



UNIVERSITEIT VAN AMSTERDAM  
Faculteit der Geesteswetenschappen

# Doctorate Regulations 2020

Hotze Mulder and Meta van Diest

26 November 2020





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## Introduction and rules

Faculty contact person as of 1 September 2020:

- Ms. Meta van Diest-Links (m.m.vandiest@uva.nl)
- Ms. Tanja Rijstenbil (promoties-fgw@uva.nl)

## Rules

There will be time for questions (5 min.) after each part (10 min.).



## **Why new doctorate regulations?**

Last doctorate regulations published in 2014.

Substantial changes at that time; now: standardising standing practices.

## **Differences Doctorate Regulations and PhD Regulations**

Doctorate Regulations apply university-wide.

PhD Regulations apply to the faculty and regard matters like training and supervision.



## Admission

Admission at university level, at the start of the PhD.

- Not the same as admission to the research school!

Legal educational requirements: Dutch master's degree or 'old-style' Dutch degree (NL: *doctoraaldiploma*). (Art. 7)

- No Dutch Master's degree? → exemption request.

Tanja and Meta collect and check documentation. The Dean approves. The Doctorate Board decides.

# Admission

Candidate receives email with instructions for admission after registering at the research school.

Candidate sends documentation as required on the form.

## Request for exemption from the legal educational requirements

This form must be **digitally completed in full, signed** and **supplemented with all the required documents** and then sent to the Doctorate Board (P.O. Box 19268, 1000GG Amsterdam, Netherlands; [cvp-exemption-bb@uva.nl](mailto:cvp-exemption-bb@uva.nl)). Candidates at the Faculty of Medicine may submit this form through the doctoral affairs delegate: Doctoral Affairs Office, room E2-176, Meibergdreef 9, 1105 AZ Amsterdam, Netherlands ([promotiezaken@amc.uva.nl](mailto:promotiezaken@amc.uva.nl)).

Please note: This form is intended exclusively for candidates **with promotor** who **do not** meet the Dutch educational requirements for admission to a doctoral programme as formulated in the 2014 Doctorate Regulations, Article 7.1. If you do meet these requirements, you may request immediate admission by means of the form: *Request for admission to the doctoral programme.*

Surname:				<input type="checkbox"/> Mr <input type="checkbox"/> Ms
First name(s): <i>(in full)</i>	<i>(Fill in required details as specified on identity document and enclose copy)</i>			
Usual name:				
Date of birth:	Place and country of birth:			
Address:				
Postal code:	City:	Country:		
Telephone number:	Email address:			
Intended supervisor	Title, full initials and surname:	<input type="checkbox"/> Mr <input type="checkbox"/> Ms <input type="checkbox"/>		
	Email address:			
	Affiliation:	<input type="checkbox"/> UvA <input type="checkbox"/> Other, namely:		
Intended (co-)supervisor	Title, full initials and surname:	<input type="checkbox"/> Mr <input type="checkbox"/> Ms <input type="checkbox"/>		
	Email address:			
	Affiliation:	<input type="checkbox"/> UvA <input type="checkbox"/> Other, namely:		
Faculty:	Date:		Candidate's signature:	
Graduate school:				
Enclose the following documents with this application form:				

- a) Certified copies and/or original versions of **all your academic degree certificates.**\*
- b) Certified copies and/or original versions of the associated **lists of marks or course overviews.** Documents must have been issued by the educational institution in order to be accepted.
- c) Translations in case the aforementioned documents are in a language other than Dutch, English, French, German, Spanish or Italian.\*\* Any submitted translations must be accompanied by the original certificates as described under a) and b).
- d) A copy of a **legally permitted identity document** stating your full personal details (full name, date of birth, place of birth). If the name on the identity document does not match the name on one or more degree certificates, you will be required to provide an official proof of name change, such as a birth or marriage certificate.
- e) Your **curriculum vitae** with supplementary information on your previous education, work experience, research experience and any publications.

\* In order to prevent forgeries, all copies of original documents must be certified by either the education institution that issued the original document, a notary or an authorised official at a Dutch municipality. As proof of authenticity, all copies must bear a stamp or seal and signature. If you cannot provide certified copies, you may present the original certificates to the Doctorate Board. You can make an appointment for this by sending an email to [cvp-exemption-bb@uva.nl](mailto:cvp-exemption-bb@uva.nl).

\*\* The translation must have been issued by the institution itself or prepared by a sworn translator. The document must be certified by the translator.

Note: The Doctorate Board will not return any documents, regardless of whether you retract your applications or have received a positive decision regarding your application.


# Admission

Candidate receives email with instructions for admission after registering at the research school.

Candidate sends a copy of their passport and a **certified** copy of their Master's degree.

**Completely** fill in the admission form

- 'Wet' signatures are no longer required!
- Do **not** lock the PDF.



UNIVERSITY OF AMSTERDAM

*cf. Doctorate Regulations*

## Request for admission to the doctoral programme

This form must be **digitally completed in full**, printed **and then signed with a pen by all the relevant parties** and **supplemented with all the required documents**, after which **the faculty contact person** will send it to the Doctorate Board. (An up-to-date list of faculty contact persons may be found [here](#)).

Surname:		<input type="checkbox"/> Mr	<i>(Fill in required details as specified on identity document and enclose copy)</i>		
First names: <i>(in full)</i>					
Usual name:					
Date of birth:	Place and country of birth:				
Address:					
Postal code:	City:	Country:			
Email address:	Telephone number:				
Type:	<input type="checkbox"/> Employed PhD candidate (1a) <input type="checkbox"/> Scholarship PhD candidate other provider (2b) <input type="checkbox"/> Employee in PhD track (1b) <input type="checkbox"/> Externally financed PhD candidate (3) <input type="checkbox"/> External PhD candidate (4)				
<a href="#">Explanation and decision tree</a>					
Issue date of previous degree or date of exemption decision:	Obtained at: <input type="checkbox"/> UvA <input type="checkbox"/> Other, namely:				
<i>(enclose copy of Dutch Master's degree certificate or initial university degree; if not authenticated, present original document to faculty contact person. If you do not have an accredited Dutch Master's degree certificate or initial university degree, you must first apply for an exemption (Art. 8 of the Doctorate Regulations). Enclose a copy of the official exemption decision with this admission request)</i>					
Does it concern a Joint Doctorate with another university? <input type="checkbox"/> Yes <input type="checkbox"/> No					
For Joint Doctorates there is an additional procedure. Contact the Doctorate Board for further enquiry ( <a href="mailto:jointdoctorates-bb@uva.nl">jointdoctorates-bb@uva.nl</a> ).					
<b>Supervisor(s)</b>	Title, full initials and surname: <input type="checkbox"/> Mr <input type="checkbox"/> Ms <input type="checkbox"/>				
1.	Email address:	Research remit: <i>(if full professor)</i>			
	Appointment end date: or retirement date:	Affiliation: <input type="checkbox"/> UvA <input type="checkbox"/> Other, namely:			
2.	Title, full initials and surname: <input type="checkbox"/> Mr <input type="checkbox"/> Ms <input type="checkbox"/>				
	Email address:	Research remit: <i>(if full professor)</i>			
Appointment end date: or retirement date:					
Affiliation: <input type="checkbox"/> UvA <input type="checkbox"/> Other, namely:					
<b>Co-supervisor(s)</b>	Title, full initials and surname: <input type="checkbox"/> Mr <input type="checkbox"/> Ms <input type="checkbox"/>				
1.	Email address:		Affiliation: <input type="checkbox"/> UvA <input type="checkbox"/> Other, namely:		
	Position: <input type="checkbox"/> Professor <input type="checkbox"/> Expert with doctorate <sup>1</sup> <input type="checkbox"/> University lecturer with doctorate				
2.	Title, full initials and surname: <input type="checkbox"/> Mr <input type="checkbox"/> Ms <input type="checkbox"/>				
	Email address:		Affiliation: <input type="checkbox"/> UvA <input type="checkbox"/> Other, namely:		
Position: <input type="checkbox"/> Professor <input type="checkbox"/> Expert with doctorate <sup>2</sup> <input type="checkbox"/> University lecturer with doctorate					
<b>Signatures</b>	PhD candidate	Supervisor 1	Supervisor 2	Co-supervisor 1	Co-supervisor 2
Having regard to the degree certificate or exemption decision pursuant to Article 8 of the Doctorate Regulations the dean of the faculty hereby approves preparations for the conferral of a doctorate and appointment of the (co-)supervisor(s). In case one of the supervisor(s) is not a full professor the dean hereby confirms that he/she has <i>assensu</i> .					
Faculty:		Date:	Dean's signature:		
Graduate school:					

<sup>1</sup> The appointment of an expert with a doctorate must be duly substantiated. This substantiation can be provided on the reverse side of this form.

**Attention:** Always use the latest version of the forms, found on [www.uva.nl/jhd](http://www.uva.nl/jhd). Outdated forms will not be processed. **Disclaimer:** This translation is provided for information purposes only. In the event of a difference of interpretation, the original Dutch version of this document is binding.



## Admission

Most important changes:

- Second (or parallel) doctorate explicitly ruled out! (Art. 6)
- Further formalisation article on *Barred relationships*. New: exclusion of family members of and relationships between supervisor and co-supervisor. (Art. 4)
- Associate professors can be appointed as supervisor (so-called UHD2 only if they have successfully supervised two doctorates → Dean's approval needed). (Art. 10.1)
- Anyone at a foreign university in a position comparable to that of an UvA associate professor (UHD) may be appointed as supervisor, but only if a supervisor affiliated to the UvA is appointed as well (was: co-supervisor). (Art. 10.2, 10.3)





## Admission

- Right to act as supervisor extended to five years after appointment end date for associate professors with *ius promovendi*. (Art. 10.6)
- Manuscript approval by Doctorate Committee **before** lapsing *ius promovendi* supervisor (was: sending manuscript to Doctorate Committee). (Art. 10.6)
- Minimum of two supervisors. (Art. 10.4, 10.5, 11.1, 11.2)
- Admission decision valid for eight years. (Art. 9.12)



## Joint Doctorate

Formal agreement with other university.

Substantial stay doctoral candidate at both universities.

Doctoral candidate is part of and participates in both academic communities.

External supervision is insufficient reason for a Joint Doctorate.

More information → Article 40.



## Manuscript

Consists of a scientific treatise on a particular subject or a number of separate scientific papers that have been (partially) published. (Art. 15.1)

## Doctoral thesis consisting of articles

Thesis manuscript contains section *Author Contributions* explaining how the articles relate to one another and what the contribution of the co-authors has been. (Art. 15.1, 15.4d, 16.5)



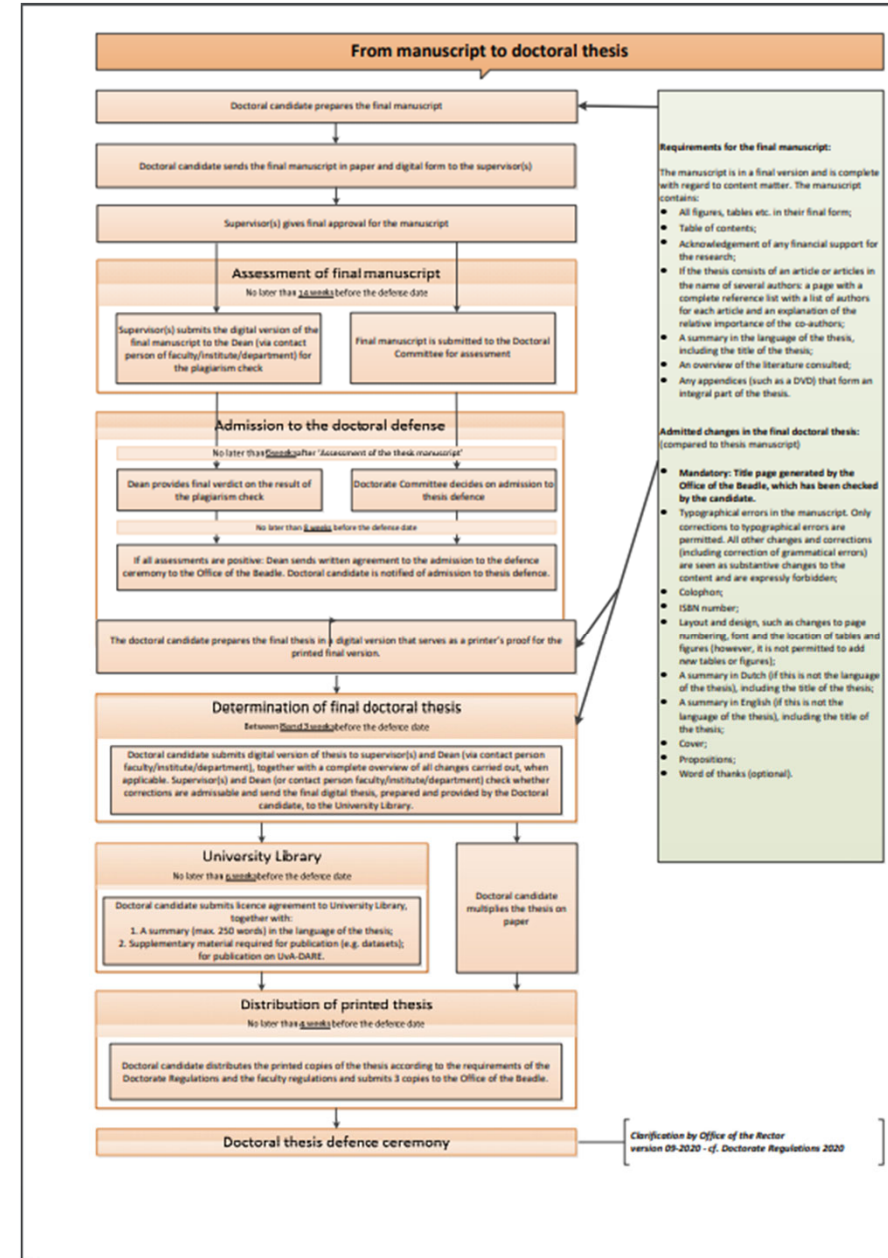
# Manuscript

Doctoral candidate and (co)supervisor(s) receive instructions per email after submission of Doctorate Committee composition request.

Follow the procedure *From manuscript to doctoral thesis*.

## Extra step

Manuscript check by Meta van Diest **before** sending manuscript to Doctorate Committee.





# Manuscript

## Dutch or English

- Any other language needs permission of the Dean and exemption from the Doctorate Board. (Art. 15.3)
- Supervisor(s) must be able to form a Doctorate Committee that complies with the Doctorate Regulations and whose members have sufficient ability in the language in question to assess the doctoral thesis. (Art. 15.3, 20.2)



## Manuscript

**No changes** (other than those mentioned in *From manuscript to doctoral thesis*, mainly typos) can be made to the manuscript after submission to the Doctorate Committee. (Also see art. 16.4)

### Check for plagiarism

Carried out once the manuscript has been submitted to the Doctorate Committee.

If you don't hear from us, all is well!



# Manuscript

Most important changes:

- Research that has not been conducted largely under the direct supervision of the supervisor cannot serve as the basis for a thesis (exemption possible through Dean). (Art. 13.3)
- Title page will be provided by Office of the Beadle when booking a provisional defence date. (Art. 15.4a)
- Maximum length 70.000 words (new: excl. bibliography and appendices) (Art. 15.2)
  - Exemptions at discretion of the Dean (was: supervisor). First contact Meta van Diest.
  - Faculty of Humanities: no exemption needed for manuscript with length between 70.000 and 100.000 words.
  - > 100.000 words? Argumentation cannot be based on nature Humanities research.



# Manuscript

Most important changes printed manuscript:

- Doctoral candidate provides three printed copies of the manuscript to the Office of the Beadle (was: twelve). (Art. 30.2)
- Dean receives two printed copies of the manuscript, sent to Tanja Rijstenbil. (Art. 30.5)
- (Co)supervisor(s), members of the Doctorate Committee, guest opponents receive digital copies. Chairperson receives printed copy through Dean.





## Doctorate Committee

Proposal Doctorate Committee by supervisor **before** asking committee members. (Art. 19.1)

- Per email to Meta van Diest. Faculty of Humanities does not use the provided form.

Doctorate Committee complies to Doctorate Regulations? (Art. 20)

- 5-7 members.
- Majority professor or associate professor with ius promovendi, other members hold doctorate.
- Minimum of 50% UvA.
- Minimum of one full professor with primary position at faculty of Humanities.
- Minimum of one full professor affiliated to institution other than UvA.
- Maximum of 50% of members are co-author.
- As diverse as possible.



## Doctorate Committee

After positive outcome consultation Doctorate Committee composition → supervisor asks prospective members.

All members have accepted membership? → supervisor informs Meta van Diest. Dean sends proposed composition request to the Doctorate Board.  
(Art. 19.3-4)

Doctorate Boards sends its decision to the doctoral candidate.

Office of the Beadle informs the doctoral candidate on the next steps, including booking a defence date.



## Doctorate Committee

Most important changes:

- Decision on appointment of Doctorate Committee remains valid for two years (was: one year). (Art 10.8)
- UvA associate professors with ius promovendi included in count for Doctorate Committee as full professors. (Art. 20.3)



## Assessment by Doctorate Committee

Supervisors consult Meta van Diest on date for submission to Doctorate Committee.

Supervisors receive assessment form and instructions.

Assessment deadline: **six weeks** after receiving the manuscript.

Supervisor reminds Doctorate Committee members close to the deadline.

After the deadline has passed, Meta van Diest will send a reminder.



# Assessment by Doctorate Committee

Most important changes:

- New assessment form (appendix A)

Appendix A (front side)

## Doctoral thesis assessment form and admission to the doctoral thesis defence

Vote cast:

Doctorate Committee member [...title...] [...initials...] [...name...] [...affiliation...]

Appointed by decision of the Doctorate Board, to assess the doctoral thesis with the title [...full title of thesis...]

Of doctoral candidate [...name of the doctoral candidate...]

Vote for/against admission to the defence of the thesis manuscript assessed as a doctoral thesis.

Explanation:

### Information on submissions (to be completed by supervisor or contact person):

Please note the instructions for completing this form; both sides of the form should be completed in full and sent by email no later than [... day...] [...date...] to Ms. Meta van Diest, m.m.vandiest@uva.nl with a copy to the supervisor [... email address of supervisor...].

### Criteria

In assessing the thesis manuscript, Committee members should administer the requirements that are applicable in the relevant discipline. The following criteria play a role in this assessment. You are requested to separately consider each criterion against which the doctoral thesis is to be assessed. For any other instructions, please see the letter you received from the supervisor before you were appointed as a Doctorate Committee member.



# Assessment by Doctorate Committee

Most important changes:

- Five assessment criteria (was: seven).
- Changes to assessment criteria. (Art. 22.3)

Appendix A (reverse side)

Doctoral thesis assessment form and admission to the doctoral thesis defence (please complete in full)

	Excellent	Very good	Good	Satisfactory	Unsatisfactory
The clarity and relevance of the problem definition and the research question <i>Explanation:</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The robustness of the methods used and the soundness of the methodology used in the analysis <i>Explanation:</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The balance in the structure of the thesis and the clarity of style and wording <i>Explanation:</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The extent to which the research contributes towards progress and renewal of academic research <i>Explanation:</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The degree of critical reflection and the contribution of the research to the field <i>Explanation:</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Do you believe that this doctoral thesis should qualify for the distinction 'cum laude'?	Yes/No				
If so, can you attest that the doctoral thesis is among the best 5% of all doctoral theses that you have read in the relevant discipline? <i>Explanation:</i>	Yes/No				



## Assessment by Doctorate Committee

Doctorate Committee decides whether doctoral candidate may be admitted to the thesis defence. (Art. 22.2)

Members Doctorate Committee vote in writing using the assessment form. (Art 23.1)

In case of a negative assessment (or if requested by a member) → meeting including a new written vote. (Art. 23.2)

Only possible to vote *for* or *against*. (Art. 23.4)

No conditions can be attached to either a vote *for* or *against*. (Art. 23.3)

Refusal admission to the defence only in the event of significant objections to the content, length or scientific quality of the thesis manuscript. (Art. 23.5)

Revised manuscript submitted and assessed within **one year**. (Art. 23.6)



## Assessment by Doctorate Committee

Most important changes:

- Supervisors no longer sign the title page. Dean signs new form  
Admission to the defence (NL: *Toelating tot de verdediging*). (Art. 25.3)





## Cum laude procedure

Cum laude: doctoral candidate has shown that he/she has achieved an exceptional level of competence on all five assessment criteria (was: majority of criteria). (Art. 27.1)

- Supervisor consults Meta van Diest.
- Dean assesses the support for cum laude in the written assessments of the Doctorate Committee.



## **Transitional phase**

All doctoral candidates are subject to the new Doctorate Regulations 2020.  
Decisions that have been made, remain valid.