



# ***Charter for Doctoral Candidates***



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## **Preamble Validity of the regulations**

1. This Charter applies to all types of doctoral candidates at the University of Twente.
2. The Charter states when a particular regulation applies to a specific type of doctoral candidate.
3. The pronouns 'he/his' used in this Charter also refer to the female equivalent, 'she/her'.
4. Wherever this Charter speaks of 'doctoral thesis', this may also be read as 'technical design'
5. The Executive Board of the University of Twente adopts the Charter after having heard the Doctorate Board. The Doctorate Board may propose changes.
6. In case of any discrepancy between the Dutch text of the Charter and the English translation, the Dutch text will prevail.

## Chapter 1 Definitions of terms

### Article 1 Definitions of terms

The meaning of the terms used in this Charter is the same as the meaning of the terms used in the Dutch Higher Education and Research Act, the Collective Labour Agreement of Dutch Universities and the Doctoral Regulations of the University of Twente. The following terms have the following definitions:

- a. Act the Dutch Higher Education and Research Act (WHW),
- b. assessment interview interview for employees in which the thesis supervisor assesses the manner in which the doctoral candidate performed his duties and his conduct during the performance of these duties, in accordance with Article 6.7 of the collective labour agreement,
- c. evaluation interview interview for employees during which the thesis supervisor evaluates the manner in which the doctoral candidate performed his duties and his conduct during the performance of these duties and discusses this with the doctoral candidate,
- d. progress interview interview for non-employees during which the thesis supervisor discusses the progress of the doctoral process with the doctoral candidate,
- e. thesis co-supervisor senior lecturer or doctoral graduate, who has expertise in (part of) the subject described in the doctoral thesis/technical design and has been appointed by the Doctorate Board to assist the thesis supervisor at his request in supervising the doctoral candidate in his completion of the doctoral thesis/technical design.
- f. faculty dean dean of a faculty of the University of Twente,
- g. Graduate Board Board for overall policy on TGS, in particular the decentralized TGS clusters,
- h. Doctorate Board Board which acts on matters concerning the conferral of doctoral degrees (Art. 9.10 of the Dutch Higher Education and Research Act),
- i. Doctoral Regulations Doctoral Regulations of the University of Twente,
- j. EC European Credit, a credit which equals 28 hours of study, as provided in the Act,
- k. doctoral programme individual programme of a doctoral candidate consisting of a research project which may result in a doctoral thesis and an education programme of, in principle, 30 ECs, part of which may already have been included in a corresponding Master programme,
- l. HR Service Department Human Resources,
- m. doctoral candidate a person who has been admitted by the faculty dean to a doctoral programme and has an agreement with an (intended) thesis supervisor to conduct doctoral research, which may result in a doctoral degree. Before the thesis supervisor is formally appointed by the Doctorate Board, the term 'prospective' doctoral candidate is used,
- n. qualifier a meeting which serves to determine whether the research proposal is of a sufficient level and whether it is likely that the prospective doctoral candidate will complete his doctoral project within the remaining period.
- o. thesis supervisor a professor, associated with a University, who has been appointed as such by the Doctorate Board. Before the thesis supervisor is formally designated by the Doctorate Board, the term 'intended' thesis supervisor is used,
- p. daily supervisor senior lecturer or doctoral graduate who supervises the doctoral candidate on a daily basis and may be appointed thesis co-supervisor by the Doctorate Board after the qualifier, as laid down in the Doctorate Regulations,
- q. TGS Twente Graduate School, the University section that registers doctoral candidates,
- r. TGS Cluster Leader meeting representatives of decentralized TGS clusters,
- s. TGS director director of the Twente Graduate School,
- t. TGS programme study path with an excellent reputation which supports doctoral candidates in their research and education in the form of a format for coherent and recognisable doctoral degree programmes, part of which may already have been included in a corresponding Master programme,
- t. TGS Council of Doctoral Candidates representing council of doctoral candidates at the University, currently the PhD Network of the University of Twente (P-NUT),
- u. T&SP Training and Supervision Plan, which is kept in the electronic doctoral candidate monitoring system (ProDoc),
- v. University University of Twente,
- w. VSNU association of universities of the Netherlands,
- x. doctorate agreement agreement between a non-employee and the University concerning a doctoral programme,
- y. employee a person with an appointment at the University,
- z. collective labour agreement Collective Labour Agreement of Dutch Universities

## Article 2 Types of doctoral candidates

1. The University of Twente has the following types of doctoral candidates, based on the classification used by the VSNU:
  - a. employed doctoral candidate a doctoral candidate who is temporarily employed by the University and holds a paid doctoral candidate position; (with the UFO profile of 'doctoral candidate'),
  - b. employee obtaining a doctorate University employee (with a UFO profile other than 'doctoral candidate') who has been admitted to a doctoral programme and has an agreement with a thesis supervisor to conduct doctoral research,
  - c. contract doctoral candidate doctoral candidate who is not employed by the University and who is given financing and time or only financing for his doctoral research, contract doctoral candidates can be divided into three subcategories, based on the financial support given to the doctoral candidate:
    - i. contract doctoral candidates receiving a grant from the University<sup>1</sup>;
    - ii. contract doctoral candidates receiving a grant from another organisation;
    - iii. contract doctoral candidates without a grant who receive other financing<sup>2</sup>, from their employer, for example <sup>3</sup>.
  - d. external doctoral candidate doctoral candidate who is not employed by the University and who is not given any financing or time in order to conduct doctoral research<sup>4</sup>.
2. Employed doctoral candidates (Article 2.1.a) are engaged in a predetermined object of research which is described in a vacancy announcement or other recorded contract or agreement. All other doctoral candidates may put forward subjects of research within the research area of the research group (in consultation with the intended thesis supervisor).

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<sup>1</sup> Not possible nor allowed at present.

<sup>2</sup> This category includes internal self-paying international PhD students who make use of the University facilities.

<sup>3</sup> This category is subject to a differentiated application of this charter, which is determined by the nature of the contracting form:

Doctoral candidates in this category are no University employees and can be considered to be students. They are also subject to provisions that are in keeping with this student status (just as with category 1.c.ii) such as with respect to tuition fees (Article 18.2) and the choice of the object of research (Article 2.2).

This does not apply to part of this category, when specific contractual agreements have been made. This is the case, for example, with certain contract doctoral candidates who are employed by a Dutch research organisation (FOM, for example). For this section of this category, the charter is applied on the basis of an employee approach, be it as employee from another organisation. This other approach means that provisions in Articles 10.1(d) and 18.2 (payment of tuition fees); Articles 10.5 and 11.3 (doctorate agreement) may be excluded for this group. And that the provisions of Article 2(2) (predetermined object of research) and the employees procedure (Article 16a) may apply to this section of the category of contract doctoral candidates.

<sup>4</sup> This category includes external doctoral candidates who do not make use of the University facilities (other than electronic login). After completion of their Master programme, external doctoral candidates will already (partly) have made a career.

## Chapter 2 Programme

### Article 3 Mission of the Twente Graduate School

The mission of the Twente Graduate School is to train and educate excellent researchers, usually at the start of their career, and to present and promote excellent research via clustered or separate doctoral programmes. The doctoral candidates are trained to prove their competence by means of a doctoral thesis. With this mission, the TGS aims to improve the quality of research and education, to accentuate the University's identity and profile and to differentiate and individualise the specific doctoral programmes and services for its participants.

### Article 4 Exit qualifications

The exit qualifications of the doctoral programme are:

Area of competence	After the doctoral candidate has obtained his doctorate, he is expected to have the following qualifications:
1. Skills and techniques in the research domain	<ul style="list-style-type: none"><li>- Has a systematic insight in his own field(s) of study and has a command of the research methods used in this field of study.</li><li>- Makes a contribution to extending the boundaries of knowledge through an extensive amount of work, which deserves to be published in national and/or international scientific literature.</li></ul>
2. Research management	<ul style="list-style-type: none"><li>- Has the ability to design, develop, implement and adjust an extensive research process using the appropriate integrity of a researcher.</li><li>- Has been trained to accept a prominent position in research, society or the business sector.</li></ul>
3. Research environment	<ul style="list-style-type: none"><li>- Is able to explain/use the most important concepts in the research environment, e.g. financing, integrity, safety, research principles.</li><li>- Has a clear picture of the position and role of his own research within the research group and the national and international scientific research community.</li><li>- Is able to cooperate with other researchers and stakeholders in the execution of research; has the ability to combine insights from various disciplines and sub-disciplines and to cooperate with researchers from different backgrounds.</li></ul>
4. Social context of research	<ul style="list-style-type: none"><li>- Is able to identify the needs for new research in society and the business sector.</li><li>- Is able to place the importance of his own research in a social perspective.</li></ul>
5. Networks and teamwork	<ul style="list-style-type: none"><li>- Participates in developing and maintaining relevant internal and external (academic) research networks and research teams.</li></ul>
6. Communicative skills	<ul style="list-style-type: none"><li>- Communicates with colleagues, the broader scientific community and society as a whole (dialogue) about his area of expertise (large scope).</li></ul>
7. Personal effectiveness	<ul style="list-style-type: none"><li>- Is able to deliver an excellent performance when it comes to work and studies.</li><li>- Is able to divide his time and meet deadlines.</li><li>- Is able to reflect on his own effectiveness and to improve it.</li></ul>
8. Career management	<ul style="list-style-type: none"><li>- Formulates a vision of his career after having obtained his doctorate and takes steps that promote his career.</li></ul>

### Article 5 Programme content

1. An individual doctoral programme consists of:
  - part of a corresponding Master programme (optional);
  - a research project resulting in a doctoral thesis;
  - an education programme of, in principle, 30 ECs.
2. The education programme referred to under point 1 consists of in-depth subject-specific courses, for example as indicated in the TGS programmes and activities in the area of academic skills and career orientation, in roughly equal shares, to be determined by the thesis supervisor and the doctoral candidate. The purpose of these activities is to support the doctoral programme and to help the doctoral candidate to obtain his exit qualifications (Article 4).

3. Under certain conditions, education and supervision activities may form part of the doctoral programme. Specific regulations have been laid down in Article 13.
4. The training and supervision plan (T&SP; Article 12) must include a list of subjects to be taken within the context of the education programme.
5. ECs can be obtained by taking courses as offered by the UT Centre for Training & Development. ECs can also be obtained by attending national and international conferences and summer schools, participating in activities by national research schools or local doctoral schools, or certain courses under the University's Master programmes.
6. Exemptions from parts of the education programme, for example based on previously acquired skills (EVCs), can be submitted by the thesis supervisor to the TGS director, who will decide on this (after consulting the faculty dean, if necessary).

## **Article 6 TGS education certificate**

1. The thesis supervisor evaluates the performance delivered by the doctoral candidate in his education programme. After a positive assessment, the thesis supervisor submits the completed T&SP to the TGS director, along with a statement that the doctoral candidate completed the education programme in accordance with the T&SP and the TGS programme (if applicable).
2. The TGS director is responsible for the quality assurance of the doctoral educational programmes and consults the faculty dean, if necessary. The TGS issues a TGS education certificate for approved education programmes, which states that the doctoral candidate has met the requirements of the education programme of the doctoral programme according to the T&SP. The TGS education certificate is signed by the TGS director and the thesis supervisor.
3. The TGS education certificate contains a supplement with an overview of the education programme.
4. The TGS education certificate is issued during the doctoral defence ceremony.

## **Article 7 Quality control**

1. The Doctorate Board is responsible for the quality of all doctoral programmes.
2. In order to guarantee the quality of the education programme, the specific doctoral courses as referred to in Article 5.5 are assessed under the supervision of the TGS director. The evaluation results are discussed in the TGS Cluster Leaders meeting.

## **Chapter 3      Application, selection, admission and term of the agreement**

### **Article 8      Application or expression of interest**

1. The University website offers interested prospective doctoral candidates the opportunity to apply for vacant doctoral candidate positions or to express interest after having done a self-test (test against the minimum criteria to be met).
2. Applicants for a vacant doctoral candidate position are referred to the application procedure for employees (employed doctoral candidate, Article 2.1.a).
3. A chair holder (professor) who is interested in a potential candidate and the intended research may consider the possibilities to admit the person who expressed interest as contract or external doctoral candidate. The faculty of the chair holder may issue a conditional admission letter in order that the potential candidate can apply for financing; the faculty dean must, however, approve the research plan and budget for the entire doctoral phase before a doctoral candidate can be admitted.

### **Article 9      Selection**

1. The intended thesis supervisor first makes a selection from the applications for positions for employed doctoral candidates or the registrations of contract doctoral candidates or external doctoral candidates. Selected registrations will be submitted to a selection committee. The selection committee consists of the intended thesis supervisor, any daily supervisor(s) and a staff member of another chair, if necessary supplemented with other experts, at the discretion of the intended thesis supervisor. The selection committee is chaired by the intended thesis supervisor. The selection committee is obliged to ask the HR department<sup>5</sup> for advice. The selection committee checks, among other things, whether the registered person meets the admission requirements (Article 10.1). It is highly advisable to invite the selected person for a meeting at the University, in order for him to become familiar with the UT environment and the possible research group (and vice versa).
2. Any agreements on a doctoral project with employees obtaining their doctorate (Article 2.1.b) will be recorded in the annual performance appraisal report and submitted to the faculty dean for approval.

### **Article 10      Admission**

1. In order to be admitted to a doctoral programme, an applicant or a person who expressed interest must meet the following requirements:
  - a. doctoral candidates may only be admitted if their Master degree(s) and further academic record are approved<sup>6</sup> after evaluation;
  - b. doctoral candidates with a non-Dutch qualification and who have not had secondary and tertiary education in English may only be admitted if they have sufficient command of the English language. Official documents with test results are required for this, showing a total band score of 6.5 for an academic IELTS-test (International English Language Testing System) or TOEFL (Test of English as a Foreign Language) via the internet (TOEFL-iBT) of at least 90 or Cambridge CAE-C (CPE);
  - c. Sufficient funds must be guaranteed for the full doctoral programme, to be assessed by the faculty dean. These funds include salary and employer's contributions (in the case of employed doctoral candidates), grants/sponsorship (in case of contract doctoral candidates, in accordance with the applicable requirements set by the Immigration and Naturalisation Service (IND), if necessary), research-related expenses and the education budget (for all types, Articles 18.3 and 4);
  - d. contract and external doctoral candidates are obliged to pay tuition fees (Article 18.2).
2. The decision to admit an applicant or registered person to a doctoral programme is made by the intended thesis supervisor, after the approval of the faculty dean.
3. The employed doctoral candidate accepts an appointment, in conformity with the collective labour agreement.
4. In case of employed doctoral candidates or employees obtaining their doctorate, the faculty dean will decide on approval and the TGS is informed by HR of the starting date of the doctoral candidate and the agreed research plan.

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<sup>5</sup> For pragmatic reasons, the choice was made to request this advice from the HR department for both employees and non-employees.

<sup>6</sup> Evaluation of non-NVAO accredited degrees via Admission Office. Exemptions may be granted by the Doctorate Board (Doctoral Regulations article 2.4).



5. In case of contract and external doctoral candidates, the thesis supervisor must submit to the faculty dean a doctorate agreement between the doctoral candidate and the University, which sets out the financing (not applicable to external doctoral candidates)<sup>7</sup>, the time schedule, logistics and the facilities necessary for the entire doctoral research project. The faculty dean gives his final approval to this formal agreement, after consultation with HR concerning the fiscal status. The TGS is informed of the starting date of the doctoral candidate and the agreed research plan.
6. In all cases, also in case of part-time research with external doctoral candidates, the agreement must set out the intended start and end date of the doctoral project.
7. All admitted doctoral candidates must be registered in ProDoc as soon as possible after the start of the employment or doctorate agreement, by means of an intake interview with the TGS.
8. Before the thesis supervisor is formally designated by the Doctorate Board, the terms 'prospective' doctoral candidate and 'intended' thesis (co-)supervisor(s), may be used.

## **Article 11 Term of the agreement**

1. A nominal doctoral programme takes no more than four full-time years.
2. Employed doctoral candidates enter into employment (with a 2-month probation period in accordance with Article 2.2(2) of the collective labour agreement) for:
  - a. no more than four years if the doctoral candidate is employed full time (for 38 hours per week);
  - b. no more than five years if the doctoral candidate is employed for 32 hours per week.
3. A doctorate agreement with contract doctoral candidates is concluded for 3 or 4 years.
4. A doctorate agreement with employees obtaining their doctorate and external doctoral candidates is concluded for at least 2 years and no more than 6 years.
5. The procedure as referred to in Articles 15 and 16a may give rise to the conclusion that the employment as referred to in paragraph 2 or the doctorate agreement as referred to in paragraphs 3 and 4 respectively is terminated early.
6. The possibilities and regulations with respect to extension of the agreement have been laid down in Article 23.

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<sup>7</sup> The financing may be arranged by means of a sponsorship agreement with a third party, a grant-awarding body for example. This agreement is deemed to form part of the doctorate agreement.

## **Chapter 4      Training and supervision; education activities**

### **Article 12 Training and Supervision Plan (T&SP)**

1. A training and supervision plan (T&SP) must be drawn up for each doctoral candidate. In consultation with the thesis supervisor, the doctoral candidate draws up a T&SP, taking into account the requirements set in this Charter, any TGS programme, and, if applicable, the sponsor and other stakeholders. The T&SP has to be entered by the candidate and approved by the thesis supervisor in the doctoral candidate monitoring system within three months after the start of the doctoral programme.
2. The T&SP includes, in any case:
  - a. what knowledge and skills must be acquired and how such knowledge and skills must be acquired (as specified in Article 5 and 13);
  - b. who the (intended) thesis supervisor of the doctoral candidate will be and who will act as daily supervisor(s). At least one thesis supervisor and one daily supervisor must be mentioned. After the qualifier, a daily supervisor may be appointed thesis co-supervisor;
  - c. the extent, in number of hours per month, of the minimum personal supervision by the thesis supervisor and the appointed daily supervisor to which the doctoral candidate is entitled;
  - d. a data management plan in line with the data management policy of the faculty, indicating a.o. in which trusted repository the underlying data of the research will be deposited at the end of the PhD project <sup>8</sup>.
  - e. an overall plan for the total number of working hours for employed doctoral candidates whose doctoral programme is financed by an external financing institution requiring such planning.
3. The T&SP is a working document. During the first year, at the time of the qualifier (Article 15), the T&SP is adjusted for the remaining period; after that, it may be adjusted during each annual assessment, evaluation or progress interview (Article 16a/16b), or more often as required.

### **Article 13 Education activities**

1. Employed doctoral candidates may be engaged in educational activities (teaching and supervision or other relevant activities) as part of the doctoral programme. These activities must be limited to no more than 20% of their time.
2. Apart from their doctoral activities, employees obtaining their doctorate also perform educational and/or other activities.
3. Contract doctoral candidates and external doctoral candidates are no UT employees and therefore do not teach, in principle. For contract and external doctoral candidates, teaching and supervision (and other relevant activities) can only form part of the education programme if these activities are described in the T&SP, contribute to the development of the doctoral candidate's skills and career orientation, are performed under the supervision of a senior staff member, and are expressed in EC's on the TGS education certificate.

### **Article 14 Supervision**

1. Regular meetings must be held between the doctoral candidate, the (intended) thesis supervisor and the daily supervisor(s). The frequency of these regular meetings will be determined in joint consultation between the doctoral candidate, the daily supervisor(s) and the thesis supervisor.
2. At least once a year, an assessment, evaluation or progress interview will be conducted between the thesis supervisor and the doctoral candidate. During this interview, the T&SP, which is a dynamic document, may be adjusted and agreed upon (Article 12.3).
3. At the end of the third year, the planning for writing and finishing the doctoral thesis and the defence will be discussed during the (third) annual assessment, evaluation or progress interview.

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<sup>8</sup> See article 30.1 for transitional arrangements.

## **Chapter 5 Qualifier, Assessment/Evaluation/Progress review and defence**

### **Article 15 Qualifier**

1. The qualifier is a meeting organised by the intended thesis supervisor, which serves to provide the prospective doctoral candidate with subject-specific feedback on his research, from the perspective of those who are active in this field of study. During this meeting, the prospective doctoral candidate presents his first results and the research proposal for the remaining period. The presentation is followed by a discussion.
2. The main goal of the qualifier is to determine whether the research proposal is of a sufficient level and whether it is likely that the prospective doctoral candidate will complete his doctoral project within the remaining period.
3. The qualifier is attended by the qualifier committee, existing of at least the intended thesis supervisor, the daily supervisor(s) and at least one professor from outside the chair. In principle, the qualifier is an open scientific meeting for employees and students.
4. The qualifier is held between 6 and 9 months after the start of the employment or after the start of the doctorate agreement.
5. The intended thesis supervisor is responsible for the organisation of the qualifier and informs the doctoral candidate of this at least four weeks in advance.
6. The doctoral candidate draws up a progress report of no more than 2 pages, containing his results and (adjusted) planning, as input for the qualifier and as part of the T&SP.
7. The report by the qualifier committee is based on both the evaluation of the research results achieved so far and the assessment of scheduled future research activities. The report will contain a substantiated recommendation:
  - "SUFFICIENT" means that the committee believes that the research proposal is of sufficient level and it is likely that the prospective doctoral candidate will complete his doctoral programme within the remaining period.
  - "INSUFFICIENT" means that the committee believes that the research proposal is of insufficient level and/or it is unlikely that the prospective doctoral candidate will complete his doctoral programme within the remaining period. The committee is asked to mention specific targets for improvement that can be achieved in a period of three months.

### **Article 16a Assessment/Evaluation of employed doctoral candidates and employees obtaining their doctorate**

This article only applies to employed doctoral candidates and employees obtaining their doctorate (pursuant to Article 2, paragraphs 1a and 1b).

#### Qualifier sufficient:

1. In case the advice of the qualifier committee is sufficient, an evaluation interview follows. The result of the qualifier serves as input for the first evaluation interview between the intended thesis supervisor and the prospective doctoral candidate following the qualifier. The report of the qualifier and of the evaluation interview is recorded in the doctoral monitoring system.
2. The thesis supervisor may decide to conduct an assessment instead of an evaluation interview, or to conduct an (extra) assessment during the doctoral programme. The thesis supervisor will inform the HR employee concerned as soon as possible about this. In this case paragraphs 9 up to and including 14 of this article are valid.
3. After a positive result of the qualifier and the following first evaluation interview or assessment, the doctoral candidate submits a request for appointment of thesis supervisor(s) to the Doctorate Board.

#### Yearly evaluation interviews:

4. After the qualifier(s) and subsequent evaluation or assessment interview and in case of a positive (end)result, every year an evaluation interview is held with the doctoral candidate, unless the thesis supervisor decides differently (conform paragraph 2).

5. The doctoral candidate writes a progress report of max. 2 pages with the results and (adjusted) planning as input for the annual assessments or evaluations and as part of the T&SP. The reports of the assessment and/or evaluation interviews are recorded in the doctoral monitoring system.
6. In case of a negative result an improvement period can be granted. In that case it can still be decided to conduct an assessment instead of an evaluation interview (conform paragraph 2). In that case paragraph 15 and 16 of this article apply.
7. The faculty dean decides on adjusting the salary increase pursuant to article 3.10, paragraph 3 and 4 of the collective labour agreement. In case the second or following periodical increase must be withheld, an assessment conform paragraph 9-14 of this article will be held prior to this decision.

Qualifier insufficient:

8. In case the advice of the qualifier committee is insufficient, an assessment interview follows, of which the HR employee concerned is informed as soon as possible. The result of the qualifier serves as input for the first assessment interview between the intended thesis supervisor and the prospective doctoral candidate following the qualifier. The report of the qualifier is recorded in the doctoral monitoring system.
9. After consultation with the daily supervisor(s) of the doctoral candidate, the thesis supervisor will record his opinion on the way in which the doctoral candidate has performed his duties and on his conduct during the performance of these duties, supported by reasons, in a draft assessment. This draft assessment will also include his estimate as to whether it is possible for the doctoral candidate to complete his doctoral thesis during the set period of time. He will inform the doctoral candidate of this 2 weeks before the scheduled assessment interview.
10. During the assessment interview, the thesis supervisor will explain his draft assessment. During the interview, the doctoral candidate has the opportunity to respond to the draft assessment. The thesis supervisor will draw up a report of the interview. The doctoral candidate may be accompanied by a person during the assessment interview.
11. The thesis supervisor will decide whether the draft assessment can be maintained or whether it has to be adjusted. The thesis supervisor will inform the doctoral candidate in writing of his decision with respect to the draft assessment. The doctoral candidate will sign the assessment as seen, even if he disagrees with its contents.
12. The doctoral candidate may, if necessary, express his views on the assessment in writing to the faculty dean within two weeks after he has been informed in writing as referred to in the above paragraph 11.
13. After the end of the period in which the doctoral candidate can express his views, the faculty dean will decide on the final assessment of the doctoral candidate on the basis of the draft assessment, the report and the decision by the thesis supervisor, and the views of the doctoral candidate, if any. The assessment is recorded in the doctoral monitoring system.
14. In accordance with article 17 of this Charter, it is possible to submit an objection against the final assessment to the [University of Twente HR objections committee](#), and subsequent (higher) appeal.

Improvement period:

15. In case of a negative evaluation or assessment, the doctoral candidate will be given the opportunity to meet the specific points for improvement and required results within an improvement period of no more than 3 months (if applicable also based on the advice from the qualifier). In case of a negative qualifier, a second qualifier will follow at the end of the improvement period. The thesis supervisor writes a final evaluation and discusses this with the doctoral candidate.
16. If the final evaluation is unsatisfactory, the faculty dean may propose to the Executive Board that the employed doctoral candidate be dismissed. If the Executive Board decides that the employed doctoral candidate be dismissed, the employment will be terminated early and the doctoral candidate will be deregistered with the TGS. Moreover, agreements will be made on the termination of the doctoral research project by the doctoral candidate. For employees obtaining their doctorate (according to article 2.1.b), the termination of the doctoral activities and any consequences for their legal status will depend on prior agreements made on the doctoral process.
17. In case the final evaluation is sufficient, and the thesis supervisor has not yet been appointed, the doctoral candidate still submits a request to appoint thesis supervisor(s) to the Doctorate Board (according to paragraph 3).

## Article 16b Progress review of other doctoral candidates

This article does not apply to employed doctoral candidates and employees obtaining their doctorate (pursuant to Article 2, paragraph 1a and 1b).

1. The results of the qualifier serve as input for the first progress interview between the intended thesis supervisor and the prospective doctoral candidate, which will be conducted after the qualifier. The results of the qualifier and the progress interview are recorded in the doctoral candidate monitoring system.
2. After a positive result from the qualifier and the resulting first progress interview, the doctoral candidate will submit a request for appointment of the thesis supervisor(s) and, if applicable, thesis co-supervisor(s) to the Doctorate Board.
3. After the first progress interview following the qualifier and in case of a positive result, a progress interview will be conducted every year.
4. The doctoral candidate draws up a progress report of no more than 2 pages, containing his results and (adjusted) planning, as input for the annual progress interview and as part of the T&SP.
5. If the result of a progress interview is negative, the doctoral candidate will be given the opportunity to act upon the specific points for improvement mentioned during the progress interview (if applicable, also based on the advice from the qualifier) and to meet the required results within an improvement period of no more than 3 months. As a result of a negative progress interview after an improvement period, the doctorate agreement may be terminated and the doctoral candidate may be deregistered with the TGS. In that case, agreements will also be made on the termination of the doctoral research project. Complaints, appeals or objections by non-employed doctoral candidates may be lodged at the [UT Complaints Desk](#) (Article 27.2).

## Article 17 Defence

1. At least 6 months before the intended date of the doctoral thesis defence ceremony, the thesis supervisor and the doctoral candidate must start the application for admission to the defence ceremony.
2. The [Doctoral Regulations](#) describe the procedure for the public defence of doctoral thesis or technical design and the conferment of the doctoral degree.

## **Chapter 6      Miscellaneous**

### **Article 18   Finances**

1. The doctoral candidate's total budget (in accordance with the requirement set by the IND, if applicable) must be approved by the faculty dean, according to the applicable procedure.
2. Contract and external doctoral candidates are obliged to pay tuition fees. At the request of the thesis supervisor, the faculty dean may waive the tuition fees.
3. The education budget, i.e. the financial resources required for the (external) education activities, must be recorded in the faculty. The thesis supervisor is responsible for the proper use of this budget.
4. The research budget, i.e. the financial resources required for performing the research (for laboratories, fieldwork, etc.), must be recorded in the faculty. The thesis supervisor is responsible for the proper use of this budget.

### **Article 19   Facilities**

1. Information for and about the TGS, doctoral courses and administrative procedures will be provided via the TGS website .
2. In principle, all doctoral candidates can make use of the same general University facilities. However, this may depend on the status of the doctoral candidate (see Article 2).

### **Article 20   Supervision**

1. The thesis supervisor is responsible for supervising doctoral candidates.
2. All doctoral candidates have the opportunity to talk to a student counsellor via [Student Counselling](#).
3. In exceptional cases, the doctoral candidate can contact the TGS. The TGS director may request the faculty to appoint a coach. The coach monitors the progress made by the doctoral candidate and is usually an employee of the faculty at which the doctoral candidate performs his research.

### **Article 21   Exit interview and evaluation**

1. All doctoral candidates who have been admitted to the defence of their doctoral thesis will be asked to complete a questionnaire and will be given the opportunity to attend an exit interview with the TGS.
2. Any early termination of the programme of a doctoral candidate will be handled in accordance with faculty procedures and reported by the faculty to the TGS as soon as possible.
3. All doctoral candidates who terminate their doctoral programme early will be invited by the TGS for an exit interview before they leave.

### **Article 22   Terms and conditions of employment for employed doctoral candidates and employees obtaining their doctorate**

The terms and conditions of employment for employed doctoral candidates and employees obtaining their doctorate as University employees have been laid down in the collective labour agreement.

### **Article 23   Possibilities for extension**

1. In a limited number of situations, the maximum term of the agreement as referred to in Article 11 may be extended at the request of the doctoral candidate. The thesis supervisor must submit a substantiated proposal for this purpose to the faculty dean.
2. Any extension depends on the availability of the necessary resources, among other things.

3. Moreover, the provisions on the duration of the employment and number of extensions as referred to in Article 2.3 of the collective labour agreement apply to employed doctoral candidates and employees obtaining their doctorate (ref. article 2.1.a and b respectively). Under an internal compensation scheme, faculties may, in certain situations, receive financial compensation for the costs of extension of an employee's employment. In other situations or situations of force majeure, the faculty dean may, by balancing personal interests and the interests of the University, determine whether and to what extent the employment may be extended.
4. For contract doctoral candidates, an extension is only possible if their sponsor provides additional resources for the extension or if another type of financing is available and allowed for tax purposes, and in accordance with the requirements set by the IND in case of non-EU residents.
5. The faculty dean will make a decision after consulting the HR advisor and will inform the TGS of his decision.

## **Article 24      Conduct and integrity**

1. The [UT Codes of Conduct](#) sets out provisions on the conduct that is expected of anyone using University buildings and sites.
2. The University endorses the guidelines for [scientific integrity](#), as laid down in the [Netherlands Code of Conduct for Academic Practice](#). The [European Code of Conduct](#) and the [Singapore statement](#) on research integrity are also relevant. All doctoral candidates are expected to comply with these guidelines and codes of conduct. An introduction to scientific integrity forms part of the education programme of doctoral candidates.
3. The University has access to plagiarism detection software, which can be used by the candidate, the supervisors and the thesis supervisor.

## **Article 25      Intellectual property**

Employed doctoral candidates and employees (by University of Twente) obtaining their doctorate are referred to Article 12 section 3 of the (Dutch) Patent Act and to the '[Patents and Copyright Implementing Regulations](#)'. For contract and external doctoral candidates, intellectual property rights are vested in either the assigning party, the subsidy granting party or the doctoral candidate himself/herself, unless otherwise agreed upon. Conditions may be laid down in the doctorate agreement (with respect to a.o. confidentiality, intellectual property and collaborative research).

## **Article 26      Participation**

1. Doctoral candidates are entitled to participate in decision-making through the University Council or, as far as the rights or obligations of employed doctoral candidates or employees obtaining their doctorate are concerned, through the Local Consultation.
2. The *PhD Network of the University of Twente (P-NUT)*, in its function of the TGS Council of Doctoral Candidates, is heard by the TGS director on relevant issues concerning the doctoral programmes and also has the right to advise, urge and inform the TGS director. A P-NUT representative is invited to attend the TGS Cluster Leaders meetings.

## **Chapter 7      *Objections, complaints and disputes***

### **Article 27   Individual objections, complaints and disputes**

1. Employed doctoral candidates and employees obtaining their doctorate may [submit](#) any objections against decisions or complaints on certain behaviour to the [University of Twente HR objections committee](#).
2. Other doctoral candidates may submit any objections against decisions or complaints on certain behaviour to the [UT Complaints Desk](#).
3. In case of any disputes on the assessment and defence of the doctoral thesis, the provisions of Chapter 10, Articles 44 to 49 of the Doctoral Regulations will apply.



## **Chapter 8      *Discrepancies, changes and implementation***

### **Article 28   Discrepancies**

1. In case of any discrepancies between the University's Doctorate Regulations and this Charter, the Doctorate Regulations will prevail.
2. In case of any discrepancies between guidelines, manuals or other regulations on the doctoral programme and this Charter, this Charter will prevail.

### **Article 29   Changes to the regulations**

Changes to the contents of the Charter will be determined by the Executive Board of the University.

### **Article 30   Transitional arrangements**

1. This Charter for doctoral candidates is introduced on 1 January 2014 for all doctoral candidates at the University.
  - All new doctoral candidates as from 1 January 2014 must be registered on commencement (Article 10.7), will follow this Charter, and will use the doctoral monitoring system (ProDoc) throughout their entire doctoral programme.
  - For doctoral candidates who started before 1 January 2014, existing agreements and obligations (such as the training and supervision plan, the annual assessment, evaluation or progress interview, the education programme) as for example referred to in the collective labour agreement, by the financing organisation, the research school and in the TGS programme will remain in effect. These doctoral candidates will follow the procedures that existed at the start of their doctoral programme. As from 2017, all doctoral candidates will have to use ProDoc, the doctoral candidate monitoring system, including the procedure for the approval and defence of the doctoral thesis according to the protocol of the Doctorate Board.
  - Article 12.2.d (data management plan) will be implemented in line with the adopted data policy of the university.
2. With the introduction of this Charter, the Assessment Regulations for Doctoral Candidates and the Regulations on Possibilities for Extension for Doctoral Candidates will cease to apply, as well as the relevant passages from the TGS Institutional Plan.
3. Any changes to this Charter may be proposed by the Doctorate Board.

### **Article 31   Publication**

This charter will be published on the University website.

### **Article 32   Starting date**

This charter has become effective on 1 January 2014  
Second revised edition, adopted by the Executive Board of the University,  
in view of the recommendations by the Doctorate Board.

Enschede, 15 September 2015