

**Faculty of Humanities
University of Amsterdam**

Regulations for PhD candidates¹

*Established on 7 July 2008
As amended in 2011, 2015, 2018*

¹Disclaimer: in case of discrepancies between the English and Dutch version, the original Dutch version shall prevail.

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1. INTRODUCTION

The regulations as given in this document in principle apply to all types of PhD candidates within the Faculty of Humanities. Although there are different types of PhD candidates (directly funded, externally funded, self-funded), the Faculty of Humanities holds the philosophy that there should be as little as possible to distinguish between these different types. Still, there are differences, especially from employment law perspective. Therefore it will be emphasised in this document when different rules apply to different types of candidates.

As of 1 September 2018 the default contract for PhD candidates (both directly funded by the Faculty of Humanities and externally funded projects) is a full-time appointment for 4 years.² Within the appointment a 0.2 FTE teaching option is included in the second and third year.³

This amended version of the Regulations for PhD candidates covers the following aspects: the PhD candidate's position within the organisation, the Training and Supervision plan (*Opleidings- en begeleidingsplan: OBP*), progress reports and assessment, completion, extension, facilities available for PhD candidates, participation in decision-making, and dispute settlement. A model for the Training and Supervision plan is included as an attachment, as well as an overview of the duties and responsibilities of the Graduate School for Humanities director, the research school director, the Faculty research director, the principle supervisor of the PhD candidate, the PhD candidate, the Department chair, the personnel advisors -(HRM) and the officer for Academic Affairs .

² With the exception of PhD candidates who are part of a three year, EU funded project.

³ For PhD projects with a starting date prior to 1 September 2018 the 2015 regulations apply.

2. PHD CANDIDATE'S POSITION IN THE ORGANISATION

Recruitment and selection of directly funded PhD candidates

The recruitment of candidates typically takes place through advertisements of the vacancy in the (national) written media, through advertisements on the website of the University of Amsterdam and through relevant email discussion lists. The candidate should apply with a research proposal that fits the program of the research school. Guidelines for writing a research proposal are made available by The Amsterdam Institute for Humanities Research (AIHR).

The overall selection process is carried out in close consultation with the research schools, under the final responsibility of the Faculty research director or the director of the interfaculty research institute ILLC.

The selection committee prepares a nomination and ascertains the project's feasibility and the willingness of a professor to act as supervisor. In case of a procedure at the level of the research school, the research school director proposes the nomination to the Faculty research director for further assessment. The Faculty research director will then put the nomination (including the CV of the candidate) forward via the head of the research department, to the HRM department of the Faculty Office for completion of the appointment procedure. The appointment decision will be signed by the Dean.

The selection committee should have a balanced composition, preferably with equal numbers of male and female members, but at least 30% men or women. Also, the selection committee must always include a PhD candidate.

Note that the Faculty of Humanities focusses on attracting excellent candidates - regardless of where they obtained their (research) master's or equivalent qualification. If no such candidates are available, the PhD position will remain vacant.

Recruitment and selection of externally funded PhD candidates

In case of externally funded projects that include PhD positions (NWO and EU), an advertisement will be written on the basis of the application and the description of the project proposal. Analogous to directly funded PhD candidates, the recruitment of candidates typically takes place through advertisements of the vacancy in the (national) written media, through advertisements on the website of the University of Amsterdam and through relevant email discussion lists. The selection must be made through an open recruitment, in which both the research school and the department are involved.

Open recruitment is also preferred in the case of Matching PhD candidates (*Matchingspromovendi*), for whom an external organisation covers part of the costs.

Selection of self-funded PhD candidates

Self-funded PhD candidates can approach the research school directly with a research

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proposal related to the research school's objectives, a letter of recommendation from the supervisor ('promotor'), and a CV. The research school director assesses the quality and feasibility of the proposal and accepts or rejects the proposal.

Self-funded PhD candidates who are close to completion might be eligible for a finishing fellowship that the Faculty of Humanities intends to offer annually. These fellowships are reserved for registered self-funded PhD candidates who did not previously receive funding for their PhD project.

Appointment

The appointment (in the case of directly or externally funded PhD candidates) is based on the current Collective Labour Agreement (CAO) 2015 for Dutch Universities, initially for a period of sixteen months, assuming an employment of 38 hours per week.

The HRM Department notifies both the research school director and the research department when employment contracts end. At the very start of the appointment, the HRM Department refers the PhD candidates to the Academic Affairs officer to ensure their registration with the Doctorate Board of the University (see Doctorate Regulations of the University of Amsterdam 2014 article 7-9).

PhD candidates are subject to salary grades P0, P1, P2 and P3 (see CAO). On inception of the employment contract, the PhD candidate is placed in the first salary grade P0 for a period of 12 months. No later than five months before the expiration of the contract an assessment will take place (see section 4 in this document on Progress reports and assessment). At the end of this period a go/no-go decision will be made. If positive, the appointment will be extended for another two years and eight months. The PhD candidate will be upgraded from grade P0 to grade P1 in the second year of appointment, to P2 in the third year, and to P3 in the fourth year. For an appointment of a different size than 38 hours per week for four years, the periods shall be adjusted accordingly.

As part of the full-time appointment funded PhD candidates have the possibility to work as a lecturer during the second or third year of the appointment.

The PhD candidate is (as a rule) a member of same the research school as their supervisors. The research school director is responsible for drawing up the Training and Supervision Plan (OBP) and arranging fitting supervision, as described in the Doctorate Regulations of the University of Amsterdam (2014). Furthermore, the director is responsible for the monitoring of the progress of the PhD project and intervention in case of problems. The Graduate School director is responsible for the PhD training programme.

The PhD candidate is (as a rule) appointed a staff position in the department of the principal supervisor. The department chair is responsible for providing a suitable workplace and infrastructure (equipment, computer, etc.).

3. THE TRAINING AND SUPERVISION PLAN (OBP)

The Training and Supervision Plan (*Opleidings- en begeleidingsplan*, OBP) refers to the individual plan that each PhD candidate has to draw up at the start of appointment. It includes the prospective training programme and the arrangements for supervision. The OBP must be completed within a month after the start of the appointment. For a model, please see Appendix 1.

The OBP will be drawn up by the PhD candidate in consultation with the (principal) supervisor based on the research proposal of the PhD candidate or the previously defined research project. The OBP needs to be signed by the PhD candidate, the principal supervisor, and the research school director, and must be approved by the Graduate School director, who has final responsibility. Prior to signing the OBP, the official admission to the doctoral programme will be checked. The Graduate School puts forward the name of the candidate to the relevant national research school and will keep a portfolio with the courses attended by the candidate.

Training

The OBP states the Graduate School skills training courses and the subject specific courses of the national research school the PhD candidate is going to attend. The PhD candidate selects a national research school in consultation with their supervisors. Any possible exemptions from compulsory courses are the responsibility of the Graduate School.

Management and executive tasks do not form part of the duties of the PhD candidate, except for the possible membership of the advisory council of the research school, the Faculty Works Council, the PhD council, or the Graduate Studies Committee.

Supervision of directly and externally funded PhDs

The arrangements regarding supervision formulated by the principle supervisor and the PhD candidate must also be included in the OBP. The daily supervisor should meet with the PhD candidate at least once every 6 weeks to discuss the progress of the candidate's research.

Supervision of self-funded PhD candidates

In case of self-funded PhD candidates, the OBP can be adjusted to fit the specific situation of the candidate (who often holds an additional employment position besides the doctoral research). The wishes with regard to the training programme need to be determined separately for every individual self-funded PhD candidate. The Graduate School offers free training to self-funded PhD candidates, as do most national research schools.

4. PROGRESS REPORTS AND ASSESSMENT

Frequent contact - at least once every 6 weeks - between the PhD candidate and the supervisor(s) is required. Self-funded PhD candidates can, depending on the time they spend on their doctoral research, agree to another frequency of contact as long as the principal supervisor and candidate meet regularly.

At the end of the ninth month¹² of their appointment, the directly and externally funded PhD candidates¹³ should submit a progress report (*voortgangsrapportage*) in the form of a pilot study of their doctoral research to the supervisor(s) and the research school director (or the authorised representative). The pilot study should fit within the overall doctoral research and should be a useful exercise for the PhD candidate; it may consist of for instance the first chapter of the dissertation, an article based on the doctoral research, a case study, or the theoretical background.

Five months prior to the end of the contract the assessment procedure is started. The PhD candidate is asked to submit their pilot study to the research school director, the supervisors and one external reader, who is chosen in consultation with the supervisors. The research school organises a meeting with the PhD candidate and the supervisors to discuss the quality of the pilot study. If the research school director after consultation of the supervisors and the external reader and on the basis of the meeting deems the pilot study satisfactory, the appointment will be extended with two years and eight months.

If the director decides the pilot study is not up to standard, the PhD candidate will be given 4 weeks to revise the pilot study. After those 4 weeks another meeting is organised and the revised pilot is evaluated again. If the pilot is deemed satisfactory the contract will be extended. If the pilot is still not up to standard the PhD candidate will receive a written assessment report to which he or she can respond during another meeting. If the meeting does not change the director's decision, the contract will be terminated. The PhD candidate will be informed about this in writing at least 1 month before the end of the contract.

At least once a year the the research school director organises an evaluation meeting with the PhD candidate and the supervisors. The following topics should be discussed on the basis of an evaluation form which is submitted before the meeting: the progress of the dissertation project, possible publications by the PhD candidate, conference presentations, research visits, teaching experience and/or experience with organising academic meetings, participation in the training programmes and the evaluation of the supervision.

The research school director writes a report on this meeting which will be archived and submitted to the HRM department after being signed and approved by the PhD candidate and the supervisors.

Self-funded PhD candidates

After the first year, there is also an assessment of the progress of self-funded PhD candidates by their supervisors. If the supervisors are satisfied with the progress, the affiliation of the PhD candidate will be extended with 3 years. In the following years they will be annually requested to report on the progress of their work to the research school.

5. COMPLETION

The doctoral program will be concluded with a public defense of the dissertation, chaired by the Dean of the Faculty or their replacement. PhD candidates who pass this academic exam are deemed capable of completing academic work independently. The guidelines and regulations of the Doctorate Regulations of the University of Amsterdam (2014) apply.

6. EXTENSION

The appointment duration of directly and externally funded PhD candidates are extended in case of pregnancy and parental leave. The appointment duration of directly and externally funded PhD candidates can be extended on grounds of (delay due to) illness. In the event of illness the delay must be substantial, only periods of at least eight consecutive weeks will be taken into account .

In assessing any claim for extension due to illness, the feasibility of completing the dissertation within the duration of the extension period will be a determining factor. After being notified by the HRM Department about the possibility of extension, the research school director will draw up this assessment in consultation with the PhD candidate and the supervisor(s), no later than one month prior to the end date of the appointment. Subsequently, the HRM department, via the Research department, will examine if the request for extension is in accordance with the CAO. The director of AIHR makes the final decision.

7. FACILITIES

The PhD candidate will be informed by the HRM department about the university and faculty regulations and facilities that apply to the PhD candidate.

The PhD candidate can ask for reimbursement of the costs made in executing the research project, in accordance with the regulations of the research institute (AIHR). More information about the rules in force can be found on the faculty website and the website of AIHR. For NWO, EU, or third-party funded PhD candidates other arrangements may apply. Self-funded PhD candidates are entitled to a small research budget, library access, e-mail facilities, supervision, and they have access to the programs offered by the research school to which they belong and to the programme offered by the Graduate School of Humanities.

8. PARTICIPATION IN DECISION-MAKING

A PhD candidate is a member of a research school and can sit on the advisory council of the research school, or on the PhD council. The PhD council has an advisory role and brings that function into practice in a 6 weekly meeting with the Faculty research director and the head of the Research department (*hoofd onderzoek*). Additionally, one PhD candidate per research school participates in the Graduate Studies Committee of the Graduate School for Humanities. PhD candidates also have the right to vote and the right to stand as a candidate at elections for the Faculty Works Council (*Facultaire Ondernemingsraad*) and the Central Works Council (*Centrale Ondernemingsraad, COR*).

9. DISPUTE SETTLEMENT

If a conflict arises between the PhD candidate and one of the supervisors, the research school director should be informed by the PhD candidate. The same holds for complaints about educational and material facilities. If the complaints cannot be resolved satisfactorily by the parties, the conflict will be referred to the Faculty research director. If so desired, the candidate can contact one of the faculty's confidential advisors (<https://student.uva.nl/content/az/vertrouwenspersoon/gedragscode/gedragscode.html>) or the Central Complaints Committee of the UvA.

Next page: **Appendix 1 – The Training and Supervision plan**

PhD Training and Supervision Plan

PhD Candidate

Name:
E-mail address:
Title of project:
Start of contract:
End of contract:

Supervision

Name supervisor 1:
Name supervisor 2:

Division of tasks:

(In principle the supervisors have a meeting with the PhD candidate every six weeks. Please indicate if both supervisors are equally involved at all stages, or if one supervisor acts as daily supervisor and first reader, and the other as 'second reader', or if there is any other division of the work)

Pilot Study

Topic:

Submission date:
Date assessment:

PhD Thesis

Summary of the project (100 words):

Work plan:

(This work plan will be revised every year)

Chapters/Articles/Field work/etc.	Date of completion

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Training

(Please indicate which seminars/courses you want to take)

Training offered by the Graduate School of Humanities: see [link](#)

Training offered by Research School: see [link](#)

Training offered by the National Research School: choose a relevant school [here](#)
National Research School:

Signatures:

Date:

.....
Signature PhD Candidate

.....
Signature Supervisor 1

.....
Signature Supervisor 2

Confirmation:
Date:

.....
Signature Director Research School

.....
Signature Director Graduate School

Appendix 2 - Duties and responsibilities

1. The Graduate School for Humanities director

The Graduate School for Humanities director has the final responsibility for the educational part of the PhD program. The director is responsible for the organisation of skills training and manages the resources involved. They also monitor the quality of the training.

The following tasks are also part of the responsibility of the Graduate School for Humanities director or their authorised representative:

- To provide information about the relevant training possibilities within and outside the university;
- To organise the Skills training programme at the Graduate School of Humanities and ensure the participation of candidates in national research schools;
- To sign and approve the OBP (Training and Supervision Plan), for which the Graduate School director has the final responsibility;
- To ensure that it is reported which courses PhD candidates have taken, and to take care of the administrative procedures.

2. The Faculty Research Institute director (AIHR)

The director of AIHR oversees the correct functioning of the research schools regarding the selection, monitoring and evaluation of PhD candidates. Additionally they take decisions in those cases in which agreement cannot be reached at the level of research schools.

3. The research school director

The research school director takes the initiative to draw up the OBP and oversees its implementation. They also monitor the quality of the supervision of the PhD candidate. The evaluation of the supervisors falls within their responsibility.

The following tasks are also the responsibility of the research school director or their authorised representative:

- To report and administratively handle the progress monitoring and assessment interviews;
- To terminate a project in case of insufficient progress;
- To mediate in any disputes between candidate and supervisor / co-supervisor.

4. Principal supervisor

The supervisor should coach, assist, inspire and encourage the PhD candidate. The supervisor is expected to guide the PhD candidate towards the completion of the dissertation and to assist them to develop an academic profile.

Furthermore, the supervisor should focus on the following points:

- To draw up the OBP on time;
- To have regular meetings (at least once every 6 weeks) with the PhD candidate;
- To assess the quality of the pilot study.

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- To discuss the annual progress reports;
- To encourage the candidate to participate in conferences and other activities that focus on internationalisation;
- To assist the PhD candidate in outlining a future career path;
- To facilitate teaching opportunities, possibly leading to a BKO.
- To assist the candidate in publishing one or two peer reviewed articles, in addition to a timely completion of the dissertation;
- To provide all relevant information on progress and performance of the PhD candidate to the research school director.

5. *The PhD candidate*

The duties and responsibilities of the PhD candidate include:

- To meet the requirements of the Doctorate Regulations 2014 as to Admission to the doctoral programme and if necessary Exemption from the legal educational requirements;
- To conduct research;
- Together with the supervisors, to set up or adjust pt. 1 through 5 of the Training and Supervision plan (OBP);
- To prepare a dissertation plan;
- To report in writing about the progress of the doctoral research, for the assessment of the pilot study and the annual progress reports;
- To write and publicly defend the dissertation.

6. *Department*

The department chair (*afdelingsvoorzitter*) has the HRM mandate. Legally speaking, therefore, the PhD candidate belongs under their authority. Given the specific requirements of the functioning of the PhD candidates within the context of the research school, the Research department conducts the appointment and extension modalities and the department provides the standard facilities that are available to any staff. For more information, PhD candidates can contact the relevant Head of Operational Management (*Hoofd bedrijfsvoering*).

7. *The personnel advisers (P&O-adviseurs)*

The personnel advisers advise – if necessary in confidentiality – the AIHR director and the individual staff members in cases concerning appointments, salary grades, promotion, dismissal, and functioning of the PhD candidate.

8. *The officer for Academic Affairs*

The officer for Academic Affairs monitors the application of the Doctorate Regulations. This includes the procedures for Admission to the doctoral programme (and if necessary Exemption from the legal educational requirements) at the very start of the PhD project and the composition of the Doctorate Committee and the formal aspects of the manuscript towards the end of the project, as well as the check on plagiarism required by the Doctorate Regulations.