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2021 Joint Doctorates Operational Regulations (cf. 2020 Doctorate Regulations)

**adopted by the UvA Doctorate Board (*College voor Promoties*) in its meeting
of 25 September 2018, revised on 4 January 2022**

Section 11, article 40, of the 2020 Doctorate Regulations contain a framework for setting up joint doctorate agreements between the UvA and Dutch or foreign partner institutions.

Timing of the joint doctorate

Just as the exemption from the legal educational requirements (where necessary – see Article 8 of the Doctorate Regulations) and the admission to the doctoral programme (Article 9), the joint doctorate must be agreed at the start of the doctoral programme. A grace period amounting to a maximum of one year will apply; **the Dean must have made a formal request for the conferral of a joint doctorate within a year after the start of the doctoral programme** by submitting a request form in the manner described below, along with the complete documentation required. If this request is not made, the option of pursuing a joint doctorate with the University of Amsterdam as a partner will no longer be available. The partnership agreement must be signed within a year of the date on the Dean's request form.

Work process

Initial coordination with the Secretariat to the Doctorate Board

It is advisable to coordinate preliminary joint doctorates or preliminary plans with the Secretariat to the Doctorate Board as soon as possible. To do so, the faculty contact person can contact the Secretariat directly on the Dean's behalf. Together, they will explore the following items:

- familiarity and prior experiences with the partner institution;
- formal feasibility of a joint doctorate (under the laws and regulations of the partner institution/country);
- candidate admissibility quick scan, if the candidate does not or is unlikely to meet the legal educational entry requirements;
- up-to-date 'empty' draft partnership agreement;
- assistance with the preliminary coordination of the examination/defence possibilities.

Formal request for a joint doctorate

Pursuant to the Doctorate Regulations, the Dean must subsequently submit a fully completed request form to the Rector Magnificus (in her/his capacity as the Chairperson of the Doctorate Board) as soon as possible. This request should (briefly) touch on the items listed below. The faculty must complete the file with the details/documents referred to below. Note that the form itself may be signed digitally by the Dean. The other documentation should also be supplied in digital form.

1. Joint Doctorate Request Form

This form cannot be found on the UvA website, the newest version should always be requested directly via jointdoctorates-bb@uva.nl. Please fill out the following on the form:

2. Name and prior education of the doctoral candidate

In case the doctoral candidate is not in possession of a Dutch master or old style *doctoraaldiploma*, a quick scan should be carried out on all appendices that must be added to a request for an exemption: please include the doctoral candidate's scientific curriculum vitae, a scan of a valid passport and a scan of all bachelor and master degree certificates. It is not necessary at this stage to submit original or certified copies of degree certificates; however, translations must be submitted for those documents explicitly mentioned on the exemption form when these documents are not set in the languages mentioned on the form. Please send all of the above to cvp-exemption-bb@uva.nl with a cc to jointdoctorates-bb@uva.nl.

3. Name and place of the partner institution and a brief description of the research group

If applicable, you should also use this space to provide more details about how the joint doctorate will be embedded in an existing partnership between collaborating research groups.

4. Name and titles of the supervisor and any co-supervisors from the UvA and the partner institution

Given that each partner institution should supply a supervisor (who has the *ius promovendi* or a local equivalent), the requirement that there should be two supervisors will have been met at any rate. In addition, a maximum of two co-supervisors may be appointed.

5. Title/name of the research project and a brief description of its contents

This description should include a working plan, which should in any case include the following:

- description of the research project;
- supervision plan for the university and the partner institution;
- planning schedule for the research (specifying the time in months that the doctoral candidate will spend at the university and the partner institution). This schedule is subject to the **general requirement that a substantive part of the research should be carried out at both institutions** (i.e. the researcher becomes part of the academic community as opposed to being supervised 'externally'); **A research stay of a minimum of 6 months at both partner institutions is mandatory for joint doctorate candidates;**
- if applicable, a description of the training programme that the doctoral candidate will take, specifying the institution where the various components will be taken;
- the language in which the doctoral thesis will be written.

If this language is neither Dutch nor English, the file must contain a request for permission to use another language, pursuant to Article 15.3 of the UvA Doctorate Regulations. This request must take explicit account of the possibility of appointing a Doctorate Committee that complies with the requirements of these Doctorate Regulations and whose members have sufficient ability in the language in question to be able to assess the doctoral thesis.

6. Proposed defence location and language

To avoid any disputes after the fact, the defence location should be agreed at the start of the doctoral programme. This location should be determined primarily for substantive reasons (as opposed to funding considerations). The defence language is subject to the same requirements as the thesis language (i.e. the fifth bullet point under Item 5 above and Article 36.3 of the Doctorate Regulations). N.B. in case the final defence is not held at UvA but at a foreign partner institution no government funding ('bekostiging') is allocated to the UvA. In case the partner institution is another Dutch university, the funding is always split 50/50.

7. Doctorate Regulations and official contact person of the partner institution(s)

Information about the Doctorate Regulations of the partner institution, with a link to these Regulations (or a note that the document will be submitted by email) as well as the name and address of an official contact person.

8. Draft partnership agreement (as an appendix) with as many specific details as possible already completed, at the very least covering the items listed above already touched on by the Dean and an explanation of any points of contention with the partner institution.

Please note: do not submit a draft or final partnership agreement that has already been signed!

Assessment

Given that the Dean's request is subject to the Doctorate Regulations and is addressed to the Doctorate Board, responsibility for assessing the request lies with the Office of the Rector. In case the request has been submitted in line with these Regulations, the file is complete and the doctoral programme meets the requirements in the Doctorate Regulations (Article 40), the Secretariat to the Doctorate Board will inform the faculty contact person directly.

Elaboration and finalisation of the partnership agreement

Following assessment of the request, the Secretariat to the Doctorate Board will elaborate the partnership agreement further. Depending on the differences between regulations and any points of contention, this process may be complex and time-consuming. Finally, the agreement is signed. The UvA strongly prefers digital signing of agreements. In case the partner institution prefers secure digital signing, the Office of the Rector has specialised software available for this purpose (ValidSign). Please contact jointdoctorates-bb@uva.nl for additional information.

Admission to the doctoral programme

Once the partnership agreement has been signed by all parties, the doctoral candidate must be exempted from the legal educational requirements on the basis of original degree certificates and submit a request for admission to the doctoral programme (pursuant to Article 9 of the Doctorate Regulations).

Degree certificate and defence

The partnership agreement should contain a broad outline of the defence process and the design of the degree certificate. This information will be reassessed and discussed with the partner institution by the Office of the Beadle and further specified/amended (if required) as soon as the date of the defence nears (ca. 6 months in advance).

Schematic checklist

Please note, all the steps mentioned below must also be taken if the final thesis defence is held at the partner institution.

	Faculty	CvP*	Beadle	
Initial coordination with partner institution	x			
Coordination with CvP	x			
Formal request from Dean	x			
Assessment of Dean's request		x		
Elaboration of partnership agreement		x		In consultation with faculty and partner institution
Coordination of agreement signing		x		Agreement only validated by the UvA once signed by rector
Exemption from educational requirements		x		Doctoral candidate remains responsible for submitting form and correct (original) documents
Admission to doctoral programme		x		Through submission of form and in line with partnership agreement
Composition of Doctorate Committee	x	x		
Defence preparation	x	x	x	
Degree certificate design			x	In consultation with partner institution
Degree certificate preparation and award ceremony			x	

* CvP = College voor Promoties (Doctorate Board)

Appendix

Joint doctorate request form (can be requested from the Secretariat to the Doctorate Board by emailing jointdoctorates-bb@uva.nl)

Background

Article 40 of the 2020 Doctorate Regulations sets out a framework for the decision-making process regarding joint doctorates. This article states the following:

1. At the University, a joint doctorate can be awarded on the basis of the defence of a doctoral thesis in the presence of the Doctorate Board or the Doctorate Committee appointed by the Doctorate Board.
2. The conferral of the doctorate shall be carried out by the Doctorate Board, together with a comparable body within the partner institution(s).
3. Joint doctorates are undertaken in accordance with these Doctorate Regulations. Any deviations from the Regulations and any other agreements shall be set down in a collaboration agreement between the University and one or more partner institutions.
4. A joint doctorate at the University can only be obtained after the conclusion of the aforementioned written collaboration agreement, in which the Rector Magnificus, in his/her capacity as chairperson of the Doctorate Board, may mandate additional agreements with the partner institution(s). For this purpose, the intended supervisor and the Dean of the faculty in which the supervisor is appointed must submit a written reasoned request for a joint doctorate to the Doctorate Board.
5. This request will include an explanation of the content and composition of the programme for the joint doctorate, and will demonstrate that the doctoral thesis will be prepared by means of a partnership with the partner(s). The joint doctorate partners will make a substantial contribution to the doctoral programme.
6. In the case of a joint doctorate, the doctoral candidate will conduct the research under the responsibility of a supervisor at the University and a supervisor (or the foreign equivalent thereof) from each partner institution with which the partnership referred to in the previous paragraph has been made. This shall not affect the responsibilities of each individual supervisor for the doctoral thesis as a whole.
7. With regard to joint doctorates, no more than two supervisors may be appointed, with the exception of joint doctorates where there are more than two partner institutions.
8. The joint doctorate will, as far as possible, proceed in accordance with the relevant regulations of the partner institutions.
9. In the case of joint doctorates, the doctoral thesis shall be assessed by a Doctorate Committee – as meant by Article 18 – formed in consultation with the partner(s). One of the supervisors on this Committee will be from the University. The Doctorate Committee will be appointed in accordance with the regulations set down in Article 20.
10. At the start of the joint doctorate programme, the location of the defence ceremony will be set down in the collaboration agreement referred to in paragraph 3. For the defence ceremony, the rules of the partner institution at which the ceremony will take place will be respected as far as possible.
11. As proof of the conferral of a joint doctorate, the candidate will receive a certificate. The form of this certificate will be determined in consultation with the partner(s).