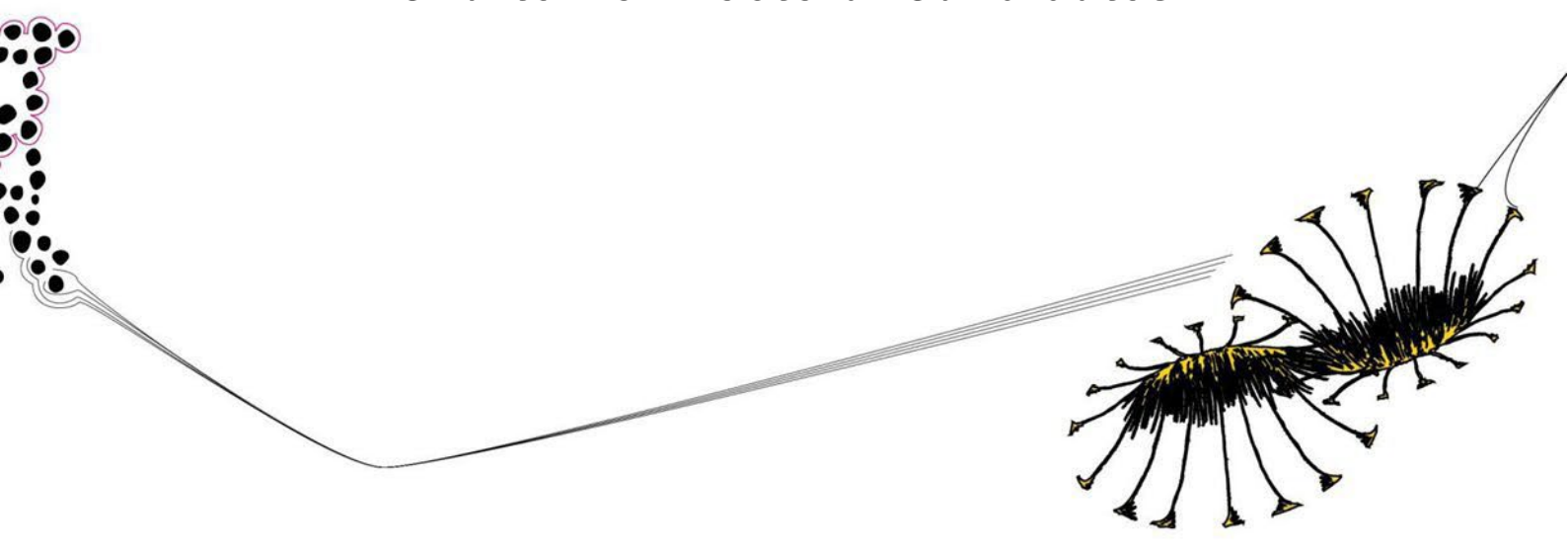




Charter for Doctoral Candidates



Approved by the Doctorate Board and adopted by the Executive Board
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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. Wherever this Charter speaks of 'doctoral thesis', this may also be read as 'technical design'
4. The Executive Board of the University of Twente adopts the Charter after having heard the Doctorate Board. The Doctorate Board may propose changes.
5. In case of any discrepancy between the Dutch text of the Charter and the English translation, the Dutch text will prevail.

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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 assessment of the manner in which the employed doctoral candidate or the employee obtaining a doctorate performed their duties and their conduct during the performance of these duties, in accordance with Article 6.8 of the collective labour agreement,
- c. progress interview interview for non-employees during which the thesis supervisor discusses the progress of the doctoral process with the doctoral candidate,
- d. 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 on request in supervising the doctoral candidate in the completion of the doctoral thesis/technical design.
- e. faculty dean dean of a faculty of the University of Twente,
- f. Graduate Board Board for overall policy on TGS, in particular the decentralised TGS clusters,
- g. Doctorate Board Board which acts on matters concerning the conferral of doctoral degrees (Art. 9.10 of the Dutch Higher Education and Research Act),
- h. Doctoral Regulations Doctoral Regulations of the University of Twente,
- i. EC European Credit, a credit which equals 28 hours of study, as provided in the Act,
- j. 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,
- k. HR Service Department Human Resources,
- l. 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,
- m. qualifier a meeting during which the doctoral candidate is assessed and it is decided whether the research proposal is of a sufficient level and whether it is likely that the prospective doctoral candidate will complete the doctoral project within the remaining period.
- n. 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,
- o. 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,
- p. TGS Twente Graduate School, the University section that registers doctoral candidates,
- q. TGS Cluster Leader meeting representatives of decentralised TGS clusters,
- r. TGS Dean Dean of the Twente Graduate School,
- s. TGS programme study path 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 (Hora Finita),
- 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

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| | programme, |
| y. employee | a person employed by 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 (2011, revised in 2019; see Annex 1):

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| 1.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'), |
| 1b 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, |
| 2a doctoral candidate with grant from the University or UMC: | doctoral candidate who is not employed by the University and who is in receipt of a grant from the University or UMC for the doctoral research ¹ , |
| 2b doctoral candidate with grant from another organisation: | doctoral candidate who is not employed by the University and who is in receipt of a grant from another organisation for the doctoral research ² , |
| 3 externally funded doctoral candidate: | doctoral candidate who is not employed by the University and who receives funding and/or time for the doctoral research, for instance by the employer ³ |
| 4 external doctoral candidate: | doctoral candidate who is not employed by the University and who receives no funding or time for the doctoral research ⁴ |

2. Most employed doctoral candidates (article 2.1.1a and b) 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 (articles 2.1.2b; 2.1.3 and 2.1.4, hereinafter referred to jointly as 'non-employed doctoral candidates' or specifically as 'doctoral candidates with a grant', 'externally funded doctoral candidates' and 'external doctoral candidates', may put forward subjects of research within the research area of the research group (in consultation with the intended thesis supervisor).

¹ Not possible or allowed at present

² Doctoral candidates in this category are not University employees and are deemed to be students. They are also subject to provisions that are in keeping with this student status, e.g. with respect to tuition fees (Article 18.2) and the choice of the object of research (Article 2.2).

³ Doctoral candidates in this category are not University employees and are deemed to be students. They are also subject to provisions that are in keeping with this student status, e.g. with respect to tuition fees (Article 18.2) and the choice of the object of research (Article 2.2). For some candidates in this category, such as externally funded candidates employed by a Dutch research organisation, this will not apply. The charter will be applied to this sub-category as if they are employees of another organisation. This means that they can disregard the provisions laid out in Article 10.1 paragraph d (tuition fees), Articles 10.5 and 11.3 (doctorate agreement) but that the provisions laid out in Article 2 paragraph 2 (object of research) and the employee procedure (Article 16a) may apply to them.

⁴ These are mid/end-career doctoral candidates who do not make use of the university facilities (other than to log on online); they obtained their Master's degree a considerable time ago and have already spent many years in a career. Self-funding international PhD students who do make use of the university facilities, are residing in the Netherlands and recently gained their Master's degree also fall into this category.

Chapter 2 Programme

Article 3 Mission of the Twente Graduate School

The University of Twente aims to empower doctoral candidates to become recognized leaders in academia or society at large. The design and evaluation of the doctoral education programmes of the Twente Graduate School (TGS), its candidate support and clear and consistent policies and quality assurance procedures contribute to high standards of quality of the doctoral (PhD and EngD) trajectories. The TGS aims to train and educate excellent researchers, usually at the start of their career, and to promote excellent research via clustered or separate doctoral programmes. The doctoral candidates are trained to prove their competence by means of a doctoral (PhD and EngD) 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 individualize the specific doctoral programmes and services.

Article 4 Exit qualifications

1. The exit qualifications of the doctoral programme are:

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

2. Criteria for assessment of thesis and doctoral candidate

The criteria on which the thesis is assessed are as follows:

- Choice of topic and relevant research areas
- Command of the relevant literature
- Adequacy of the study design and the methodology applied to the issues researched
- Quality of the research data and the analysis of those data
- Quality of the conclusions in the context of the original research question, the data and the evidence provided.

The doctoral candidate:

- performs as an independent researcher, demonstrating the ability to:
 - formulate relevant research questions
 - conduct original academic research
 - publish in leading academic journals (or create and describe an original design)
- relate the research to the relevant academic discipline(s) and the broader academic context
- relate the research and the results to the broader social context.

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, and the Doctoral Education Guidelines (see paragraph 5).
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 PhD courses as offered by the UT Centre for Training & Development or other (online) course providers. ECs can also be obtained by attending national and international conferences and summer schools, participating in activities by national research schools or other partners⁵, or certain courses under the University's Master's programmes. Further provisions governing the obtaining of ECs in the context of the education programme are laid out in the [Doctoral Education Guidelines](#).
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 Dean, who will decide on this (after consulting the faculty dean, if necessary). Exemptions from >20 ECs will be referred to the Doctorate Board.

⁵ Recognition of activities conducted abroad may be subject to submission of a translation of the documentary evidence.

Article 6 TGS education certificate

1. The thesis supervisor evaluates the performance delivered by the doctoral candidate in the education programme. After a positive assessment, the thesis supervisor submits the completed T&SP to the TGS Dean, 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 Dean 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 Dean 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 Dean. The evaluation results are discussed in the TGS Cluster Leaders meeting. Where necessary, steps are taken to improve the quality.
3. The PhD programme as a whole is evaluated regularly, focussing on issues such as supervision and support, by means of tools such as the final evaluation questionnaire, exit interviews (see Article 21) and participation in the national PhD survey conducted by the VSNU.

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.
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 a doctoral candidate with a grant, an externally funded doctoral candidate or an 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. 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 department⁶ for advice. The selection committee checks, among other things, whether the registered person meets the admission requirements (Article 10.1) and conducts a recruitment interview.
2. The intended thesis supervisor makes a pre-selection of incoming applications by potential doctoral candidates with a grant, externally funded doctoral candidates and external doctoral candidates (Annex 1: categories 2b, 3 and 4). If the fit is not good, they may forward the application to a more suitable UT colleague. A selection interview can then take place with the intended thesis supervisor, any daily supervisors and at least one staff member of another chair, supplemented, if necessary, with other experts, at the discretion of the intended thesis supervisor. The selection committee checks, among other things, whether the registered person meets the admission requirements (Article 10.1), the candidate's motivation and the quality and originality of their research ideas. It is highly advisable to invite the selected person for a meeting at the University, in order for them to become familiar with the UT environment and the research group (and vice versa).
3. 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 approved⁷ 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 non-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);

⁶ For pragmatic reasons, the choice was made to request this advice from the HR department for both employees and non-employees.

⁷ Evaluation of non-NVAO accredited degrees via Admission Office. Exemptions may be granted by the Doctorate Board (Doctoral Regulations article 2.4).

- d. Non-employed 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. The TGS will then initiate registration.
5. In case of non-employed 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)⁸, the time schedule, logistics and the facilities necessary for the entire doctoral research project. The faculty dean gives final approval to this formal agreement, after consultation with HR concerning the fiscal status. The TGS is informed by HR of the starting date of the doctoral candidate. The TGS will then initiate registration.
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 by HR as soon as possible after the start of the employment or doctorate agreement and included in the doctoral candidate monitoring system. An intake interview with the TGS will then take place.
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. The duration of a nominal doctoral program is in principle 4 years in the event of full-time availability of the doctoral candidate. In the event of part-time availability of the doctoral candidate, the duration of the nominal doctoral program will in principle be extended proportionally.
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. in principle four years if the doctoral candidate is employed full time (for 38 hours per week);
 - b. in principle five years if the doctoral candidate is employed for 32 hours per week.
 - c. in principle six years in combination with extra educational responsibilities (2/3 doctorate, 1/3 education).
3. A doctorate agreement with doctoral candidates with a grant and externally funded doctoral candidates is concluded for in principle 4 years in the event of full-time availability of the doctoral candidate. In the event of part-time availability of the doctoral candidate, the duration of the doctoral agreement will in principle be extended proportionally.
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 15/16a or 16b 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.

⁸ 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 in which trusted repository the underlying data of the research will be deposited at the end of the PhD project⁹.
 - 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 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. Doctoral candidates with a grant, externally funded doctoral candidates and external doctoral candidates are no UT employees and therefore do not teach, in principle. For these 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 ECs 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/or co-supervisor(s) and the thesis supervisor(s).
2. At least once a year, an assessment or progress interview will be conducted between the thesis supervisor and the doctoral candidate (see also Article 16), also attended by the daily supervisors and/or co-supervisors. 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 last-but-one year, the planning for writing and finishing the doctoral thesis and the defence will be discussed during the (third) annual assessment or progress interview.

⁹ See article 30.1 for transitional arrangements.

Chapter 5 Qualifier, Assessment / 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 the research, from the perspective of those who are active in this field of study. During this meeting, the prospective doctoral candidate presents the 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 assess whether the research proposal is of a sufficient level and whether it is likely that the prospective doctoral candidate will complete the 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 or senior lecturer with the right to confer doctorates 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 or, in the case of part-time research (<50%), after a maximum of 1 year.
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. As input for the qualifier, the doctoral candidate draws up a progress report of no more than 2 pages, containing the results and (adjusted) planning on the form provided and submits it to the members of the qualifier committee at least 1 week before the qualifier meeting.
7. The assessment of the doctoral candidate by the qualifier committee is based on the evaluation of the research results achieved so far, the assessment of scheduled future research activities and the doctoral candidate's performance. The assessment will be substantiated and recorded in writing in the qualifier report:
 - "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 the 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 the doctoral programme within the remaining period. The committee will mention specific targets for improvement that can be achieved in a period of three months.
8. The thesis supervisor includes the qualifier committee's report in the doctoral monitoring system. If the qualifier committee's report is negative, the thesis supervisor notifies the faculty dean as soon as possible. If the qualifier committee is unable to reach agreement on the assessment, the faculty dean will decide.

Article 16a Assessment 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 committee's assessment is "sufficient":

1. The thesis supervisor records the qualifier report in the doctoral monitoring system.
2. If the qualifier committee's assessment is positive, the doctoral candidate submits a request for appointment of thesis supervisor(s) to the Doctorate Board.

Yearly assessment from second year onwards:

3. Each year after the first year, the thesis supervisor conducts an assessment of the doctoral candidate.
4. The doctoral candidate writes a progress report of max. 2 pages with the results and (adjusted) planning as input for the annual assessments as part of the T&SP. The thesis supervisor records the assessment results in the doctoral monitoring system.

Qualifier committee's assessment is "insufficient":

5. If the assessment is "insufficient", the faculty's HR department is notified as soon as possible.
6. Within two weeks after publication of the qualifier report, an interview takes place between the thesis supervisor and the doctoral candidate about the report. During this interview, agreements are made about the improvement period referred to in paragraph 9. Both before and during the interview, the doctoral candidate has the opportunity to respond to the assessment. The thesis supervisor will draw up a report of the interview. The doctoral candidate may be accompanied by a person during the interview.
7. If necessary, the thesis supervisor can decide to adjust the assessment based on the interview, in which case the thesis supervisor will inform the doctoral candidate in writing of this decision. The doctoral candidate will sign the assessment as seen, even if they disagree with its contents.
8. The assessment and any written response from the doctoral candidate are recorded in the doctoral monitoring system.

Improvement period:

9. In case of a negative assessment by the qualifier committee in the first year, 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. At the end of the improvement period, the qualifier committee will meet a second time to assess the doctoral candidate. The thesis supervisor then discusses the assessment with the doctoral candidate.
10. If the assessment is negative in the subsequent year (or years), the doctoral candidate will also be given the opportunity to meet the specific points for improvement and required results within an improvement period of no more than 3 months. At the end of the improvement period, the thesis supervisor will conduct an assessment and discuss it with the doctoral candidate.
11. If the evaluation following an improvement period is unsatisfactory, the faculty dean may propose to the Executive Board that the employed doctoral candidate's employment contract be terminated. As soon as the employment contract has been terminated, 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 labour law-related consequences will depend on prior agreements made on the doctoral process.
12. In case the evaluation following an improvement period as referred to in paragraph 9 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 2).

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).

Qualifier committee's assessment is "sufficient":

1. The thesis supervisor records the qualifier report in the doctoral monitoring system.
2. After a positive result from the qualifier, 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.

Yearly assessment from second year onwards

3. Each year after the first year, the thesis supervisor conducts a progress interview with the doctoral candidate.
4. The doctoral candidate draws up a progress report of no more than 2 pages, containing the results and (adjusted) planning, as input for the annual progress interviews and as part of the T&SP. The thesis supervisor records the progress interviews in the doctoral monitoring system.

Qualifier committee's assessment is "insufficient":

5. If the result of a qualifier or progress interview is negative, the doctoral candidate will be given the opportunity to act upon the specific points for improvement mentioned during the qualifier or progress interview 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 via the doctoral monitoring system.
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. Non-employed 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 Dean 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 the 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, 2.4 and 2.5 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. Article 2.5 paragraph 1 sub a and c of the Collective Labour Agreement of Dutch Universities applies to extensions relating to pregnancy and maternity leave and to parental leave taken from 1 July 2018.
5. For doctoral candidates with a grant and externally funded 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.
6. The faculty dean will make a decision after consulting the HR advisor and will inform the TGS of this 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 Research Integrity](#). 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 (of the University of Twente) obtaining their doctorate are referred to Article 12 section 3 of the (Dutch) Patent Act and to the ['Implementing rules on intellectual property; Rules on inventions and copyright-protected works of the UT employees'](#).

For non-employed doctoral candidates, intellectual property rights are vested in either the assigning party, the subsidy granting party or the doctoral candidate, unless otherwise agreed upon. Conditions may be laid down in the doctorate agreement (with respect to confidentiality, intellectual property and collaborative research, amongst others).

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 Dean. A P-NUT representative is invited to attend the TGS Cluster Leaders meetings.

Chapter 7 *Complaints and disputes*

Article 27 *Complaints and disputes*

1. Employed doctoral candidates and employees obtaining their doctorate may [submit](#) any complaints on certain behaviour to the Executive Board.
2. Other doctoral candidates may submit any complaints 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 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, the 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 2020, all doctoral candidates will have to use 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. Any changes to this Charter may be proposed by the Doctorate Board.

Article 31 Publication

This charter will be published on the University website.

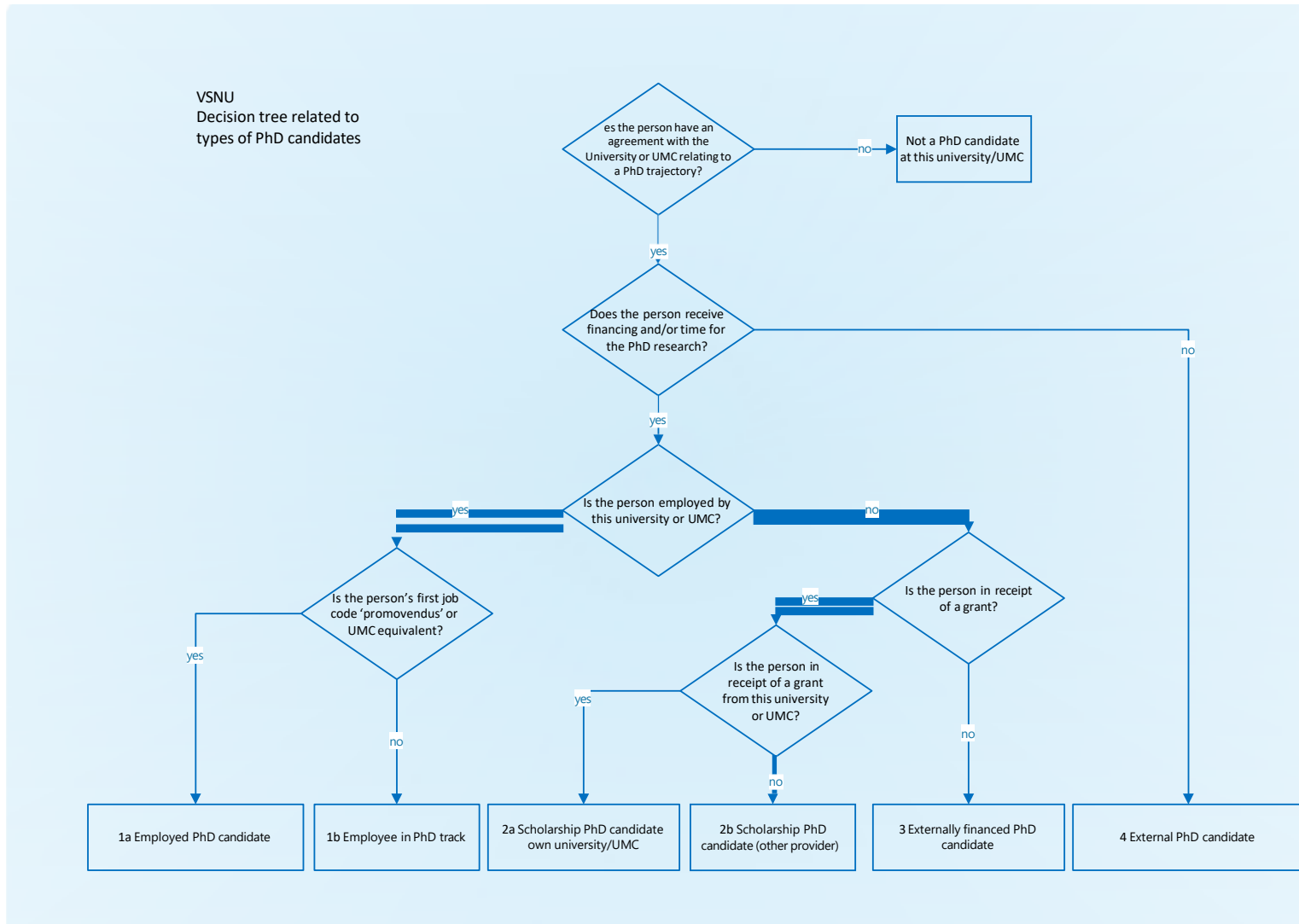
Article 32 Starting date

This charter has become effective on 1 January 2014.

Fourth revised edition, adopted by the Executive Board of the University, in view of the recommendations by the Doctorate Board.

Enschede, *date 23rd May 2022*

Annex 1 Decision tree relating to types of PhD candidates (VSNU 2011, revised 2019)



Annex 2: Doctoral educational guidelines

Updated and revised version Doctorate Board August 28, 2024

Introduction

All UT PhD candidates are required to complete a doctoral education programme of 30 EC, where 1 EC equals to 28 hours of study, including preparation and self-study. To plan their doctoral education programme, PhDs should consult the [University of Twente PhD Profile](#) and our [Exit Qualifications](#).

Within the first 3 months of the PhD trajectory, every candidate must plan their 30 EC doctoral education program in consultation with their promotor(s). The planned education activities are listed in the Training and Supervision Plan (T&SP). Throughout the PhD trajectory, the candidate completes the educational activities, with a recommendation to take the mandatory courses in the first year. The T&SP can be reviewed and amended, for example, during the annual assessment interviews. The T&SP and completed courses and activities must be recorded in the PhD monitoring system and endorsed by the promotor.

The 30 EC can be earned through formal courses, on-the-job training or informal learning. Formal learning options include courses, Capita Selectas, summer/winter schools, workshops, online courses and MOOCs. On-the-job learning can include activities such as laboratory training. Informal learning can include teaching, supervision/coaching, peer-reviewing of articles for scientific journals or conferences, coordinating research events, research acquisition, and active participation (e.g. presenting or giving feedback) at research group/department seminars or colloquia, as well as oral/poster presentations at conferences. The activities can be completed at UT (see below) but also at other universities, institutes, (inter)national research schools, conferences, etc. Training requirements and courses offered by project partners or sponsors can be included too.

Guideline overview

A doctoral education programme is always personalized. The main principle for planning the 30 EC doctoral education programme is:

- 15 (\pm 5) EC in scientific disciplinary skills, such as those offered by faculties, institutes or research schools.
- 15 (\pm 5) EC in academic skills, including professional, reporting and presentation skills, referred to as 'generic' or 'transferable' skills. These academic skills can be developed in various ways; the courses and workshops offered by the UT are particularly beneficial. You can find them in the [Course finder](#).

The following five academic skills activities are mandatory for all PhD's:

1. PhD Intake Briefing and PhD/EngD Introductory Workshop, including the Academic Integrity course (1.5 EC);
2. Data management course, faculty specific (1 EC);
3. Academic Publishing course (2 EC);
4. Presentation Skills course (2.0 EC);
5. Scientific Information course (0.5 EC).

To request exemptions from parts of the education programme, the promotor must submit the request to the Dean TGS. Exemptions exceeding 20 ECs are referred to the Doctorate Board. The mandatory courses Academic Integrity and Data Management cannot be exempted under any circumstance. Promotors must email exemption requests, along with supporting documentation (e.g., certificates, transcripts, statements, detailed CVs, conference programmes), to exemptions-tgs@utwente.nl.

Detailed guidelines

A. Course modality options for all mandatory courses

All mandatory courses consist of two parts. The first part covers the essential principles and concepts. This first part is delivered live or through online courses such as the Nature Masterclasses on publishing or presentations. In the second part, candidates can choose between two modalities to apply and demonstrate their knowledge:

- a. apply and demonstrate their knowledge through e.g. an assignment, assessed by the lecturer.
- b. apply and demonstrate their knowledge under the supervision of the promotor within the research group. For example, as part of the Academic Integrity course, candidates might play the Erasmus University Integrity Dilemma Game with their group under the supervision of the promotor. The promotor will then assess whether the intended learning outcomes are met and document the confirmation in the PhD monitoring system.

B. EC Calculation

1. If activities lack an assigned EC figure, calculate the EC by dividing the number of hours spent by 28 and rounding to the nearest 0.5 EC.
2. Group short-duration activities together to total at least 0.5 EC to avoid fragmentation. Include preparation and execution time (e.g., preparing for a conference oral or poster presentation or teaching) as educational activities.
3. Document all completed EC activities with one of the following:
 - a. Transcript of records;
 - b. Course certificate;
 - c. Conference programme;
 - d. Statement from the trainer or coordinator.

C. Maximum amount of ECS for similar activities

A maximum amount of ECs applies to:

1. Attendance (implying active participation) of research group discussion meetings, research colloquia, conferences/workshops, research days of institutes/research schools: maximum 5 EC.
2. Language courses: maximum 5 EC.
3. Presentation of papers and/or posters on conferences/symposia: maximum 5 EC.
4. Research acquisition and management involving research grant writing, research event organization and board membership of a scientific/professional organization: maximum 5 EC.
5. Peer-review of articles for scientific journals or conferences: maximum 5 EC.
6. To overcome gaps in disciplinary knowledge, PhD candidates may take master's courses without an upgrade assignment in a different discipline from their previous studies, with the promotor's approval and the consent of the teaching staff: maximum 5 EC.
7. Teaching and supervising/coaching of MSc/BSc students (when lecturing, the Taste of Teaching course must be followed): maximum 10 EC.

D. Scientific disciplinary options if post-master level courses are not available

If a post-master level disciplinary course is not available at UT or elsewhere, the PhD candidate has two options:

1. Set up a Capita Selecta course (supervised self-study). The PhD candidate and the supervising academic staff must outline the learning objectives before beginning the activity.
2. Follow a master's course with an 'upgrade' assignment. This option is only possible if the course lecturer agrees to include the PhD candidate in the course and assess the upgrade assignment. The final assignment must meet post-master level standards, at a higher level of complexity than the standard master's course assignment. The PhD candidate must discuss the requirement for this 'upgrade' assignment with the course lecturer before starting the master's course. Since PhD candidates cannot register in Osiris, EC credits obtained in Master modules must be documented with a signed declaration from the course lecturer.

E. Exemptions for PhD course requirements

The mandatory courses Academic Integrity and Data Management cannot be exempted under any circumstances. For other

courses, promoters can request exemptions for PhD candidates based on prior achievements or specific circumstances. If a candidate is exempt from a particular course, the corresponding ECs are subtracted from the 30 EC total. The candidate must then complete the remaining ECs to fulfill their educational program requirements. Exemptions can be requested in the following situations:

1. UT MSc Research Honours Programme graduates:
 - a. Exemption from the Academic Presentations.
 - b. Documentation required: Research Honours Diploma.
3. PhD candidates with prior publications:
 - a. Exemption from the Academic Publishing and Scientific Information courses for those who published at least one paper as the first author in a peer-reviewed journal or conference before starting the PhD.
 - b. Documentation required: list of publications.
4. PhD candidates with prior presentations:
 - a. Exemption from the Academic Presentations course for those who presented at conferences before starting the PhD.
 - b. Documentation required: conference programmes.
5. Transferring PhD candidates:
 - a. Exemptions available for those who began their PhD at another university (not part of a joint or double degree).
 - b. Documentation required: transfer letter, transcript of records and/or course certificates.

Promoters must email exemption requests, along with supporting documentation (e.g. certificates, transcripts, statements, detailed CVs, conference programmes), to exemptions-tgs@utwente.nl. Exemptions exceeding 20 ECs are referred to the Doctorate Board.

EC education activity registration checklist

The activities you record need to follow the Doctoral Education Guidelines provided in the previous sections and match what is outlined in your Training and Supervision Plan (T&SP). If any changes to your T&SP were agreed upon with your promotor, these must be accurately reflected in the activities you register. Use the following checklist:

Type of activity:

1. Be consistent in how you classify activities.
2. For exemption items, document the corresponding exemption letter issued by the Doctorate Board.

Organizers name:

1. List the organizing institution names in English.
2. Avoid using excessively long activity names.
3. If multiple institutions organized the activity, use 'Various' as organizer name.
4. Preferably, list the full name of the organizing institution (e.g. University of Twente) rather than acronyms (e.g. UT). Do not enter names of departments, research groups and individual persons.

Start/Finishing date:

1. The TGS education certificate supplement only lists the finishing year. Therefore, record the finishing year accurately.

EC calculation:

1. 1 EC is equivalent to 28 hours of workload. EC figures must be rounded to the nearest 0.5 EC.
2. Group short-duration activities together to total at least 0.5 EC.
3. The EC figure must match the EC (or hour) figure listed in the certificate or in the trainer/coordinator statement or confirmation email.
4. Check the Doctoral Education Guidelines in the previous section to ensure that you stay within the maximum ECs allowed e.g. 10 ECs for teaching/supervision tasks.

Proof of attendance documents:

1. Every activity must have a corresponding document uploaded:
 - a. Courses, summer/winter schools: Certificate or statement by the trainer. Master's courses with 'upgrade assignments' require the course lecturer to explain why the assignment is considered post-master level.
 - b. Capita Selectas: List of learning objectives and a statement by the supervising staff member confirming that the agreed objectives were met.
 - c. Conferences: conference programme or the registration confirmation email.
 - d. Peer-review: review submission confirmation email or statement by editor or conference chair.
 - e. Research group seminars: statement by the seminar coordinator.
 - f. Teaching/supervision: statement of coordinating staff member.
2. The provided evidence must either state the estimated workload (in EC or hours) or contain sufficient information to allow its calculation.

If you need help, contact the Support Office of the Twente Graduate School (supportoffice-tgs@utwente.nl).