation\*

The Assessment Committee, appointed by a decision of the Board of Deans of (date):  
to assess the thesis entitled:  
by  
hereby declares that the author should/should not be admitted to the defence of this  
manuscript as a dissertation.

On behalf of the Committee:

Signature of the supervisor:  
Date:

Signature of the chairman:  
Date:

\* Please enclose the written assessment by all members with the present statement.

## **Model text 8a**

### **Title page of dissertation**

TITLE OF THE DISSERTATION

Subtitle of the dissertation

DISSERTATION

to obtain the degree of Doctor at the Maastricht University,  
on the authority of the Rector Magnificus,  
Prof  
in accordance with the decision of the Board of Deans,  
to be defended in public  
on. . . . . day. . . . . (date+month) 20. . . . (year), at. . . . . hours

by

(all first names)(last name)

## Model text 8b

### Reverse of title page

Supervisor(s):

~~Prof.dr. H.A.J. Struijker Boudier~~

~~Prof.dr R.S. Reneman~~

Co-supervisor:

~~Dr. L.M.A.B. Van Bortel~~

Assessment Committee<sup>12</sup>:

~~Prof.dr. P.W. de Leeuw (voorzitter)~~

~~Dr. J. Britton, University of Nottingham, United Kingdom<sup>13</sup>~~

~~Prof.dr. J. de Haan~~

~~Prof.dr. J. Kleinjans~~

~~Dr. B. Rijcken, Rijksuniversiteit Groningen~~

The reverse of the title page may also contain a list of institutions and/or organisations that contributed financially to the creation of the thesis.

---

<sup>12</sup> Please list the members of the Assessment Committee in alphabetical order, after the Chairman.

<sup>13</sup> In the case of the supervisor, co-supervisor and committee members from elsewhere, add the name of their institute.

## Model letter 9

From: Supervisor(s)  
To: Board of Deans  
C.c. Doctoral candidate

Date:

Pursuant to Article 23 of the Regulation Governing the Attainment of Doctoral Degrees, . . . . . has submitted to me the propositions<sup>14</sup> belonging to the dissertation entitled . . . . .

Having consulted the Doctoral candidate, I would like to inform you that I regard the present propositions defensible.

The supervisor,  
Prof.

---

<sup>14</sup> Article 23, Paragraph 6 of the Regulation Governing the Attainment of Doctoral Degrees states that at least 8 and no more than 11 propositions be added to the dissertation. Four propositions shall relate to the subject matter of the dissertation. Three propositions shall relate to the subject field of the doctoral candidate, but excluding the topic of the dissertation. One proposition shall relate to the valorisation options of the topic of the dissertation. Any other propositions need not be related to the topic of the dissertation or the subject field of the doctoral candidate.

## Model letter 10

To: Doctoral candidate  
From: Board of Deans  
C.c.: Supervisor(s) and dean of the faculty

In accordance with the Regulation Governing the Attainment of Doctoral Degrees, the Board of Deans has received the following documents relating to the dissertation(title) . . . . . and the corresponding propositions:

- a) the positive assessment by the Assessment Committee regarding the manuscript.
- b) the positive assessment by the supervisor regarding the defensibility of the propositions:

Subsequently, the Rector has accepted the draft title page submitted by the doctoral candidate to the secretariat of the Board of Deans, determining that the location, date and time of the degree ceremony shall be:

the Auditorium, (day), (date and time).

The doctoral candidate may proceed and make multiple copies of the dissertation.

On behalf of the Board of Deans,  
Prof.

Rector

## Model letter 11

From: Supervisor(s)  
To: Board of Deans

In accordance with Article 28 in the Regulation Governing the Attainment of Doctoral Degrees, the degree ceremony of ..... shall take place on (date) before a Supervisory Committee appointed by the Board of Deans.

To ensure that the Committee has a sufficient number of members present during the degree ceremony, I would like to add to the existing Assessment committee, consisting of:

committee member 1:  
committee member 2:  
committee member 3:  
committee member 4:  
committee member 5:

the following names:

To complete the list of members, the names of external members of the Supervisory Committee are listed below, including their function/special appointment and full address (including postal code and e-mail address):

The supervisor,  
Prof.

## Model letter 12

From: Board of Deans  
To: Doctoral candidate

The Board of Deans has decided that the printing expenses for the 10 copies of the dissertation to be submitted to the Maastricht University shall be compensated for by a payment of € 0.36 for each printed page.

Name:  
Address:  
Bank account no.:  
Social/fiscal no.:  
Date of degree ceremony:  
Title of dissertation:  
No. of printed pages:  
Amount (no. of pages x 10 x € 0.36):  
Date of submission to Board of Deans:

Signature:

(To be completed by the Board of Deans)

Date received:  
Charge to Board of Deans budget, no.:

Agreed by Board of Deans:  
Signature:



## 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 Supervisory 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 degree ceremony should be applied for by means of Model Letter 4. The doctoral candidate should use Model Letter 2 to ask the Board of Deans (Office for Academic Ceremonies (BAZ)) to appoint the supervisor(s).

If necessary, Model Letter 3 is used to ask for the appointment of the co-supervisor(s)

#### 2. Date of the ceremony

After the thesis 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 ISB 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 ISB 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 ISB number will be applied for by the publisher of the dissertation. If the candidate is the publisher of the dissertation, he/she must contact the printer or the ISBN Bureau in Culemborg to obtain the ISB 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 or the Rector, 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 degree ceremony.

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

The 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 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 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 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 Office Marketing & Communications 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 Office Marketing & Communications 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 7.3a*

Bachelor's and Master's studies

**1.** University education distinguishes the following studies:

- a.** Bachelor's studies, and
- b.** Master's studies, following Bachelor's studies as meant under a.

**2.** Higher professional education distinguishes the following studies:

- a.** Bachelor's studies, and
- b.** Master's studies indicated as such by the Minister for Education.

**3.** A decree as meant under Paragraph 2, under b., shall be taken only if training is not or not sufficiently provided and preservation of such training is required by:

- a.** the importance of preservation of an effective training programme, and
- b.** a clear social need.

#### *Article 7.3b*

Post-initial Master studies

In addition to the studies referred to under Article 7.3a, higher education also distinguishes the following studies:

- a.** Post-initial Master studies in university education, and
- b.** Post-initial Master studies in higher professional education.

#### *Article 7.10a*

Awarding of degrees

**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's study in university education, or the final examination in a Master's study in university education. Depending on the discipline in which the successfully completed final examination for a Bachelor's study, or the successfully completed final examination for a Master's 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's study in higher professional education, or the final examination of a Master's 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's study as meant in Article 7.3b, under a. or b. The second sentence of Paragraph 1 also applies to a Master's study as meant in Article 7.3b, under a. The second sentence of Paragraph 2 also applies to a Master's 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*

Granting the degree of Doctor, admission to and structure of the degree ceremony

- 1.** The doctoral degree board of a university, the Open University or an ecclesiastical university has the authority to grant the degree of Doctor on the basis of the doctoral degree ceremony.
- 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;
  - 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 Board may admit candidates who comply with Paragraph 2 under *b* and *c*, but who do not meet the requirement under *a*.
- 4.** The Board shall appoint a professor from a university, an ecclesiastical university or the Open University to act as supervisor for each degree ceremony. 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 doctoral degree jointly with one or more Dutch or foreign universities on the basis of a 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; honorary doctorates

- 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 degree ceremony and regarding the ceremony itself, including the tasks and responsibilities of all those who are or may be involved in the degree ceremony;
  - b.** the provisions for the settlement of any disagreement which may arise with regard to the preparation for the 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 Honorary Doctor 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*

Degree of Doctor

- 1.** Anyone who has been granted the degree of Doctor on the basis of the doctoral degree ceremony referred to in Article 7.18, or according to 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 degree referred to in Paragraph 1 by an addition to one's name, shall also be entitled to use the title of Doctor.
- 3.** The title referred to in Paragraph 2, abbreviated to *Dr.*, is placed before the name. The degree referred to in Paragraph 1 shall appear as the abbreviation *PhD* after the name.
- 4.** The person involved shall make a choice between expressing the degree in his or her own name, as referred to in Paragraph 1, or using the title, 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/her 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 18.15*

##### Continuation of existing undivided study programmes in university education

- Until a time set by Royal Decree, funded or designated universities or the Open University may provide study programmes referred to in Article 7.3, as this article was phrased on 31 August 2002, insofar as those study programmes were included in the programmes offered by that institution on 31 August 2002. The time specified in the Royal Decree referred to in the first sentence, shall be 1 September of any one year. The Royal Decree shall be accepted and published before 1 September of the year preceding the time set by the decree.
- 2.** The study programmes meant in the first paragraph, include the study programmes that were introduced and registered in the Central Register of Study Programmes in Higher Education, or were submitted in time for inclusion in this register.
  - 3.** As of the time set by the Royal Decree referred to in Paragraph 1, no more students or external students shall be registered for the first time for the first year of a study programme as meant in this article.

#### *Article 18.37*

##### Admission to the 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.

*Article 7.18*

Paragraph 2, under a., as it was phrased on 31-08-2002

**2.** Admission to the doctoral degree ceremony is granted to anyone who:

**a.** has successfully completed the final examination of a study programme with a study load of no fewer than 168 credits, or, with respect to the study programmes referred to in Article 7.4, Paragraph 3, has successfully completed an examination that closes a part of the study programme that represents no fewer than 168 credits.

## APPENDIX 4

### **Note on the Regulation Governing the Attainment of Doctoral Degrees**

#### *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 or her 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 9*

If two supervisors are present during the 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 degree ceremony. The primary supervisor shall be mentioned first in the dissertation.

#### *Article 20*

Members of the Assessment Committee must be sufficiently independent from both the (co-)supervisor and the candidate.

#### *Article 21*

The members of the Assessment Committee may accept a thesis, 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 22*

Part of the task of the chairman of the Assessment Committee during the assessment of the manuscript 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.

#### *Article 23*

The doctoral candidate shall append an approximately five-page addendum about valorization 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 valorization does not form part of the dissertation and should not be assessed as part of the dissertation.

Knowledge valorization 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” (adapted definition based on the National Valorization Committee 2011:8).

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 Health 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 whom, 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 valorization 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 valorization itself, this can be referred to in the addendum.

Reference is also given to the website <http://www.promotiewijzer.nl>, which lists a number of links to relevant publications.

#### *Article 29*

The Supervisory 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 Supervisory Committee.

#### *Article 31*

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

*Article 32*

During the 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.