



Regulations governing the conferral of doctor's degrees

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Technische Universiteit
Eindhoven
University of Technology

Where innovation starts

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Introduction

The following Regulations governing the conferral of doctor's degrees were adopted on 7 July 2014 by the Doctorate Board of Eindhoven University of Technology and will enter into force on 1 September 2014.

In case of questions or if anything is unclear, you are advised to consult the Office of Doctoral Presentations and Academic Ceremonies in time. Contact details may be found on the back cover of this brochure.

Chapter I: General provisions

Art. 1. In these regulations the following terms and definitions will apply:

university:	Eindhoven University of Technology;
department:	a department of Eindhoven University of Technology;
doctoral:	the person who by virtue of the provisions of Article 7.18,
candidate:	paragraph 2 or 3 or Article 17a.18 of the Higher Education and Research Act (<i>Wet op het hoger onderwijs en wetenschappelijk onderzoek</i> ; hereinafter called WHW) is eligible to receive a doctor's degree;
professor:	a professor appointed at a Dutch university or the Open University or at a foreign university, including the former professor of the university who by virtue of Article 9.19, paragraph 3 WHW still has the right to act as a supervisor;
supervisor:	the professor or former professor appointed as such by the Doctorate Board with due observance of the provisions of Article 7.18, paragraphs 4 and 5 and Article 9.19, paragraph 3 WHW;
co-supervisor:	the person appointed as such by the Doctorate Board;
dissertation:	a scientific treatise on a particular topic, or a number of separate scientific treatises, some or all of which have already been made public;
technological design:	a design that has been produced through the application of appropriate theoretical knowledge and methods, accompanied by a scientific account and documentation;
dean:	the chairman of a Departmental Board as referred to in Article 9.12 paragraph 2 WHW;
Doctorate Board:	the Board as referred to in Article 9.10 of the WHW.

Art. 2. With respect to the subjects discussed at closed meetings as referred to in these regulations as well as to the subjects discussed during the resolution of disputes, as referred to in Chapter X of these regulations, those present are bound to confidentiality.

Chapter II. Eligibility for the doctorate

- Art. 3.**
1. By virtue of Article 7.18 WHW, anyone to whom the degree of Master has been conferred on the basis of the successful completion of the final examination of a Master program in university education, or of a Master program in higher professional education designated as such by the Minister of Education, Culture and Science, or of an accredited advanced Master program in university education or in higher professional education, is eligible to take a doctor's degree.
 2. Apart from the persons to whom the degree referred to in paragraph 1 has been conferred, Article 17a.18 WHW (transfer right) provides that anyone is eligible to take a doctor's degree:
 - * who on or before 31 August 2002 was in possession of a certificate testifying to the successful completion of a final examination, connected with a program with a study load of at least 168 old credits or 240 ECTS credits, or
 - * who, as regards programs with a study load of more than 168 old credits or 240 ECTS credits referred to in Article 7.4 paragraph 3 of the WHW, successfully completed a final examination on or before 31 August 2002 that concludes a part of the program equivalent to at least 168 old credits or 240 ECTS credits.
 3. In special cases persons whose degree program differs from the program described above may be eligible to take a doctor's degree by obtaining a resolution adopted by the Doctorate Board granting an exemption from this program requirement¹.

- Art. 4.**
1. The doctoral candidate must submit a request for permission to take a doctor's degree to the Doctorate Board, not later than six months before the intended date of the defense ceremony. Upon the submission of the request the doctoral candidate must submit the CV, the publication list and the certificate proving that the degree referred to in Article 3 paragraph 1 has been conferred, or the certificate referred to in Article 3 paragraph 2 or a certified copy thereof, or the proof of the resolution to grant an exemption from the program requirement referred to in Article 3, paragraph 3.

¹ For the relevant procedure see the "Brief commentary on the Regulations governing the conferral of doctor's degrees".

2. The doctoral candidate must support his request for permission to take a doctor's degree with a brief description in English of his work, the methods used for it and the results deemed relevant.
3. In case of a joint dissertation or technological design it must be indicated with the request for permission for which part of the dissertation or technological design which doctoral candidate is specifically responsible.
4. The request for permission to take a doctor's degree must be accompanied by the letter of intent of the professor(s) to act as supervisor(s). The supervisor(s) must also submit a proposal for the composition of the whole Doctorate Committee as referred to in Chapter III.
5. The request must be accompanied by the CV and the publication list of the doctoral candidate.

- Art. 5.**
1. The Doctorate Board decides within one month (not counting the period from the beginning of July until mid-August) after the submission of the request as referred to in Article 4. The decision is communicated in writing to the doctoral candidate, the supervisor(s) and the other members of the Doctorate Committee.
 2. If the approval of the request as referred to in Article 4 is withheld, this decision and the reasons for it will be communicated in writing with reference to the regulations on disputes referred to in Chapter X of these regulations.

Chapter III. The designation of the members of the Doctorate Committee

- Art. 6.**
1. The Doctorate Committee consists of:
 - a. the supervisor(s);
 - b. the co-supervisor(s);
 - c. the chairman, designated pursuant to Article 9, paragraph 1;
 - d. the other members, designated pursuant to Article 10, paragraph 1;
 - e. if necessary advisers as referred to in Article 12.
 2. The persons referred to under a and c must be professors. The persons referred to under b may be professors or are entitled to bear the title of doctor, in accordance with Article 8, paragraph 2. The persons referred to under d must be:
 - * professors at a university in the Netherlands or abroad;
 - * or associate professors at a university in the Netherlands or abroad;
 - * or otherwise be deemed by the Doctorate Board to be sufficiently competent to be a member of the Committee, such as Dr.habil or senior lecturer. For the benefit of the designation as member of the Doctorate Committee of this so-called “expert” the first supervisor must submit a proposal stating reasons, as well as a curriculum vitae and a publication list of the person involved. This proposal must be accompanied by a positive recommendation by the dean of the relevant department. Until five years after their honorable discharge, professors can hold a seat on the Committee referred to under d.
 3. At least half of the voting members of the Doctorate Committee must be professors.
 4. The persons referred to in paragraph 1 under a, c and d are voting members of the Committee. If a co-supervisor is a professor or associate professor at a Dutch university, or a professor or associate professor at a foreign university, he is also a voting member of the Doctorate Committee. If he does not satisfy this requirement, he is a member of the Committee with an advisory voice. The whole Doctorate Committee consists of at least 6 and at most 8 persons of whom at least 5 are voting members. If there are only 5 voting members, a reserve member will be given.

5. At least half of the members of the Doctorate Committee must be affiliated with the university.
6. At the suggestion of the (first) supervisor and with the consent of the Rector and the dean of the relevant department the Doctorate Board may deviate from the provisions of paragraphs 4 and 5.

Art. 7.

1. The Doctorate Board designates a professor from the university as first supervisor after consultation with the person concerned.
2. If necessary the Doctorate Board also designates a second supervisor.
3. The supervisor has the duty to supervise the doctoral candidate in the realization of the dissertation or technological design.
4. If a professor from another university should be designated as first supervisor by the Doctorate Board by way of exception, the Doctorate Board will designate a professor from the university as second supervisor.
5. The department in which the first supervisor is employed, respectively the department of the second supervisor if the first supervisor is not affiliated with the university², will be referred to in these regulations as the relevant department.
6. Honorably discharged professors will retain the right to act as supervisors for five years after they have been so discharged.

Art. 8.

1. The Doctorate Board may designate one or two co-supervisors. If two supervisors are designated, at most one co-supervisor may be designated.
2. Persons entitled to act as co-supervisor may be professors from the university, or researchers or design engineers (whether or not employed at the university), who are entitled to use the title of doctor and have expertise in the area on which the dissertation or technological design is focused.
3. The co-supervisor has the task of assisting the supervisor(s) in the supervision of the doctoral candidate.

² The phrase "affiliated with the university" may also be understood to mean a professor formerly employed by the university (not longer than five years ago), but now employed by another university or enjoying the emeritus status.

- Art. 9.**
1. The Rector or the person designated by the Doctorate Board is chairman of the Doctorate Committee.
 2. One of the members of the Doctorate Committee employed by the university, designated by mutual agreement, is secretary of the Doctorate Committee.
- Art. 10.**
1. The Doctorate Board designates a number of other members of the Doctorate Committee to be set up, at least two of whom are from outside the university and at least one of whom is from within the university.
 2. One member from within the university must be a full-time professor or associate professor, who is nominated by the dean. If the dean himself is a supervisor, this member will be nominated by the Rector.
 3. If a dean is designated himself as a member from within the university by the Doctorate Board, he cannot also be chairman of the Committee.
 4. The first and the second supervisor cannot also be chairman of the Committee.
- Art. 11.**
- The first supervisor, or the second supervisor if the first supervisor is not affiliated with the university, proposes the Doctorate Committee to the dean.
- The Doctorate Committee assesses the quality of the proposed dissertation or technological design on behalf of the university. If the dean has ascertained the adequacy of the composition of the Doctorate Committee, he makes a positive recommendation.
- Art. 12.**
1. The Doctorate Board can on the proposal of the first supervisor and on its own authority add advisers to the Doctorate Committee.
 2. If advisers are added to the Doctorate Committee on the authority of the Doctorate Board, the first supervisor is consulted beforehand.
 3. Advisers take part in the deliberations of the Committee; they have an advisory voice in that body.

The table below represents the possible compositions of the Doctorate Committee.

Composition Doctorate Committee in the form of a table				
Supervisor(s)	1	1	2	2
Co-supervisor(s)	1	2	0	1
Chairman	1	1	1	1
Member TU/e (at least)	1	1	1	1
External members (at least)	2	2	2	2
Other members (optional)				
Including advisers	2	1	2	1

Chapter IV. The approval of the dissertation or technological design

Admission to the defense of the dissertation or technological design

- Art. 13.**
1. As soon as possible after receipt of the communication referred to in Article 5, paragraph 1 the doctoral candidate will send the text of the dissertation or the documentation of the technological design to the members of the Doctorate Committee.
 2. The members of the Doctorate Committee can approve the text of the dissertation or the documentation of the technological design with reservation and make suggestions for amendment and/or additions to the text. If a suggestion for amendment and/or additions to the text is not taken over by the doctoral candidate, the dean of the relevant department will consult both parties.
 3. The (first) supervisor will express his approval of the dissertation or technological design in writing to the doctoral candidate, the dean of the relevant department and the Doctorate Board.
 4. Along with the approval given as referred to in paragraph 2, the (first) supervisor reports explicitly on the reasoned opinions of the other members of the Doctorate Committee and adds these opinions to form 2 as an appendix.
It will be asked to comment within six weeks and to use the criterion whether the conferral of the doctorate would be defensible at their own university.
 5. In case of a negative opinion of a member of the Doctorate Committee this member cannot be removed from his membership on that ground. The safeguarding of the level of the doctor's degree entails that the conferral of the doctor's degree will in such a case be precluded and that the dean of the relevant department will forthwith be notified thereof.
 6. If one or more members of the Doctorate Committee have a negative opinion about the manuscript, the resolution giving approval will be made in a meeting of the Doctorate Committee chaired by the dean of the relevant department. Those members who cannot attend the meeting will cast their substantiated votes in writing to the chairman before the meeting. The Doctorate Committee must, with a maximum of one dissenting vote, adopt the resolution giving approval, otherwise the admission will be deemed to have been rejected. If one dissenting vote is cast, this approval of the dissertation will be discussed in the Doctorate Board.

7. If the Doctorate Board has reasonable doubt about the quality of the assessment of the dissertation by the Doctorate Committee, then the Doctorate Board can withdraw this approval and proceed to the installation of a new Doctorate Committee to have the dissertation reassessed.

Art. 14.

1. After the approval referred to in Article 13, paragraph 3, has been given, the Doctorate Board determines the time and the place of the defense ceremony definitively after consultation with the supervisor(s), the co-supervisor(s), if any, and the doctoral candidate.
2. The time referred to in paragraph 1 must be at least two months (not counting the period from the beginning of July until mid-August) after the date of the approval referred to in Article 13, paragraph 3.
3. Immediately after the approval referred to in Article 13, paragraph 3, the recto and verso of the title page of the dissertation or of the documentation of the technological design must be presented to the Rector for approval; the English summary stating above the text the English title of the dissertation or technological design and the curriculum vitae of the doctoral candidate must be delivered. It must be stated on the verso of the title page that the supervisor(s) have given their approval to the of the supervisor(s) and if applicable the name/names of the co-supervisor(s), as well as the names of all other members of the Doctorate Committee. For the chairman it will be sufficient to state the indication "chairman" if his name is not known in good time.

After the approval has been given no alterations may be made on the recto and verso of the title page, nor in the contents, nor in the layout.

4. After the approval, referred to in Article 13, paragraph 3 and Article 14, paragraph 3 has been given, the dissertation or the documentation of the technological design may be reproduced.

Chapter V. The dissertation or technological design and the theses

- Art. 15.**
1. The dissertation may consist of a scientific treatise on a particular topic, or a number of separate scientific treatises, some or all of which have already been made public.
 2. A technological design is understood to mean a design that has come into being through the application of appropriate theoretical knowledge and methods, accompanied by a scientific account and documentation. The technological design must make an original contribution to the further development of existing scientific knowledge.
 3. In case the dissertation or technological design consists of a number of separate scientific treatises, or constituent designs, the following requirements must be satisfied:
 - a. The different scientific treatises or constituent designs must all relate in a sufficiently coherent manner to a particular topic and be accompanied by a summary chapter.
 - b. If one or more of the treatises or constituent designs has/have been written or manufactured by several authors, it must be indicated which portions are based on the actual contribution of the doctoral candidate.
 4. The dissertation or technological design must be accompanied by:
 - a. a short curriculum vitae;
 - b. a summary in English approved by the first supervisor, stating above the text the English title of the dissertation or technological design;
 - c. the title page, approved by the Rector.
- Art. 16.**
1. In case of joint research or design the result thereof can lead to a joint dissertation or technological design of two doctoral candidates, provided the following conditions are satisfied:
 - a. each doctoral candidate has made an independent, distinct contribution adequate for the doctor's degree, to the satisfaction of each of the doctoral candidates' supervisor(s);
 - b. each doctoral candidate takes personal responsibility, both for an identifiable portion of the dissertation or technological design and for the coherence of the whole;

- c. an introduction to the dissertation or to the documentation of the technological design indicates for which portion of the dissertation or technological design which doctoral candidate is particularly responsible;
 - d. the statement on the verso of the title page referred to in Article 14, paragraph 3 is indicated for each of the doctoral candidates;
 - e. each doctoral candidate adds the required number of theses to the dissertation or technological design if it is decided to add theses.
2. In case of a joint dissertation or technological design as referred to in the previous paragraph the procedures and requirements of these regulations apply to each doctoral candidate separately.
 3. When, in the situation described above, the defense of the dissertation or technological design takes place in one session, and the complement of the Doctorate Committee of both doctoral candidates is identical, a situation of an adjusted protocol exists.

- Art. 17
1. Theses may be added to the dissertation or technological design. If theses are added, at least six of these must not be related to the topic of the dissertation or technological design, apart from the theses about the dissertation. Four of these theses must be of a scientific and technical nature and two of a general social nature. Theses must express the opinion of the doctoral candidate and must therefore not be mere quotations.
 2. The contents of theses must be such that it is possible to discuss them with the Doctorate Committee.
 3. The theses must include references to literature or state sources wherever possible.
 4. After the first supervisor has made a statement that he considers the theses defensible, the doctoral candidate will (through the Office of Doctoral Presentations and Academic Ceremonies) send his theses to the Rector for approval at least six weeks prior to the date of the defense ceremony. The Rector will ensure that theses are not unnecessarily offensive to persons or groups of persons and that they cannot damage the reputation of the university.

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- Art. 18.** The dissertation or the documentation of the technological design and the accompanying theses are written in Dutch, English, French or German or, subject to the approval of the Doctorate Board, in another language. In all cases an English translation of the title and a summary of the contents in English will be added to this, stating above the text the English title of the dissertation or technological design.
- Art. 19.** The dissertation or the documentation belonging to the technological design must be printed³.
- Art. 20.** It is not permitted to include any advertisements in the dissertation or the documentation of the technological design.
- Art. 21.** The dissertation or the documentation of the technological design may include suitably discreet acknowledgements, to be discussed with the first supervisor.

³ For the conditions pertaining to this, please contact the Office of Doctoral Presentations and Academic Ceremonies.

Chapter VI. The distribution of the dissertation or the documentation of the technological design

- Art. 22.**
1. The printed version of the dissertation or the documentation of the technological design and the theses, if any, must be sent to the chairman of the Doctorate Committee and to each of the members of the Doctorate Committee at least four weeks prior to the date of the defense ceremony; if this requirement is not satisfied, the date of the defense ceremony may be postponed on the authority of the Rector.
 2. The doctoral candidate must also take care of the further distribution of the dissertation, or of the documentation of the technological design with due respect for the relevant guidelines⁴.

⁴ See also the “Brief commentary on the Regulations governing the conferral of doctor's degrees”.

Chapter VII. The defense ceremony

- Art. 23.**
1. The defense ceremony takes place in public in the presence of the Doctorate Committee as referred to in Article 6.
 2. Anyone who wishes to oppose the doctoral candidate who is not on the Doctorate Committee must, at least three weeks prior to the date of the defense ceremony, submit a written request to that effect to the Rector, stating the subject of the question or stating the reasons for doing so.
 3. An opponent as referred to in paragraph 2 must have a doctor's degree.
 4. The Rector will inform the person who has submitted the request referred to in paragraph 2, whether permission will be granted or not.
- Art. 24.**
- The Rector, his deputy or the person designated thereto by the Doctorate Board, will chair the public session in which the dissertation or technological design and theses, if any, are defended. The chairman will determine the order in which the appropriate persons will oppose the doctoral candidate. The session will begin with a presentation of approximately 10 minutes by the doctoral candidate, after which first of all the members and advisers, if any, of the Doctorate Committee will oppose (approximately 10 minutes each) and subsequently, if time permits, the (co-)supervisors.
- Art. 25.**
1. The defense ceremony will end one hour after the commencement of the public session and will take place in Dutch, English, French or German.
 2. If the dissertation or technological design has been prepared by more than one person, the defense will be conducted by each of them in accordance with the provisions of the first paragraph.
- Art. 26.**
1. After suspension of the public session the Doctorate Committee will, on behalf of the Doctorate Board, take the decision on the conferral of the doctor's degree in a closed meeting.
 2. The decision on the conferral of the doctor's degree will be taken with due observance of the earlier decision of the Doctorate Committee as referred to in Article 13 and the defense of the dissertation or technological design and the theses, if any, by the doctoral candidate, by vote if necessary. If the votes are equally divided, the doctor's degree will not be conferred.

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- Art. 27.**
1. After reopening the public session the chairman will communicate the decision as referred to in Article 26 paragraph 2 to the doctoral candidate. Thereby he will point out the rights and duties connected with the doctor's degree.
 2. As proof that the doctor's degree has been conferred the doctor will receive a certificate drafted in Dutch, signed by the (acting) Rector, the supervisor(s) and the co-supervisor(s), if any.
 3. At the request of the doctoral candidate a declaration can be provided drafted In English, German or French, stating that the relevant person has received the doctor's degree at the university, and listing the (co) supervisor(s), the title of the dissertation or technological design and the date of the defense ceremony.

Chapter VIII. The Cum Laude arrangement

- Art. 28.**
1. In the written approval of the dissertation or technological design referred to in Article 13 paragraph 3 the first supervisor may, on behalf and with the consent of the other members of the Doctorate Committee, propose, stating reasons, to award the doctorate Cum Laude. The doctoral research conducted must be of exceptionally high quality and must have been conducted with an exceptional degree of independence. This proposal, drafted in English, must include the names of four experts, not belonging to the Doctorate Committee, who may be approached to give their assessment of the doctoral research.
 2. The Cum Laude Committee will be heard about such a proposal. This committee is chaired by the Rector and further consists of nine professors from the university, appointed for a term of four years by the Doctorate Board. The members may be reappointed once.
 3. The Cum Laude Committee checks the proposals for the following criteria:
 - * is there a clearly set goal and how is that goal attained yes or no;
 - * is there evidently a matter of innovative research;
 - * has the text been written clearly and to the point;
 - * what is the doctoral candidate's own contribution to the dissertation or technological design;
 - * what impact will the dissertation or technological design have on the field of study;
 - * does the dissertation present an excellent analysis;
 - * does the dissertation belong among the best 5% within the field;
 - * is the research published in leading journals;
 - * is the doctorate finished within the time period established for it.
 4. The Cum Laude Committee must approve the proposal, with at most one dissenting vote, or it will be rejected.
No abstentions are permitted.
 5. The decision of the Cum Laude Committee will be brought to the notice of the members of the relevant Doctorate Committee not later than one week before the defense ceremony.

6. After the defense ceremony has ended the Doctorate Committee will decide by ballot on the proposal to award the designation Cum Laude, this being after the decision to confer the doctor's degree has been taken.
In the voting procedure about the Cum Laude there can be one dissenting vote at the most. No abstentions are permitted.
7. All persons involved must observe strict confidentiality in the entire procedure.
8. If there is a possibility of the degree being conferred Cum Laude, two certificates will be prepared, one with and one without the designation Cum Laude. The unused certificate will be destroyed immediately after the deliberations.

The detailed procedure is available on www.tue.nl/promoties.

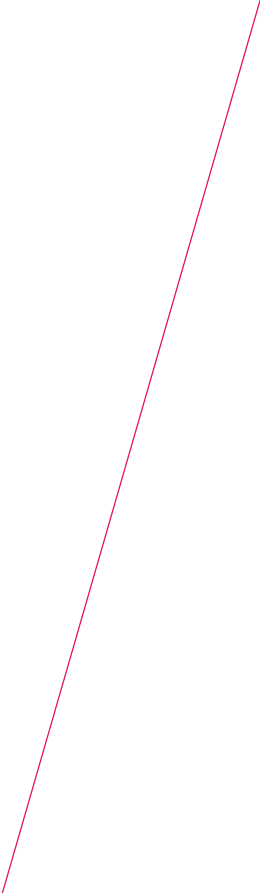
Chapter IX. Conferral of a double or joint doctorate

- Art. 29.** Pursuant to an agreement concluded between the university and a (Dutch or) foreign university, which must, within two years after the commencement of the doctorate path, be signed by the Rectors of both universities involved, a doctoral candidate may take a doctor's degree at each of the two universities. The conditions under which such a double or joint doctorate can take place are regulated further in this agreement.
- Art. 30.** The conditions as referred to in Article 29 concern the following items in any case:
- * the research is carried out under the responsibility of two supervisors, one at each university;
 - * the dissertation or technological design is defended first at the university before a mixed Doctorate Committee, proportionally composed of members on behalf of the two universities; if desired by the other university, a second defense ceremony can take place there; the Rector can (under certain conditions) give permission to deviate from this rule;
 - * the dissertation or technological design is written in (Dutch or) English;
 - * the preparation time for the dissertation or technological design is divided proportionally between the two universities in alternating periods. Deviations from this are permitted only if the reasons therefor are stated.
- Art. 31.** Insofar as the agreement referred to in Article 29 does not provide otherwise, the double doctorate will take place at the university pursuant to the provisions of the university's Regulations governing the conferral of doctor's degrees.
- Art. 32.** As proof that the doctor's degree has been conferred on the basis of a double doctorate, the certificate referred to in Article 27 will include a declaration that the conferral of the doctorate is taking place in cooperation with the other university. The other university involved will also provide a certificate with an identical declaration. In case of a joint doctorate, one certificate bearing the logos of both universities will be provided.

Chapter X. Regulations on disputes

- Art. 33.**
1. If during the preparation for the defense ceremony a dispute arises that cannot be resolved In joint consultation, the dean of the relevant department will serve as mediator at the request of one of the parties.
If the dean is a member of the Doctorate Committee, his deputy will perform this task.
 2. As soon as possible, but within one month at the latest, the dean of the relevant department will notify all parties concerned of his recommendation in writing.
 3. If this mediation does not result in agreement within one month, one party or both parties may turn to the Rector, in writing.
- Art. 34.**
1. The Rector will turn the matter over to the Doctorate Board, requesting that an appeals committee be set up.
 2. The appeals committee consists of at least three professors, with each party appointing one, as well as the Rector or a member of the Doctorate Board.
 3. The committee may be expanded if the Rector deems this necessary.
- Art. 35.**
1. The appeals committee will hear all persons involved and will within six weeks issue a recommendation to the Doctorate Board in the form of a draft decision stating reasons. This draft decision must take into account the interests of the doctoral candidate and the responsibility that the (co)supervisor(s) and the dean carry by virtue of their duties.
 2. The Doctorate Board may only deviate from the recommendation of the appeals committee for compelling reasons.
 3. The Doctorate Board will notify the parties of its reasoned decision.

Chapter XI. Transitional and final provisions

- Art. 36.** In cases not provided for by these regulations, the matter will be decided by the (acting) Rector.
- Art. 37.** These regulations were adopted in the meeting of the Doctorate Board held on 7 July 2014.
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Schedule for preparation for defense ceremonies

Time	Action/decision	By	Article
Well in advance	Request for exemption from the program requirement for candidates with a foreign previous education and request for a decision in principle for candidates with a higher professional education (hbo) diploma	doctoral candidate/ intended supervisor	3.2
At least six months before the desired date of the defense ceremony	Submit request for permission (form I):	doctoral candidate/ supervisor	4.1
	* Description of the research including methods used		4.2
	* Letter of intent supervisor		4.4
	* Proposal composition Doctorate Committee		4.4
	* CV and publication list		4.5
Soon after that	Notification of decision on permission	Rector	5.1
At least two months before the desired date of the defense ceremony	Doctorate Committee approves dissertation or technological design and first supervisor submits proposal (form II + appendices)	supervisor	13.3 and 14.1
	Proposal Cum Laude, if applicable	supervisor	28.1
	Definitive date defense ceremony	Doctorate Board	14.1
	Approval of recto and verso of title page	Rector	14.3
At least six weeks before the date of the ceremony	Confirmation approval of proposal	Rector	14.1
	Submit theses, if any, to Rector	doctoral candidate	17.4

Time	Action/decision	By	Article
At least four weeks before the definitive date of the defense ceremony	Dispatch of the dissertation/ documentation technological design and theses, if any, to the members of the Doctorate Committee, others and library	doctoral candidate	22.1
			and 22.2
One week before the date of the defense ceremony	Dispatch decision Cum Laude Committee to the members of the Doctorate Committee	Rector	28.5

Brief commentary on the Regulations governing the conferral of doctor's degrees

The TU/e Regulations governing the conferral of doctor's degrees are based on the statutory provisions of the Higher Education and Research Act (*Wet op het hoger onderwijs en wetenschappelijk onderzoek; WHW*).

Under the WHW, eligibility to act as supervisor accrues either to a professor of a Dutch university or of the Open University or to a professor of a foreign university or to a professor occupying an endowed chair. Former professors may also act as supervisor within five years after they have been honorably discharged. Former professors retain the right for five years to act as voting members of the committee (WHW Art. 9.19, para. 3). After that their voting membership is granted only in exceptional cases.

The Doctorate Board appoints at most one person as “expert” (i.e. a member who is not a professor nor an associate professor) to a committee. This expert must hold a doctor's degree. Assistant professors cannot be designated as “expert”; if it is deemed desirable to give an assistant professor a position in a Doctorate Committee, designation as co-supervisor or as adviser may be considered. Others who are not eligible to join the Doctorate Committee and who have clear expertise in (a part of) the area covered by the dissertation or technological design may also be eligible to serve as adviser.

If a supervisor not affiliated with the university (guest supervisor) is designated, the Doctorate Board designates a professor from inside the university as second supervisor who may inter alia lend assistance to the doctorate procedure of this institution.

The Doctorate Board will only agree to a combination of a first and second supervisor from outside the university in exceptional cases. Considering that the system for approval of doctoral dissertations is largely based on trust in the supervisors (first and second), it is undesirable that both supervisors are not (or no longer) employed by the university. This provision applies to those cases in which one of the supervisors is not affiliated with the university and the other supervisor is employed by the university or has left the university no longer than five years before and is now working for another university or has retired. The provision also applies to those cases in which both supervisors are employed by the university or have left the university no longer than five years ago and are now working for a different university or have retired. In all cases, the Doctorate Board will ask the dean for a separate, written motivation.

The doctoral candidate's CV, including a list of publications, will be added to the request for admission to the defense ceremony. This supplement can, in case of unusual situations (in particular regarding external doctoral candidates who are not known at the university) serve as a warning signal and give the dean cause for greater caution. The doctoral candidate is responsible for providing this CV. The Doctorate Board can ask the dean for inspection of the doctoral candidate's CV. In case of doubt the dean will ask the first supervisor for the short CV of an external member of the Doctorate Committee. The Doctorate Board can ask the dean for inspection of the CV.

The dissertation or technological design is not officially definitive until the Doctorate Committee has made the decision referred to in Article 13, paragraphs 3 and 4.

It is of the greatest importance that all parties involved in the procedure observe the prescribed deadlines. The schedule accompanying these Regulations may be helpful in keeping track of these deadlines.

The most important decisions involved in the process are:

- * the decision of the Doctorate Board to grant permission to take a doctor's degree, as well as the designation by this Board of the supervisor(s) and co-supervisor(s), and the designation of the members of the Doctorate Committee to be set up;
- * the approval by the supervisor(s) of the dissertation or technological design and acceptance thereof as proof of the doctoral candidate's ability to work independently in the relevant scientific field, as well as the decision by the supervisor(s) to allow the doctoral candidate to defend his views on the basis of the dissertation or technological design;
- * the conferral of the doctor's degree or the doctor's degree Cum Laude by the Doctorate Board, after the defense of the dissertation or technological design and theses, if any, in the presence of the Doctorate Committee, consisting of at least 5 voting members (see Article 6.4).

In this connection it is important to note that Article 22.1 entitles the Rector on his own authority to move the date of the defense ceremony if the final version of the dissertation or the documentation of the technological design is not sent to all members of the Doctorate Committee in time.

Article 3, paragraph 3 deals with the decision to grant exemption from the program requirement. In such cases the Doctorate Board is advised by the relevant Master's examining board. This latter board has to seek the (preliminary) advice of the Education and Student Service Centre (Onderwijs en Studenten Service Centrum; STU) (degree appraisal) and/or, through that office, of NUFFIC. The Doctorate Board has authorized the Rector to take the relevant decisions.

It should be noted that persons previously educated outside the Netherlands whose educational background would not make them eligible to take a doctor's degree in their "own" country, will in general not be admitted to the university either. In highly exceptional cases (involving a previous education in or outside the Netherlands) the Rector is authorized by the Doctorate Board to appoint a small committee that will make a preliminary judgment as to whether admission may be justified. The final decision on such matters will be made by the Doctorate Board. In such cases the Doctorate Board will hear the examining board of the relevant department.

Persons who hold an old-style (before 1 September 2002) Dutch higher professional education (hbo) diploma are advised to request "admission in principle" well in advance, preferably before the actual start of the doctoral research or technological design. The point of departure in such a case is that under the WHW someone with an hbo diploma may in principle be eligible to take a doctor's degree. In that context it is important that the candidate should have enough experience with scientific research to complete the doctor's degree program successfully. On the basis of the candidate's curriculum vitae, a list of publications and a recommendation of the intended supervisor the feasibility of this admission may be assessed in advance.

Article 22.2 (distribution of the dissertation or documentation of the technological design) deals with the applicable conditions. In summary, copies should go to the following persons or places:

- * the Doctorate Committee;
- * department (number to be determined in consultation with the supervisor);
- * library: 2 copies (to be used for exchange between libraries);
- * 3 copies for the Office of Doctoral Presentations and Academic Ceremonies;
- * 2 copies for press briefing;
- * digital version dissertation for the library (only with the permission of the doctoral candidate).

For information regarding ISBN-number for dissertations, see www.tue.nl/promoties.

Confidential business information may be included in a confidential appendix to the dissertation or technological design. This confidential appendix does not form part of the formal dissertation or technological design and is not the subject of the deliberations in the Doctorate Committee. Consequently it is not considered in the assessment of the dissertation or technological design.

It is allowed to include the logos of scientific organizations and/or research schools in the dissertation, provided that they are modest in size and in black and white.

TU/e has the possibility of both a double and a joint doctorate because joint doctorates are not yet legally possible in all countries. Cooperation partners may have a preference for one of the two types. In case of a double doctorate there are two doctoral degree certificates referring to each other. In case of a joint doctorate there is one certificate bearing two logos.

The TU/e preference is to work with a double doctorate when it concerns one or several paths, and with joint doctorates in case of an intensive programed cooperation. This does not need to be in the form of a joint institute.

The standard period required for a doctorate at TU/e is four years, i.e. also in case of double and joint doctorates. In case of both a double and a joint doctorate, two years are spent at each of the two participating universities. Education must definitely form part of the doctorate path. (e.g. professional skills), but must not comprise more than 30 ECTS.

If there are more parties involved in a consortium, TU/e accepts responsibility only for those doctorates in which TU/e is actually involved. When a TU/e doctoral candidate has spent a year elsewhere, this can be stated in a letter from the other university. This is not a double or joint doctorate but a TU/e doctorate. When a doctoral candidate from another university has stayed here for one year, it is a doctorate of that other university, in which case a letter from TU/e can also be incorporated, which letter is to be written by the dean of the department involved.

In principle, then, there are three possible scenarios:

- 1) Eindhoven bears the primary responsibility for the research,
- 2) Eindhoven, together with the partner institute, bears joint responsibility for the research and
- 3) The partner institute bears the primary responsibility for the research.

Only in the first two cases can an Eindhoven double or joint doctorate be conferred. In the third case only a letter is written in which the Eindhoven involvement in the project is confirmed, which letter is to be written by the dean of the department involved.

In case of double or joint doctorates a cooperation agreement is signed between both universities involved by the Rectors of both universities, within two years after the commencement of the doctoral path, whereby the supervisor must have the prior authorization from his dean. Draft agreements are checked by the educational lawyer prior to their signing by the Rector.

The Rector may allow deviations from the above provisions.

In principle the dissertation is defended first at TU/e (a requisite condition for joint doctorates for government financing). The Rector can grant permission to deviate from this rule.

Below you find a step-by-step plan that can be followed.

Step	Action	Who	When	Approval
1 Cooperation agreement	Set up joint research program + cooperation agreement	Program leaders partner institutes	Before commencement research ⁵	Rector
2 Definition doctorate project	Definition of a research/ doctorate project within the framework of the aforementioned research program	Intended 1 st supervisor	Before commencement research	Program leader
3 Definition supervision path	Determine “first” and “second” supervisor, determine residence and supervision structure, lay down in draft Training and Supervision Plan (TSP)	Intended 1 st supervisor	Before commencement research	Program leader
4 Selection candidate	Selection of a candidate, suited for the project, establish “prior knowledge” and elaborate TSP ⁶	1 st supervisor	Before commencement research	Program leader

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⁵ The ratification of the joint research program and the relevant cooperation agreement by the Rector (pursuant to positive advice from the dean involved) takes place 2 years after commencement of the research at the latest.

⁶ Wherever the duration of appointment of the proposed TSP differs significantly from the appointment provided in the program, it will be necessary to obtain approval also from the Departmental Board involved with regard to the financial consequences.

Step	Action	Who	When	Approval
5 Commencement research	Submission form I + TSP to Doctorate Board (DB), proposal role TU/e with regard to conferral of doctorate ⁷	1 st supervisor	Upon commencement of research, but not later than six months before the intended date of the defense ceremony	Rector, via DB
6 Determine progress of research	Establish whether the results obtained so far justify the expectation that a doctorate of adequate quality ⁸ is feasible within the set period, adjustment/ elaboration in TSP	Doctorate Committee	Between 32 and 36 months after commencement of research	Doctorate Committee
7 Approval dissertation	Approval of dissertation according to contents, quality and contribution of partner institutes involved; proposal for conferral yes or no of Eindhoven degree of doctor, submission of form II	Doctorate Committee	Around 42 months after commencement of research, but not later than two months before the intended date of the defense ceremony Rector, via DB	Rector, via DB
8 Defense	Public defense of the dissertation, firstly in Eindhoven. Conferral of the double or joint degree of doctor	Doctoral candidate	Around 48 months after commencement of research	Doctorate Committee

⁷ In principle there are three possible scenarios: 1) Eindhoven bears the primary responsibility for the research, 2) Eindhoven, together with the partner institute, bears joint responsibility for the research and 3) the partner institute bears the primary responsibility for the research. Only in the first two cases can an Eindhoven double or joint doctorate be conferred; in the third case only a letter is written in which the Eindhoven involvement in the project is confirmed.

⁸ A unique research fee, comparable in size and quality to the results obtained by a “standard TU/e doctoral candidate” in case of a regular appointment of 48 months.

Protocol defense ceremony

The protocol takes place with or without two seconds being present.

1. Dress

Professors:

ladies: cap and gown, white blouse, dark woman's suit, black shoes;

gentlemen: cap and gown, dark suit, white shirt, grey tie, black shoes.

Non-professors:

ladies: a dark woman's suit, white blouse, black shoes

gentlemen: dark suit or morning coat, white shirt, black shoes;

beadle: cap and gown, grey tie, black shoes.

Doctoral candidate and seconds:

ladies: a dark woman's suit, white blouse, black shoes;

gentlemen: dress suit, black shoes.

N.B. Any participants in the ceremony who are not from the Netherlands may also wear the attire that would be appropriate on a comparable occasion in their own countries.

2. Audio and video recordings

Audio and video recordings are permitted during the defense ceremony, as long as they are not disturbing (i.e. do not walk around, except during the presentation of the degree).

3. Overview of the ceremony

a. **Twenty minutes** before the session commences:

the Doctorate Committee meets in either Committee Room 4 (level -1) for a ceremony in Collegezaal 4, or Committee Room 5 (level -1) for a ceremony in Collegezaal 5 of the Auditorium.

The chairman determines the order in which the members and any others will oppose the candidate.

b. The beadle seats seconds, if any, accompanying the doctoral candidate behind the doctoral candidate.

For anyone opposing from the hall, places are also reserved in the first row.

- c. Just before the session commences:
the Committee, preceded by the beadle, proceeds in the following order to the hall where the defense ceremony will take place: chairman and secretary, supervisor(s), co-supervisor(s) if any and the other members etc.
The doctoral candidate, seconds, if any, and all others present will rise when the Doctorate Committee enters the hall.

- d. The chairman of the Doctorate Committee opens the session. He asks the doctoral candidate to take his place behind the lectern. The seconds proceed to their places, diagonally behind the doctoral candidate.
The doctoral candidate first gets the opportunity to give a summary account of his doctoral research (10 minutes at most).
The chairman of the Doctorate Committee gives the floor alternately to an opponent (who expresses reservations or asks a question) and to the doctoral candidate (who answers the opponent).
The doctoral candidate addresses the opponents as follows: “highly learned opponent” (professor), “most learned opponent” (non-professor).
The supervisor and co-supervisor are addressed as follows by the doctoral candidate:
“highly learned supervisor” and “most learned co-supervisor” respectively.
The members of the Doctorate Committee address the doctoral candidate as “esteemed doctoral candidate”.

- e. After an hour the beadle announces, “Hora est”.
The chairman of the Doctorate Committee asks the doctoral candidate to take a seat in the hall and announces that the Committee will retire to deliberate further, whereupon the Committee leaves the hall.

- f. After their deliberations are complete the Committee, preceded by the beadle, returns to the hall in the following order: chairman and secretary, supervisor(s), co-supervisor(s), if any, and the other members etc.

- g. The chairman of the Doctorate Committee reopens the meeting and asks the doctoral candidate to stand before the table. The seconds stand on either side of the doctoral candidate. The chairman of the Doctorate Committee announces that the Doctorate Board has decided to confer the doctor’s degree upon the doctoral candidate, Cum Laude or otherwise.

- h. The (first) supervisor confers the doctor's degree upon the doctoral candidate. The Committee and the people in the hall sit; the first supervisor, the "young" doctor and seconds, if any, stand. The (first) supervisor delivers a short address.
- i. The chairman of the Doctorate Committee congratulates the "young" doctor in the name of the Doctorate Board and draws attention to the rights and duties associated with the title of doctor. The (first) supervisor has taken a seat. Only the "young" doctor and seconds, if any, are requested to take a seat in the hall. The session is closed by the chairman of the Doctorate Committee when the "young" doctor sits down again.
- j. The Doctorate Committee leaves the hall, preceded by the beadle. The beadle then returns to fetch the "young" doctor.

4. Overview of the ceremony for a joint dissertation or technological design

The defense ceremony in case of a joint dissertation or technological design including deliberations will take somewhat longer than two hours. These defense ceremonies must commence at 15.00 hours.

At 14.30 hours the Committee will hold its preliminary meeting; the duration of this is approximately a half hour.

At 15.00 hours there will be a summary account of the doctoral research; each doctoral candidate will speak for five minutes, in succession.

At 15.10 hours the first doctoral candidate's defense begins. This goes on for forty-five minutes (the other doctoral candidate takes a seat in the front row).

At 15.55 hours the beadle announces the end of the first defense. The chairman of the Doctorate Committee invites the "first" doctoral candidate to take a seat in the front row and invites the "second" doctoral candidate to take his place behind the lectern. The duration of this defense is also forty-five minutes.

If desired, the session may be suspended briefly between the defenses of the "first" and "second" candidate.

At 16.40 hours the beadle announces, "Hora est". The chairman of the Doctorate Committee asks the "second" doctoral candidate to take a seat in the hall and announces that the Committee will retire to deliberate further (for twenty to thirty minutes).

At approximately 17.00 hours the "young" doctors are addressed.





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