



## LEIDEN UNIVERSITY DOCTORATE (PHD) REGULATIONS 2015

### Chapter 1. General provisions

#### Article 1. Definitions

1. The following definitions apply within these regulations:
  - a. The Act: the Higher Education and Academic Research Act (*Wet op het hoger onderwijs en wetenschappelijk onderzoek, WHW*);
  - b. The faculty: the Leiden University faculty that covers the field of study of the subject of the dissertation;
  - c. The dissertation: a scientific treatise in the form of a book or article, or an artistic outcome as specified in Article 3, paragraph 1, under b;
  - d. Propositions: statements that the doctoral candidate is prepared to defend with scientific arguments;
  - e. Non-scientific component of the dissertation: the title page, the reverse of the title page that lists the members of the Doctorate Committee, the publication details, the foreword and/or closing text (including any acknowledgments), the table of contents, the curriculum vitae of the doctoral candidate, any other non-scientific additions or expressions, as well as the inner and outer covers, both front and back;
  - f. The doctoral defence: the occasion on which the public defence of the dissertation and its propositions takes place and a doctoral degree may be conferred on the candidate;
  - g. The supervisor: a professor appointed at Leiden University, except in cases where these regulations state that a professor appointed at another Dutch university is eligible to act as supervisor.
2. Wherever reference is made in these regulations to a professor, this term also includes a professor emeritus who in accordance with Article 9.19 of the Act is eligible to act as supervisor, an extraordinary professor at a Dutch university listed in the Act, and a professor at the Open University or at a foreign academic institution, in the latter case only in so far as he/she is eligible to act as a supervisor by virtue of his/her appointment abroad.
3. Wherever reference is made in these regulations to a supervisor or co-supervisor, the term should be read as the plural form in those instances where there is more than one supervisor or co-supervisor.

#### Article 2. The doctorate

1. A doctorate can be obtained at Leiden University on the basis of a defence of the candidate's dissertation in the presence of the Doctorate Board (*College voor Promoties*), or an Opposition Committee appointed on behalf of this Board.



2. The doctorate is awarded by the Doctorate Board.
3. In the case of a doctorate obtained at Leiden University and at another university on the basis of the same dissertation, the doctoral defence should first take place at Leiden University.
4. Persons who have already been awarded a doctorate degree will not be allowed to submit another dissertation. The Doctorate Board may make an exception if the content of the new dissertation covers an unrelated scientific field.

### **Article 3. Admission to the PhD programme**

Those persons are eligible for admission to the PhD programme who:

- a. In accordance with the Act, have been awarded a master's degree from a Dutch university or an equivalent master's degree from another institution, or who have passed the 'old style' doctoral (*doctoraal*) examination of a government-funded or appointed Dutch university,
- b. Have written a thesis and/or prepared an artistic outcome as proof of competence in independently conducting scientific research, and
- c. Have met the requirements stipulated elsewhere in these regulations.

### **Article 4. Exemption from educational requirements**

1. In exceptional cases, the Dean of the relevant faculty may, having received a written request to this effect and on behalf of the Doctorate Board, grant exemption from the entry requirements specified in Article 3 under (a) to candidates who fail to meet these requirements.
2. A request for exemption from the educational requirements as referred to in Article 3, paragraph 1, under (a), may be submitted to the Dean of the relevant faculty in accordance with the procedure (appendix 1) stipulated by the Doctorate Board and on submission of the following:
  - a. Certified copies of the relevant diplomas and/or degree certificates,
  - b. An overview of the courses followed by the candidate,
  - c. A copy of the page of the candidate's passport indicating his/her personal details, and
  - d. A statement by the proposed supervisor confirming that he/she is willing to act as supervisor, as referred to in Article 6, paragraph 2.

This request for exemption must be made before the doctoral candidate is appointed and registered as a doctoral candidate and/or before he/she is admitted to the Graduate School (appendix 1a).



3. If the requested exemption cannot be granted on the basis of the diplomas and degree certificates submitted by the candidate, it may nonetheless be granted by the Dean on behalf of the Doctorate Board if it can be demonstrated to the satisfaction of the Dean that the applicant is considered capable of conducting independent scientific research and, in the case of a PhD track in the Arts, that the candidate is capable of developing as a research-oriented artist.
4. The applicant is informed in writing of the Board's decision to grant or refuse to grant an exemption.

### **Article 5. Confidentiality**

Those present at the meetings of the Doctorate Committee and the Opposition Committee as referred to in Chapters 4, 5 and 6, or at a dispute procedure or the procedure leading to the award of the predicate 'Cum laude' (with distinction), are bound to confidentiality with respect to these meetings.

## **Chapter 2. The supervisor and co-supervisor**

### **Article 6. Appointment of the supervisor**

1. The doctoral candidate approaches the professor most closely specialised in the intended area of research to investigate the possibility of conducting the intended PhD research and the willingness of this professor to act as supervisor.
2. The professor who has been approached to act as supervisor sends the doctoral candidate as soon as possible a written confirmation of either his/her consent or refusal to act as supervisor. The professor also sends a copy of this consent or refusal to the Dean of the relevant faculty.
3. After receiving the confirmation referred to in paragraph 2, the doctoral candidate requests the Dean to appoint the professor in question as supervisor.
4. The request is submitted to the Dean in accordance with the procedure established by the Doctorate Board (appendix 2) and includes certified copies of the diplomas and certificates demonstrating that the academic requirements as referred to in Article 3, paragraph 1, under (a), have been met, or a request to exempt the candidate from these requirements as referred to in Article 4, first paragraph. This request also includes the documents referred to in Article 4, second paragraph.
5. Once the Dean has established that the academic requirements as referred to in Article 3, paragraph 1, under (a), have been met, or the exemption as referred to in Article 4 has been granted, on behalf of the Doctorate Board,



he/she appoints as supervisor the professor who has indicated his/her willingness to act in this capacity. The Dean notifies the professor, the doctoral candidate and the Doctorate Board accordingly in writing.

6. At the request of the doctoral candidate, and on behalf of the Doctorate Board, the Dean may, as referred to in paragraph 3, appoint as supervisor a second professor, from the same or from another faculty. In exceptional cases, the Doctorate Board, at the request of the Dean, may appoint a third professor as supervisor. Each supervisor remains individually responsible for the quality of the dissertation as a whole, independently of the division of tasks among them.
7. If no second supervisor is appointed pursuant to paragraph 5, the Dean will appoint a co-supervisor, in accordance with the procedure set out in Article 8, in order to ensure that the PhD candidate has at least two supervisors.
8. Professors holding a rotating chair and visiting professors are not usually appointed as supervisors unless, in exceptional cases, the Doctorate Board decides otherwise.
9. A member of the academic staff who also holds a chair or extraordinary chair elsewhere in the Netherlands will be considered for the purposes of this article as holding a chair in the relevant faculty at Leiden University.
10. The following persons are excluded from being appointed as supervisor: the partner of the Doctoral candidate, a blood relative or first or second-degree relative of the candidate, or other persons whose relationship to the candidate precludes them from assessing the candidate's work. Similarly, where a supervisor has been appointed, his/her partner or blood relative or first or second-degree relative will not be appointed as second supervisor.

#### **Article 7. Responsibilities of the supervisor**

1. The supervisor guides the doctoral candidate to the best of his/her ability in completing the dissertation.  
Within three months of his/her appointment, the supervisor draws up a training and supervision plan in consultation with the doctoral candidate and submits a copy of this plan to the Dean. This plan provides for regular consultation between supervisor and candidate as well as written reports of these consultations. The Dean may decide that the training and supervision plan should also include an independent committee whose task is to provide the doctoral candidate with feedback and guidance, from a certain distance.



2. The supervisor is responsible for ensuring that:
  - a. The doctoral candidate participates in the compulsory training programme drawn up for him/her;
  - b. The doctoral research is conducted according to the Leiden University code of conduct on academic practice and according to the code of conduct and/or the professional code that applies to professional conduct in the relevant academic field;
  - c. If the doctoral research necessitates research on or with human subjects, this research is conducted with the consent of the parties involved or with the consent of a representative appointed by those parties, and in accordance with the applicable regulations;
  - d. In so far as the doctoral research involves laboratory animals, bodily tissues and personal data, the appropriate rules are observed, and
  - e. In so far as the doctoral research or part of the research is funded by third parties, as few restrictions as possible are imposed on the research. If limitations are imposed on the freedom of publication of data and results from the research, these limitations may not conflict with academic freedom.
3. The doctoral candidate submits the manuscript of the dissertation to the supervisor, either in its complete form or in chapters. The supervisor reads the manuscript or chapters submitted and verifies that the manuscript or sections satisfy the requirements for a dissertation leading to the award of a doctoral degree.
4. The supervisor may make suggestions for additions and/or alterations after conferring with the doctoral candidate and any other persons involved in the PhD track.
5. The doctoral candidate incorporates the agreed alterations in the manuscript and subsequently submits the manuscript as a whole to the supervisor for approval.

#### **Article 8. Appointment of the co-supervisor**

1. On behalf of the Doctorate Board, the Dean may appoint a co-supervisor if so requested by the supervisor and following consultation with the PhD candidate. The supervisor ascertains that the proposed co-supervisor is willing to act in this capacity. The request may be submitted to the Dean at any stage of the PhD track.
2. If there is one supervisor, there may be no more than two co-supervisors, and if there are two or more supervisors, there may be only one co-supervisor. In the latter case, the Doctorate Board may, under exceptional circumstances and at the request of the Dean, appoint a second co-supervisor.
3. Persons may be appointed as co-supervisors who are Dutch or foreign key experts holding a PhD degree, who are not appointed professors, but are actively involved in research on the topic (or an aspect of the topic) covered in the dissertation,



and are entitled to use the title of ‘Doctor’ in the Netherlands. In the case of a dissertation in the Arts, a person who does not hold a PhD degree but is a key expert on the topic may also be appointed co-supervisor.

4. The following persons are excluded from being appointed co-supervisor: the partner of the doctoral candidate, a blood relative or first or second-degree relative of the candidate, or other persons whose relationship to the candidate precludes them from assessing the candidate’s work. Likewise, the partner or blood relative or first or second-degree relative of the supervisor may not be appointed as co-supervisor.
5. If a co-supervisor does not accept the appointment, he/she will inform the Dean of his/her reasons for doing so.

#### **Article 9. Tasks of the co-supervisor**

1. It is the task of the co-supervisor to assist the supervisor in guiding the PhD candidate.
2. After conferring with the PhD candidate, the supervisor and co-supervisor determine the manner in which the co-supervisor will be involved in the regular consultations between supervisor and PhD candidate, and include these agreements in the training and supervision plan.
3. The co-supervisor submits in writing a summary assessment of the manuscript to the supervisor.
4. If the co-supervisor, contrary to the supervisor, is of the opinion that the manuscript should not be approved, and the supervisor nonetheless approves the manuscript, the co-supervisor may be relieved of his/her duties at his/her own request by the Dean on behalf of the Doctorate Board.

#### **Article 10. Approval of the manuscript as a dissertation**

1. The supervisor is responsible for the approval of the manuscript as a dissertation. He/she is responsible for ensuring that the dissertation meets the standards that generally apply to dissertations.  
In particular, and without prejudice to the duties of the doctoral candidate in this respect, as stated in Article 13, he/she ascertains that the manuscript does not contain any form of plagiarism and in every other respect meets the applicable code of conduct on academic practice.



2. Before approving the manuscript as a dissertation, the supervisor assesses the submitted text with particular regard to the requirements stated under Articles 13 to 17, paying particular attention to the following points:
  - a. The importance of the topic;
  - b. The importance of the research question and the precision with which it is defined;
  - c. The academic standard of the structure, the analysis and the treatment of the material;
  - d. The derivation of new insights and views from the analysis;
  - e. The soundness of the methodology used for the analysis;
  - f. Evidence of a critical confrontation of the author's own conclusions with existing theories or views;
  - g. Evidence of a creative approach to the field of study treated in the manuscript;
  - h. The extent to which the manuscript is based on research independently conducted by the doctoral candidate or research to which he/she has made an essential contribution;
  - i. Demonstrated restraint, with regard to the scope of the text;
  - j. A balanced structure in the manuscript and clarity of style.
3. Within six weeks of receiving the manuscript, the supervisor decides whether he/she approves the dissertation, unless the doctoral candidate agrees to an alternative deadline. If this term is exceeded, the doctoral candidate is entitled to request the Dean to ensure that the supervisor communicates his/her decision regarding approval of the dissertation before a given date.
4. If, in the opinion of the supervisor, the manuscript meets the required standards and qualifies as proof of competence in conducting independent research, the supervisor approves the manuscript. If a co-supervisor has been appointed, the supervisor may not give his/her approval before being informed of the assessment of the co-supervisor. If the supervisor fails to grant his/her approval, he/she must specify the reasons for non-approval.
5. The supervisor informs the doctoral candidate of his/her approval or refusal of the manuscript in accordance with the procedure established by the Doctorate Board (appendix 3). He/she submits a copy of this form to the Dean.
6. If the supervisor fails to approve the manuscript as a dissertation, the Dean may, at the request of the doctoral candidate and on behalf of the Doctorate Board, appoint another supervisor, after conferring with both the candidate and the supervisor, unless, in the event there are two or more supervisors, the Dean considers a new appointment to be unnecessary.
7. In the case of a dissertation in the Arts, before approving the manuscript, the supervisor assesses whether the dissertation displays evidence of artistic achievement as referred to in Article 13, paragraph 6.



### **Article 11. Resignation of the professor appointed as supervisor**

1. If a professor who has been appointed as supervisor is honourably discharged, on the grounds of emeritus status or for other reasons, subsequent to his/her appointment as supervisor, the approval of the manuscript as a dissertation should take place within five years of the resignation. In exceptional cases the Doctorate Board may decide to extend this period.
2. A professor appointed as supervisor who is no longer affiliated to Leiden University as a result of his/her appointment at another university retains the right to act as supervisor at Leiden University for a period of five years. In exceptional cases, the Doctorate Board may decide to extend this period.
3. If the dissertation has not been approved within the period, whether or not it has been extended, as referred to in paragraphs 1 and 2, the appointment of the supervisor lapses and the Dean appoints another supervisor, unless, in the event that there are two or more supervisors, the Dean considers a new appointment to be unnecessary.
4. If the supervisor is no longer able or willing to act in this capacity, the Dean may withdraw, on behalf of the Doctorate Board, the appointment referred to in Article 6. In this case another professor may be appointed as supervisor in accordance with the procedure outlined in Article 6.

### **Article 12. Propositions**

1. As soon as possible after the approval as referred to in Article 10, the PhD candidate submits to the supervisor at least four propositions relating to the subject of the dissertation, at least four scientific propositions relating to the field of the subject of the dissertation, and at most four propositions on one or more subjects of the candidate's choice.
2. The propositions must be such that they can be defended with scientific arguments.
3. The supervisor informs the PhD candidate whether in his/her opinion the propositions meet the required standards as referred to in the first and second paragraphs. If the propositions meet the required standards, the supervisor sends the text of the propositions and his/her assessment of them to the Dean, who may, if he/she wishes, verify them him/herself against the required standards.



### Chapter 3. The dissertation

#### Article 13. Nature, content and scope of the dissertation

1. The dissertation describes research conducted independently by the PhD candidate or research to which the candidate has made an essential contribution. The doctoral candidate is responsible for the dissertation as a scientific contribution. The doctoral candidate has primary responsibility for ensuring that the dissertation does not contain any form of plagiarism and that it in every other respect meets the applicable code of conduct on academic practice.
2. The dissertation consists of either a scientific treatise on a specific subject in book form, or a collection of separate scientific treatises that have already been published, or have been accepted by the editors of the relevant journal, or have been submitted to the editors. The dissertation may also consist of a combination of both options, provided that they are related in terms of content. In this case, the relationship should be explained in an introductory chapter and/or a concluding summary.
3. If one or more articles have been written by more than one author, only those articles are accepted as part of the dissertation that can be ascribed primarily to the PhD candidate.
4. If previously published articles are incorporated into the dissertation, the period of time between the publication of these articles and the completion of the manuscript may not exceed five years. The Dean, acting on behalf of the Doctorate Board, may grant an exemption from this requirement in response to a motivated request by the supervisor.
5. In the case of a dissertation in the form of a combination of scientific treatises as referred to in this chapter, article 16, paragraph 4, applies to each treatise separately.
6. In the case of a dissertation in the Arts, the PhD candidate produces, in addition to completing a dissertation, artistic work of a high quality – in the form of concerts, exhibitions, performances, master classes and demonstrations.
7. In principle, the dissertation should not exceed 100,000 words. On behalf of the Doctorate Board, the Dean may allow this limit to be exceeded at the written request of the supervisor.

#### Article 14. Dissertation by more than one author

1. In the case of joint research by two or more PhD candidates, the results of the research may lead to a joint dissertation, provided that the following conditions are met:
  - a. Each of the authors has made an independent, demarcated contribution that is considered sufficient for obtaining a PhD degree;



- b. Each of the authors bears separate responsibility, both for a designated part of the dissertation, and for the coherence of the whole dissertation;
  - c. An indication is given in the dissertation of the role each of the authors has played in the realisation of the dissertation;
  - d. Each of the authors adds the required number of propositions to the dissertation.
2. If a dissertation is written jointly, the foreword or table of contents should clearly state the role each candidate has played in the realisation of the dissertation and for which particular parts of the dissertation he/she bears specific responsibility.
  3. In the case of a joint dissertation, the procedures and rules of these regulations apply to each candidate separately.
  4. The number of candidates bearing responsibility for a jointly written dissertation may not exceed three.

#### **Article 15. Dutch or other languages**

1. The dissertation and the accompanying propositions are written either in Dutch or in English, or, with the permission of the Doctorate Board, in another language.
2. As a rule, the dissertation contains summaries in Dutch and English.

If the dissertation is written in Dutch, a translation of the title and a summary of the contents in English should be included. If the dissertation is written in English, a translation of the title and a summary of the contents in Dutch should be included.

3. If, with the permission of the Doctorate Board, the dissertation is written in another language than Dutch or English, a translation of the title and a summary of the contents should be included in both Dutch and English.

#### **Article 16. Non-scientific component**

1. The dissertation contains a title page stating the given names and family name of the author as registered in the Civil Register, as well as his/her year of birth. It also contains an index and the necessary registers.
2. In all cases, the names of the supervisor, the co-supervisor and the members of the Doctorate Committee should appear on the reverse of the title page, together with their positions, and their relevant titles. If the committee members are not appointed at Leiden University, their affiliation should also be included.
3. The wording and formatting of the title page of the dissertation and its reverse are subject to approval by the beadle.



As soon as possible after the notification of the date of the doctoral defence, the candidate submits two copies of the title page to the beadle, requesting his/her approval. He/she will not further duplicate the title page until this approval has been granted.

4. If required, the institution that has financially supported or facilitated the realisation of the dissertation may be mentioned at the foot of the page referred to in paragraph 2. If such an acknowledgement is made, this must exhibit the restraint customary for acknowledgements in international scientific literature.
5. With the restraint customary for acknowledgments in international scientific literature, those persons may be thanked who have been involved in some way in the assessment of the dissertation, by mentioning them in the opening or closing sections of the dissertation. The style of the opening or closing section matches the tone of the defence and consists of no more than 400 words.
6. A brief curriculum vitae of the author is included at the end of the dissertation. This curriculum vitae should specify the following:
  - a. Date of birth
  - b. Place of birth
  - c. The period during which the candidate followed his/her pre-university education or its equivalent and the relevant institution
  - d. Any qualifications pertaining to the diplomas obtained
  - e. Details of professional activities following the completion of the candidate's academic education, and
  - f. If appropriate, the institute at which the PhD research was conducted.
7. The dissertation, including the non-scientific component, may not contain any form of publicity.

#### **Article 17. Publication of the dissertation**

1. The manuscript of the dissertation is printed or, if its nature does not allow this, duplicated by other means.
2. The PhD candidate is only allowed to duplicate the dissertation once the Doctorate Committee has decided that he/she is allowed to defend it and it has been established under Article 22 that the candidate has been admitted to the defence.
3. The manuscript is printed in a convenient format and submitted as a single volume, unless the material requires an alternative presentation, in which case this will to be determined by the Dean.



4. If a dissertation is written jointly it may, subject to the approval of the Doctorate Board, be produced as a single volume, provided that each of the authors meets the required standards.
5. The non-scientific component of the dissertation and the propositions may only be duplicated once the Dean has given his/her approval.
6. The supervisor is responsible for ensuring that the Dean receives the non-scientific component of the dissertation and the propositions in good time.

#### **Article 18. Distribution of printed copies and digital version of the dissertation**

1. At least three weeks before the date of the defence, the doctoral candidate submits ten copies of the dissertation and the propositions to the beadle's office and the number of copies determined by the Dean to the Dean. The candidate is also responsible for distributing copies of the dissertation to the members of the Opposition Committee as referred to in Article 24. In addition, the candidate delivers five copies to the University Library. He/she also submits the dissertation in digital form to the University Library, in the format specified by the librarian, for the benefit of the Institutional Repository (IR) of the University.
2. A copy of the dissertation and the propositions is deposited at the beadle's office for public inspection for a period of at least two weeks before the defence.
3. At least three weeks before the date of the defence, the PhD candidate licenses the University for non-exclusive publication in digital form, if necessary with a temporary embargo. To grant this licence, the PhD candidate is obliged to sign the standard licensing agreement as drawn up by the Executive Board (*College van Bestuur*) (appendix 4). This agreement includes a fee for the PhD candidate. The duration of the potential embargo referred to in the first sentence of this paragraph will be determined by mutual consent between the candidate and the University. If no agreement is reached regarding the duration of the temporary embargo, the matter will be decided in all reasonableness by the Doctorate Board.

### **Chapter 4. The Doctorate Committee**

#### **Article 19. Appointment of the Doctorate Committee**

1. Within three weeks after receiving the supervisor's approval of the manuscript as a dissertation, as referred to in Article 10, and the announcement regarding the propositions as referred to in Article 12, the Dean, on behalf of the Doctorate Board and at the request of the supervisor, appoints a Doctorate Committee in line with the procedure established by the Doctorate Board (appendix 5b).



2. The request referred to in paragraph 1 is accompanied by a proposal by the supervisor regarding the composition of the Doctorate Committee (appendix 5a). Prior to submitting this proposal, the supervisor ascertains that the persons involved are prepared to act as members of the Doctorate Committee. In his/her proposal, the supervisor indicates the extent to which the proposed members have been involved in the research and/or the realisation of the dissertation. Where appropriate the supervisor includes a list of publications of the envisaged members. This list will indicate the order of the authors.
3. The supervisor is responsible for ensuring that the candidate distributes copies of the dissertation to the members of the Committee as soon as it is appointed.

#### **Article 20. Composition of the Doctorate Committee**

1. The Dean acts as both chairman and member of the Doctorate Committee. The Dean may appoint a professor as his/her substitute, and will do so in those cases where he/she acts as supervisor. In addition to the chairman, the Committee includes at least three other members. One of these members, a professor from the Faculty, is appointed by the Dean as the Secretary of the Committee.
2. The other members referred to in the first paragraph may be professors whose *ius promovendi* has not yet expired at the time of the defence, or other members of the academic staff with a doctorate degree affiliated to a Dutch or foreign institute for academic research or education. In the case of a dissertation in the Arts, key experts in the field who do not hold a doctoral degree may also be appointed members.
3. The other members of the committee will in any event be experts in the subject of the dissertation or in an aspect of the subject. The majority of the members of the committee will be professors. At least two members of the committee should not be involved in the practical realisation of the dissertation and at least two members of the committee should not be appointed at the Faculty. As a rule, the committee will include at least one male and at least one female member.
4. The supervisor and co-supervisor are not a part of the doctorate committee. Nor may the following persons be appointed members of the committee: the partner of the PhD candidate, a blood relative or first or second-degree relative of the candidate, or other persons whose relationship to the candidate precludes them from assessing the candidate. The following persons may also not be appointed members of the committee: the supervisor or co-supervisor, the partner of the supervisor or co-supervisor, a blood relative or first or second-degree relative of the supervisor or co-supervisor or other persons whose relationship to the supervisor or co-supervisor precludes them from assessing the dissertation.



5. The Chairman may convene a meeting of the Doctorate Committee, either on his/her own initiative or on request.

#### **Article 21. Decision of the Doctorate Committee**

1. Having received a reasoned request, the supervisor gives the members of the Committee access to the (empirical) data on which the research is based. If the supervisor is of the opinion that there is a reason not to accede to this request, the Dean will make a decision on this.
2. Within six weeks of receiving the dissertation, each of the members responds in writing to the Secretary regarding the question of whether the doctoral candidate has provided sufficient evidence in his/her dissertation of competence in conducting independent scientific research to be allowed to defend his/her dissertation. In the case of a dissertation in the Arts, the Doctorate Committee is also responsible for assessing the competence of the PhD candidate in his/her development as a research-oriented artist. The assessment of the dissertation will be substantiated with reference to the criteria listed in Article 10, second paragraph, of the present regulations. The members of the Doctorate Committee may make suggestions for modifications to the dissertation.
3. The Secretary collects the assessments and suggestions of each of the members of the Committee and forwards them, once each member has given his/her assessment, to the Chairman and the other members of the Committee.
4. Within a week of receiving these assessments and suggestions, a member may, through the intermediary of the Secretary, request the Chairman to call a meeting of the Doctorate Committee. The Chairman may also decide to call a meeting on his/her own initiative. If a meeting has been requested, the Chairman will convene a meeting as soon as possible, and preside over this meeting him/herself. The supervisor(s) and co-supervisor(s) also attend this meeting.
5. If no such meeting takes place, the Secretary informs the supervisor in writing of the individual assessments and suggestions.
6. The supervisor may advise the PhD candidate on whether to adopt the suggestions of the Committee members. Following a consultation with the doctoral candidate, the supervisor informs the Chairman and the other members of the Committee, through the intermediary of the Secretary, of the extent to which the suggestions in question will be adopted. If the dissertation is substantially revised, the revised version is then submitted to the Committee.
7. The decision of the Committee to allow the candidate to defend his/her dissertation is reached by a majority of votes. In the case of a tie, the candidate is deemed to have been refused for the defence of his/her dissertation.



8. The Secretary informs the PhD candidate, in accordance with the procedure established by the Doctorate Board (appendix 5c), immediately and in writing of the decision of the Committee to allow or refuse to allow the candidate to defend his/her dissertation. Copies are sent to the supervisor and the Dean. In the case of a refusal, the reasons for the decision are stated.
9. If at any point in the assessment of the dissertation by the Doctorate Committee it becomes apparent that the dissertation exhibits signs of plagiarism or any other form of scientific fraud, the Doctorate Board may decide, at the request of the Dean, to halt the procedure. In this context, the Doctorate Board may seek the advice, through the intermediary of the Executive Board, of the Academic Integrity Committee of Leiden University of the Academic Integrity Committee of LUMC, as appropriate.

## Chapter 5. The defence

### Article 22. Decision regarding approval for public defence

1. As soon as possible after receipt of a copy of the Doctorate Committee's decision that the candidate may be allowed to defend his/her dissertation, the Dean determines on behalf of the Doctorate Board whether the candidate is allowed to defend his/her dissertation, in conformity with the requirements of Article 3. The Dean communicates his/her findings immediately to the PhD candidate, the supervisor, the beadle and the Doctorate Board, in accordance with the procedure established by the Doctorate Board (appendix 6).
2. In the case of a dissertation in the Arts, the Dean determines on behalf of the Doctorate Board whether in accordance with Article 3, the PhD candidate can provisionally be allowed to defend his/her dissertation on the basis of the assessment by the supervisor as referred to in Article 10, paragraph 5. The Dean communicates his/her findings immediately to the doctoral candidate, the supervisor, the beadle and the Doctorate Board, in accordance with the procedure established by the Doctorate Board (appendix 3a). If the Doctorate Committee later decides that that candidate is not allowed to defend his/her dissertation, the provisional decision to grant the candidate a defence will be reversed.
3. The doctoral candidate applies to the beadle for the defence of his/her dissertation, in accordance with the procedure established by the Doctorate Board (appendix 7).



#### Article 23. Date and time of the defence

1. The date and time of the defence are determined by the Rector Magnificus or on his/her behalf by the beadle, following consultation with the supervisor, the doctoral candidate and the Dean. This date and time will not be determined until it has been decided, under Article 22, first paragraph, that the doctoral candidate is indeed allowed to defend his/her dissertation. The preferences of the candidate with regard to dates are taken into account as far as possible.
2. If a dissertation is written jointly, each of the authors defends the dissertation separately, if possible on the same day at consecutive times.
3. In consultation with the Rector Magnificus, the beadle is responsible for informing the Leiden University community of the forthcoming defence.

#### Article 24. Opposition Committee

1. The defence takes place in the presence of the Opposition Committee, unless the Doctorate Board has decided that it is to take place in the presence of the Doctorate Board itself. In that case, the following provisions of this chapter, as well as those of Chapter 6, apply accordingly as far as possible.
2. The Rector Magnificus is both Chairman and member of the Opposition Committee. He/she may appoint as his/her substitute a former Rector, a Dean or former Dean of one of the faculties, or any other professor appointed by the Doctorate Board, provided this person has *ius promovendi*.
3. The Dean is both Secretary and member of the Committee. He/she may appoint as his/her substitute another professor from the Faculty.
4. Apart from the Chairman, the Opposition Committee consists of at least four members. It comprises, in addition to the Chairman, the members of the Doctorate Committee present at the defence, and also professors or experts holding a doctorate degree, or in the case of a dissertation in the Arts, key experts who do not hold a doctorate degree. The majority of the members of the Committee should be professors. In addition, the majority of the Committee members should be appointed at Leiden University. As a rule, the Committee includes at least one male and one female member.
5. The supervisor and co-supervisor are not part of the Opposition Committee. Nor may the following persons be appointed members of the Opposition Committee: the partner of the PhD candidate, a blood relative or first or second-degree relative of the candidate, or other persons whose relationship to the candidate precludes them from assessing the candidate.



The following persons may also not be appointed as members of the Committee: the partner of the supervisor, a blood relative or first or second-degree relative of the supervisor, or other persons whose relationship to the supervisor precludes them from assessing the candidate.

6. On behalf of the Doctorate Board, the Dean determines the composition of the Opposition Committee, on the basis of the proposal submitted by the supervisor (appendix 8a), and subject to the requirements set out above, and communicates this in writing to the PhD candidate, the supervisor and the beadle. The form included in appendix 8b is used to this effect.

### Article 25. Opposition and defence

1. Before the start of the defence, the chairman determines the sequence and length of time of the objections.
2. The supervisor is responsible for ensuring that a sufficient number of members of the Opposition Committee have indicated their willingness to voice objections. All members of the Opposition Committee have the right to voice objections. The supervisor also has the right to voice objections: he is given the opportunity to do so at the start or at the conclusion of the defence, according to his/her preference.
3. Persons who are not members of the Opposition Committee may also voice objections, through the intermediary of the supervisor and with the approval of the Rector Magnificus. In order to qualify for this, the person in question must hold a doctorate degree and be an expert in the subject of the dissertation. In exceptional cases, with the permission of the Doctorate Board, persons who do not hold a doctorate degree but who do have key expertise in the subject area of the dissertation may also be allowed to raise objections. A request to this end should be submitted to the Doctorate Board no later than four weeks before the defence.
4. After his/her opening words, the Chairman invites the opponents to voice their objections, as far as possible in the designated order.
5. Both the raising of objections and the defence take place *ex tempore*, preferably in Dutch and/or in English, and with the possible support of written notes and/or quotations. If another language is used, this fact is communicated to the Dean, who in turn immediately notifies the Doctorate Board. The Doctorate Board then ensures that a sufficient number of the committee members present for the defence have a command of the language in question.
6. The Chairman ensures that the opposition does not take up a disproportionate share of the time allotted for the discussion.



7. The defence concludes one academic hour after it has started, unless the Chairman decides otherwise. The end of the defence is announced by the beadle with the words 'Hora est'.
8. In the case of a dissertation in the Arts, the supervisor ensures that prior to the public defence the Opposition Committee has examined the candidate's artistic performance, as referred to in Article 13, paragraph 6, in the presence of the candidate. In the course of this examination, the supervisor ensures that there is an opportunity for a discussion to take place between the Opposition Committee and the candidate.

#### **Article 26. Decision on awarding the doctorate**

1. The Opposition Committee withdraws to consider the defence in a closed meeting.
2. The Chairman invites the supervisor to report on the academic performance of the PhD candidate, in order to make an assessment of the dissertation and its defence and to make a proposal regarding the awarding of the doctorate. In the case of a dissertation in the Arts, the supervisor also makes an assessment of the candidate's artistic performance. If required, the members of the Opposition Committee may also make a contribution.
3. The Opposition Committee, on behalf of the Doctorate Board, decides on the award of the doctorate, taking into account the decision of the Doctorate Committee and the candidate's defence of his/her dissertation. If necessary, this decision is taken by means of a vote among the members of the Opposition Committee. The supervisor(s) and co-supervisor(s) are not able to vote. If such a vote takes place, the Secretary records its progress. In the event of a tie, the decision whether to award the doctorate rests with the Doctorate Board.
4. If the doctorate is awarded, the certificate, drawn up in Latin, is signed, together with its English translation, by the Chairman and the Secretary of the Committee, as well as by the supervisor(s) and co-supervisor(s), in the presence of the Opposition Committee. The form and contents of the certificate are described in appendix 10; the name of the candidate is in accordance with the information recorded in the Civil Register or comparable sources. The addition of the predicate referred to in Article 29 shall be specified on the diploma.

#### **Article 27. Reopening of the meeting and awarding of the doctorate**

1. After the adjournment, the Opposition Committee returns and the Chairman reopens the meeting.
2. The Chairman announces the results of the deliberation. If the doctorate to be awarded merits the predicate 'Cum laude' ('with distinction'), the chairman makes an announcement to this effect.



3. If the Committee has decided to grant the doctorate, the Chairman requests the supervisor to award the candidate his/her new honours, and the supervisor carries out this task. If there is more than one appointed supervisor, this task is carried out by a supervisor appointed at the Faculty.
4. As proof of the conferral of the doctorate, the newly appointed Doctor is presented with the diploma referred to in Article 26, paragraph 4.
5. The supervisor, or, with the approval of the Chairman of the Committee another member of the Committee, addresses the graduate as Doctor, and reminds him of the responsibilities to science and society inherent in his/her newly acquired title. He/she then gives an assessment of the dissertation and, if required, the academic achievements of the graduate. He/she may add a personal message of a few words.
6. Finally, the Chairman congratulates the PhD graduate on behalf of the University community and concludes the ceremony.
7. If the decision is made not to award the doctorate, or if there is a tie in the votes, the Chairman informs the candidate accordingly and indicates that the Doctorate Board is responsible for the final decision regarding the award of the doctorate.

#### **Article 28. Withdrawal of the doctorate due to academic fraud**

If at any point after the award of the doctorate, it becomes apparent that the dissertation exhibits signs of plagiarism or another form of academic fraud, the Doctorate Board may, on behalf of the Dean, decide to withdraw the doctorate. In this context, the Doctorate Board may seek the advice, through the intermediary of the Executive Board, of the Academic Integrity Committee of Leiden University or the Academic Integrity Committee of LUMC, as appropriate.

#### **Chapter 6. The award of a doctorate ‘cum laude’**

##### **Article 29. The award of a doctorate ‘cum laude’**

1. If the PhD candidate has demonstrated exceptional abilities in his/her dissertation, the doctorate can be awarded the predicate of ‘cum laude’ (with distinction). As a rule, this predicate is only awarded if the dissertation can be considered, in view of the criteria listed in Article 10, second paragraph, of these regulations, to be among the top 5% of the dissertations in the relevant field of study. The procedure for awarding this predicate must be initiated no later than ten weeks before the date of the defence of the dissertation (appendix 9).



2. The award of a doctorate with the 'cum laude' predicate is based on the proposal of the supervisor or of one of the members of the Doctorate Committee, in which case the proposal requires the approval of the supervisor. The Doctorate Committee discusses the proposal. The decision to award the predicate 'cum laude' can only be taken unanimously. Each of the members informs the Dean, through the intermediary of the secretary, of his/her individual, motivated assessment of the proposal. The Dean informs the supervisor of the results of the deliberation.
3. Following a positive decision by the Doctorate Committee, the Dean, in consultation with, where appropriate, the Academic Director of the relevant Institute, asks two internationally renowned experts in the field to assess the dissertation anonymously. The 'cum laude' predicate is only awarded if both of these referees are of the opinion that the dissertation is among the top 5% in its field of research.
4. If the expert's decision is positive, the Dean seeks the advice, in confidence, of the faculty professors. If this consultation results in serious objections, the Dean acts accordingly.
5. If all the conditions have been met, the Dean informs the supervisor, the secretary of the Doctorate Committee, and the beadle, no later than three weeks before the defence date, that he or she proposes that the Opposition Committee awards the 'cum laude' predicate. The secretary of the Doctorate Committee then informs the members of the Opposition Committee of this proposal.
6. The decision regarding the proposal to award a doctorate with the 'cum laude' predicate is made during the private part of the defence ceremony, as referred to in Article 26. The Chairman ascertains that the regulations have been complied with. The decision is preferably taken unanimously, but in any event with a majority of votes. In the case of a tie, no 'cum laude' predicate is awarded. The secretary records the proceedings of the vote.

## **Chapter 7. The honorary doctorate**

### **Article 30. The honorary doctorate**

1. The Doctorate Board is entitled to confer an honorary doctorate on Dutch or foreign persons in recognition of outstanding services, at the proposal of the Faculty Board and having consulted the Executive Board.
2. The conferral of the honorary doctorate is made with due regard to the following stipulations. Articles 2 to 4, 6 to 28, 36 and 37 are not applicable.



### **Article 31. Grounds for conferring the honorary doctorate**

The honorary doctorate can be conferred:

- a. On persons who have conducted research that has been demonstrated to be of exceptional significance for the University or for science in general;
- b. On persons who have carried out activities in the academic, cultural or social sphere that have advanced academic teaching and research in an exceptional manner;
- c. In highly exceptional cases and only at the proposal of the Rector Magnificus, on persons who through their work have made an exceptional contribution to upholding the motto of the University: 'Praesidium Libertatis'.

### **Article 32. Proposal by the Faculty Board**

1. The Board of the most relevant faculty, having consulted the faculty Research Committee, may decide to propose the conferral of an honorary doctorate to the Doctorate Board. This decision is based on a well-motivated proposal addressed to the Faculty Board that contains information regarding the demonstrable scientific relationship between the submitter(s) of the proposal and the proposed candidate, and if possible a suggestion for the appointment of a honorary supervisor.
2. This proposal is addressed confidentially and in writing to the Rector Magnificus in his/her function as Chairman of the Doctorate Board and includes a motivated argument indicating why the University should confer this honorary doctorate, as well as the proposal referred to in paragraph 1.

### **Article 33. Consideration by the Executive Board**

1. If the Doctorate Board intends to adopt the proposal, the Board submits the proposal to the Executive Board for consideration.
2. Having received the response from the Executive Board, the Doctorate Board takes a decision regarding the conferral of the honorary doctorate.

### **Article 34. Decision to confer the honorary doctorate**

1. If the Doctorate Board resolves to confer the honorary doctorate, the Board also appoints one of the University's professors as honorary supervisor.
2. The decision is communicated confidentially and in advance to the candidate, the honorary supervisor and the Board of the relevant faculty.
3. The decision is not made public until the candidate has confirmed his/her intention to accept the honorary doctorate.



### **Article 35. Conferral of the honorary doctorate**

1. The conferral of the honorary doctorate takes place in the course of a public doctoral ceremony. The Rector Magnificus issues invitations to the ceremony on behalf of the Doctorate Board.
2. The Rector Magnificus introduces the award ceremony and asks the honorary supervisor to confer the award on the candidate, which task the honorary supervisor proceeds to do with an address expressing praise and esteem.
3. The honorary doctor is then invited to speak. If more than one honorary doctorate is conferred during a ceremony, the Rector Magnificus may agree that one honorary doctor speaks on behalf of all the honorary doctors.
3. As evidence of the newly conferred honour, the honorary doctor receives a gown and a certificate in Latin, signed by the Rector Magnificus and the Dean of the relevant faculty, and by the honorary supervisor.
4. The Rector Magnificus then brings the ceremony to a close.

## **Chapter 8. Disputes procedure**

### **Article 36. Mediation by the Dean**

1. If a dispute arises with respect to a decision taken by or on behalf of the Doctorate Board in accordance with these regulations, with the exception of Article 37, the party concerned may appeal to the Doctorate Board in the form of a letter of objection.
2. If the dispute relates to a decision taken in accordance with these regulations but not by or on behalf of the Doctorate Board, the party concerned may appeal to the Doctorate Board in the form of a letter of appeal.
3. The letter of objection or appeal should be submitted within six weeks of the date on which the party concerned was informed of the decision in question.
4. The letter of appeal referred to in paragraph 2 is submitted to the Board through the intermediary of the Dean who acts as mediator in the dispute. The Dean in any event hears each of the parties involved in the dispute. If this mediation does not result in a settlement within a reasonable period of time, the Dean forwards the letter of appeal to the Doctorate Board.



### **Article 37. Decision of the Doctorate Board**

1. Before reaching a decision regarding the appeal or objection, the Board gives the parties involved in the dispute, as well as the Dean, the opportunity to present their case in person.
2. The Doctorate Board may rely on the advice of a committee set up by the Board for this purpose. In this case, the committee in question is responsible for presiding over the hearing referred to in the first paragraph.
3. The decision of the Doctorate Board is communicated immediately in writing to all parties concerned.

## **Chapter 9. Transitional and final stipulations**

### **Article 38. Interpretation**

In the event of a difference of opinion as to the interpretation of one or more articles in these regulations and of any eventualities for which these regulations do not provide, the final decision rests with the Doctorate Board.

### **Article 39. Official title**

These regulations may be referred to as the Leiden University PhD Regulations 2015.

### **Article 40. Effective date**

These regulations take effect on 8 February 2015. Article 6.6 is applicable to all those instances where the supervisor is appointed after 8 February 2015.

### **Article 41. Withdrawal of previous regulations**

1. The Leiden University PhD Regulations 2008 have been withdrawn. However, the provisions of the Leiden University PhD Regulations 2008 will continue to apply to those dissertations for which a Doctorate Committee had already been established prior to the entry into force of the present regulations.
2. The Doctorate Board may in special cases decide that the stipulations of the Leiden University Doctorate Regulations 2008 may continue to apply to dissertations defended later than 8 February 2015.



The Leiden University Doctorate Regulations were adopted on 18 December 2014 by the Doctorate Board of this university, in accordance with Article 7.19 of the Higher Education and Academic Research Act.