

APPROVED BY THE BOARD OF GOVERNORS ON 31 March 2020

**Readers should be aware that only the Dutch version of these Regulations has legal force. This English translation is strictly for reference and cannot be invoked as a legal tool.**

**GENERAL REGULATIONS ON  
OBTAINING THE ACADEMIC DEGREE OF DOCTOR  
AT THE UNIVERSITY OF ANTWERP**

**0. Definitions**

- These regulations use the term 'faculty' to refer to the University of Antwerp's faculties, the Institute of Development Policy (IOB), the Antwerp Research Institute for the Arts (ARIA) and the associated Faculty of Nautical Sciences. All faculties may also delegate authority to sub-entities such as departmental boards.
- Qualification of a degree: suffix that refers to a study area (Higher Education Codex, Art. I.3, sub 39). The qualification therefore indicates the specific title of the academic degree of doctor being conferred .
- AUHA: Antwerp University Association (Dutch: Associatie Universiteit & Hogescholen Antwerpen)

**1. Regulations**

**1. General provisions**

1. These regulations determine the requirements and procedures for obtaining the academic degree of doctor at the University of Antwerp (UAntwerp). The charter for PhD students included in this document as Appendix 1 applies to all PhD students and their supervisors.
2. The study areas and qualifications in which the degree of doctor can be obtained at UAntwerp are shown in Appendix 2. The qualification determines which faculty is responsible for overseeing and awarding the PhD.

APPROVED BY THE FBE FACULTY BOARD ON 02 May 2018 & 28 October 2020 & 27 January 2021 & 01 June 2022

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**ADDITIONAL REGULATIONS ON  
OBTAINING THE ACADEMIC DEGREE OF DOCTOR  
IN THE FACULTY OF BUSINESS AND ECONOMICS (FBE)**

**1. General provisions**

1. These regulations apply to PhD studies conducted in the Faculty of Business and Economics (FBE) at the University of Antwerp. PhD studies are understood to consist of the doctoral study programme and the PhD by thesis. These additional regulations are supplementary to the provisions specified in the Higher Education Codex of 11 October 2013, ratified by the Decree of 20 December 2013, and to the general regulations on obtaining the academic degree of doctor at the University of Antwerp (*University of Antwerp PhD Regulations*), approved by the University of Antwerp's Board of Governors on 30 January 2018.

3. The academic degree of "doctor" (doctor of philosophy, abbreviated to PhD or Dr) is obtained after the public defence of a doctoral thesis. This thesis serves to demonstrate the PhD student's ability to generate new scientific knowledge on the basis of independent, sound scientific research as described in the Higher Education Codex (Art. II.58, § 7).

4. Besides preparing a thesis, PhD students are also expected to meet the requirements of the doctoral study programme coordinated by the Antwerp Doctoral School. These requirements are described in the additional faculty PhD regulations, which may include the option of imposing a mandatory study programme on PhD students.

5. The additional faculty PhD regulations describe the modalities and procedures to be used for progress reports, as well as the form and assessment of the thesis and the doctoral study programme. These additional regulations are approved by the faculty upon the recommendation of the Bureau of the Antwerp Doctoral School, which checks them against the general PhD regulations.

2. In the FBE, PhD studies fall within the remit of the Research Committee, which fulfils the role of the FBE's faculty doctoral committee (hereafter abbreviated to FDC-FBE). The FDC-FBE is chaired by the academic coordinator of the FBE doctoral study programme. The administrative coordinator of the FBE doctoral programme attends the meetings of the FDC-FBE as a secretary.

3. With regard to PhD studies, the FDC-FBE has decision-making powers in the following areas:

- The organisation, quality assurance and supervision of the doctoral programme;
- Admission to doctoral studies, based on an aptitude check for prospective PhD students and on the proposed research project (cf. Article 8 of the University of Antwerp's PhD regulations);
- The appointment of the supervisor(s) of the PhD thesis (cf. Articles 13 upto 15 of the University of Antwerp's PhD regulations);
- Determining the content of an extra study programme, if required (cf. Article 4 of the University of Antwerp's PhD regulations);
- Determining the content and follow-up of a preparatory programme, if required (cf. Articles 10 and 11 of the University of Antwerp's PhD regulations); The activities performed in the context of this extra study programme are not honoured within the doctoral study programme.
- The approval of the individual PhD commissions' (IPCs) evaluation reports following the submission of progress reports on the doctoral research and doctoral study programme (cf. Articles 20 and 21 of the University of Antwerp's PhD regulations);
- Granting permission to write the thesis in a language other than Dutch or English (cf. Article 23 of the University of Antwerp's PhD regulations);
- Verification of whether the PhD student has met the requirements of the doctoral study programme before submitting his/her PhD thesis (cf. Article 25 of the University of Antwerp's PhD regulations);
- The granting of exemptions from the University of Antwerp's doctoral study programme (cf. Article 12 of the University of Antwerp's PhD regulations).

4. With regard to PhD studies, the FDC-FBE has the authority to advise the FBE Faculty Board on:

- The composition of the IPC and appointment of the chair upon the prospective student's admission to doctoral studies (cf. Articles 13 upto 19c of the University of Antwerp's PhD regulations);
- The composition of the doctoral jury and the appointment of a chair at the start of the defence procedure (cf. Articles 25 to 29 of the University of Antwerp's PhD regulations).
- The FBE's additional PhD regulations.

## 2. Admission and enrolment

6. PhD students wishing to obtain the academic degree of doctor must enrol every academic year during the enrolment period. For more information about the admission and enrolment procedures, please see Appendix 3 of these regulations.

7. Enrolment for the preparation of a doctoral thesis is open to holders of the degree of Master (or equivalent), provided Articles 9), 10) and 11) are taken into account.

8. In order to obtain permission to enrol for the preparation of a thesis, PhD candidates must send a written application to the faculty via the Registrar's Office (Dutch: Centrale Onderwijsadministratie) containing information about themselves and the PhD project. The faculty will decide on the suitability of the candidate and the research topic within a reasonable period of time following receipt of the application.

9. The faculty may waive the admission requirements mentioned in Article 7 for candidates who are not in possession of a Master's degree or equivalent. This waiver depends on the results of an enquiry whose goal is to establish that the candidate has the research-related competences normally acquired during a Master's programme on the basis of the Master competences or the Dublin descriptors. The faculty informs both the candidate and the Registrar's Office of its decision. In the event of doubt, the application will be submitted to the Bureau of the Antwerp Doctoral School.

10. For the categories of candidate PhD students listed below, it is possible for the faculty to grant admission conditional upon the successful finalisation of a preparatory programme:

- candidates wishing to obtain the degree of doctor in a different discipline from the one in which they obtained their Master's degree;
- candidates with a Master's degree from an institution outside of the Flemish Community;
- candidates who do not hold a Master's degree.

11. The faculty is responsible for the composition and follow-up of the preparatory programme. The candidate should enrol in the preparatory programme on the basis of a diploma contract. Before enrolling as a PhD student, the candidate must be able to demonstrate successful completion of all components of the preparatory programme. The faculty may allow candidates to complete their preparatory programmes during the first years of their PhDs. In that case, students must be able to demonstrate that they have passed the preparatory programme before being allowed to enrol in the second year. The preparatory programme is not eligible for recognition as part of the doctoral study programme.

## 2. Admission requirements

5. As an additional admission requirement, the FBE stipulates that the candidate must have achieved a classification of at least cum laude (or its equivalent) on his/her Master degree. The FDC-FBE decides on the equivalence of degree classifications. Based on the aptitude check the FDC-FBE can decide to admit a candidate with a lower degree classification, possibly conditional on the candidate's taking an extra study programme. With regard to the discipline of Doctor in Management, candidates are also required to have extensive managerial experience.

6. The application file for admission to doctoral studies in the FBE consists of (i) the application form, (ii) the curriculum vitae of the applicant, (iii) a copy of his/her Master diploma and supplement, (iv) the research proposal and (v) the name(s) of the proposed supervisor(s). The supervisor(s) must give their written consent for this. An assessment of language proficiency may form part of the aptitude check.

7. PhD studies in the FBE are carried out according to the following procedure:

- The PhD student submits an application for admission to FBE doctoral studies to the Registrar's Office using the required forms.
- Having received the application from the Registrar's Office, the FDC-FBE decides on the admission of the candidate.
- If the FDC-FBE requires the candidate to complete a preparatory programme or extra study programme (see Article 3, items 4 and 5, and Article 5), it informs the candidate of this within a reasonable time frame; The FDC-FBE also sets the period within which the preparatory or extra study programme must be completed.
- Following the approval of the application and on the FDC-FBE's advice, the FBE Faculty Board composes the IPC and appoints a chair.
- Every year the progress made in both the doctoral research and the doctoral study programme is described in a progress report written and submitted by the PhD student. The IPC evaluates the progress made. The IPC's evaluation reports are assessed by the FDC-FBE.
- After completion of the doctoral study programme and acceptance of the draft thesis by the IPC, the FBE Faculty Board composes a doctoral jury on the advice of the FDC-FBE and appoints a chair.
- After the preliminary defence, the doctoral jury assesses whether the thesis is suitable for public defence.
- The PhD candidate then defends the thesis publicly.

12. UAntwerp PhD students are automatically enrolled in the doctoral study programme. The faculty may exempt PhD students from the doctoral study programme if it can be shown that they fulfil the requirements of the doctoral study programme – as outlined in the faculty PhD regulations – before embarking on their PhDs.

### **3. Doctoral study programme**

8. During the FBE doctoral study programme, PhD students are expected to develop their research competences. Using the competence profile for PhD students at the University of Antwerp, and in consultation with their supervisors, PhD students determine the activities that they will undertake, keeping in mind the specifications and limitations listed in Articles 9 to 12 of these additional faculty regulations.

The Antwerp Doctoral School's competence profile is composed of seven competence categories:

- A. Research skills and techniques
- B. Adaptation to the research environment
- C. Research management
- D. Personal efficiency
- E. Communication skills
- F. Networking and teamwork
- G. Career management

9. In order to complete the doctoral study programme successfully, each PhD student must submit an activity file according to the following general rules:

- the activities undertaken must amount to a total of at least 30 credits.
- only discipline-specific activities listed in the activity table are eligible for recognition.
- no more than half of the total number of credits may be earned in a single competence category.
- credits must have been earned in at least four categories of the competence profile.
- at least 12 credits must have been earned by taking PhD courses in Competence Category A, 'Research skills and techniques'.
- at least two credits must have been earned in Competence Category F, 'Networking and teamwork'.

10. An overview of the activities accepted (activity table) and the credits allocated per activity is included in a separate guide. The most up-to-date version of this guide is available on the website of the Antwerp Doctoral School and can be requested from the FBE administrative coordinator of the doctoral programme.

11. In exceptional circumstances, activities undertaken after the completion of the Master programme and before the candidate has been admitted to start a PhD may also be recognised in full or in part in the doctoral study programme. The FDC-FBE decides on this on the basis of a well-developed proposal accompanied by the relevant supporting documents.

	<p>12. In very exceptional circumstances, PhD candidates with particular qualifications can be exempted from the specifications and limitations listed under Articles 8 to 11 of these additional regulations. The FDC-FBE decides on this on the basis of a well-developed proposal accompanied by the relevant supporting documents.</p>
<p><b>3. Supervision - individual PhD commission (IPC) - faculty PhD commissions</b></p> <p>13. The supervisor(s) is (are) responsible for the supervision of the doctoral work. The IPC is responsible for monitoring the progress of the PhD research and for mediation as necessary. The IPC may be convened at any time at the request of the PhD student or one of the IPC members.</p> <p>14. Following approval of the candidate and the research topic, the faculty appoints the supervisor(s) and the chair and members of the IPC. The chair should be a member of the senior academic staff (Dutch: <i>zelfstandig academisch personeel</i>, ZAP) at UAntwerp or an emeritus with a structural 'assignment', but cannot be the PhD student's supervisor. The chair is not necessarily required to be a member of the IPC.</p> <p>15. The doctoral thesis is generally prepared under the guidance and supervision of one or two supervisors. If additional expertise is required to ensure the high-quality supervision of the PhD research, the faculty may appoint one or two additional supervisors – up to a maximum of four in total, at most three of whom may be affiliated with AUHA.</p> <p>16.a. All supervisors should be in possession of the academic degree of doctor or 'geaggregeerde voor het hoger onderwijs' also taking into account the provisions of Article 19.</p> <p>16.b. At least one of the supervisors should be a member of the UAntwerp senior academic staff (ZAP) with an appointment of at least 10% or an emeritus 'with assignment' (BAP appointment in line with retirement regulations).</p> <p>17.a. The IPC is composed of all of the supervisors and supplemented by two additional members who have sufficient expertise and affinity with the research field to be able to assess the progress of the doctoral work.</p> <p>17.b. All IPC members should be in possession of the academic degree of doctor or 'geaggregeerde voor het hoger onderwijs' also taking the provisions of Article 19 into account.</p>	<p><b>4. Supervision - supervisors - individual PhD commission (IPC)</b></p> <p>13. The FBE Faculty Board composes the IPC on the basis of a proposal from the supervisors and the advice of the FDC-FBE. The IPC should include all of the supervisors and two additional members: a chair and a member who does not belong to the senior academic staff (Dutch: <i>zelfstandig academisch personeel</i>, ZAP) at the University of Antwerp and whose primary appointment is external to AUHA and AMS. One of these additional members must not be directly involved in the research.</p> <p>14. If three or four supervisors are to be appointed, a request should be submitted to the FDC-FBE explaining why the additional expertise is required.</p> <p>15. The IPCs of incoming joint or double PhD students may be composed differently in order to follow up on the PhD research at the University of Antwerp. If a similar doctoral committee exists at the main institution, a smaller IPC consisting of the supervisors and a chair can be appointed. If no similar doctoral committee has been appointed at the main institution, a full IPC should be appointed at the University of Antwerp. The FDC-FBE determines whether a full IPC or a smaller IPC is to be appointed.</p>

17.c. At least two members of the IPC should be members of the UAntwerp senior academic staff (ZAP) or emeriti 'with assignments'. If the PhD is being undertaken in the study area "Nautical Sciences", one of these two ZAP members may be replaced by a member of the teaching staff appointed in Group 3 (OP3) at an AUHA university college.

18.a. In order to guarantee the referee function of the IPC, at least one of the commission members must not be directly involved in the PhD project. The faculty assesses the IPC members' neutrality.

18.b. The following persons can never be appointed as members of the IPC: the PhD student's husband, wife or legally cohabiting partner, partner or blood or other relatives up to and including the fourth degree.

18.c. The chair of the IPC may invite additional experts to advise during IPC meetings if it is believed that this would benefit the supervision of the PhD.

19.a. For PhDs in the study areas "Architecture", "Movement and Rehabilitation Sciences", "Conservation and Restoration", "Applied Engineering and Technology", "Product Development", "Applied Linguistics" and "Nautical Sciences", a deviation from the PhD requirement mentioned in Articles 16a and 17b may be possible for teaching staff appointed in Group 3 (OP3).

19.b. For PhDs in the study areas "Audiovisual and Visual Arts" and "Music and Performing Arts", a deviation from the PhD requirement mentioned in Articles 16a and 17b may be possible for members of staff from the AUHA Schools of Arts provided that these members of staff are in possession of expertise that is essential to the supervision of the PhD research.

19.c. For PhDs that have been prepared in close cooperation with the professional field, deviation from the PhD requirement described in Articles 16a and 17b may be possible provided that the professional advisors concerned are in possession of expertise that is essential to the supervision of the PhD research.

20. On a regular basis – ideally every year and at least every two years – the IPC evaluates the progress of the PhD student's doctoral research on the basis of a report and, if necessary, a personal meeting. The IPC decides whether the progress is sufficient and provides a report of this decision to the faculty. If the PhD student fails to submit a report without a valid reason, this automatically leads to a negative evaluation ("insufficient progress"). Following a negative evaluation and recommendation from the faculty PhD commission or other body designated by the faculty, the IPC may refuse the PhD student permission to reenrol for the current PhD.

## **5. Annual evaluation of the doctoral research and the doctoral study programme**

16. The PhD student is required to submit a progress report through the student information system (SisA) before 1 May each year. The report consists of two parts:

- A report on the progress made in the doctoral research
- A report on the progress made in the doctoral study programme

17. On the basis of the report mentioned in Article 16, the IPC evaluates the progress made in the research and in the activities undertaken as part of the

<p>21. Every year, the faculty PhD commission follows up on each PhD student's progress in the doctoral study programme on the basis of a report. The faculty PhD commission reports on this to the faculty and to the Antwerp Doctoral School (ADS).</p>	<p>doctoral study programme and assesses whether this progress is sufficient to allow the student to continue the PhD. The PhD student takes the initiative for a personal interview on this matter by inviting all IPC members by email for an interview, at the latest end of May. In the event of a negative evaluation, all IPC members must attend this interview (via teleconferencing if necessary).</p> <p>18. The chair of the IPC submits the evaluation report through the student information system (SisA) by the third week of June. The FDC-FBE discusses the submitted evaluation reports during its next meeting.</p> <p>19. In the event that the IPC returns a negative evaluation, the FDC-FBE discusses the file and formulates an advice (cf. Article 20 of the University of Antwerp's PhD regulations). The PhD student has the right to be heard.</p> <p>20. The faculty administration follows up on the credits awarded within the doctoral study programme. The credits acquired are confirmed in the student information system (SisA). If the PhD student does not agree with the number of credits awarded, he or she can appeal to the FDC-FBE, which makes a binding decision.</p>
<p><b>4. Public defence of the doctoral thesis</b></p> <p>22. The thesis may take the form of a monograph, a collection of manuscripts, an artistic or design work or a combination of these forms. If the thesis consists of a collection of academic manuscripts, the faculty may impose the condition that at least one of these manuscripts has been published.</p> <p>23. The thesis should be written and defended in Dutch or English. It may be written in another language provided that written permission has been obtained for this from the faculty. This permission is not necessary if the topic of the thesis is another language, culture or literature. Dutch and English abstracts must be included in all theses.</p> <p>24. The thesis must contain the identification details listed in Appendix 4 of these regulations.</p> <p>25. The faculty determines the composition of the doctoral jury after having verified that the PhD student is enrolled at the University of Antwerp and has fulfilled the requirements of the doctoral study programme. The composition of the jury does not imply that the thesis (or draft) has been approved.</p> <p>26.a. The doctoral jury consists of a minimum of five and a maximum of eight members.</p>	<p><b>6. Public defence of the doctoral thesis</b></p> <p>21. For each part of the doctoral thesis that was not realised by the PhD student alone, a separate explanatory note should be drawn up detailing the contributions made by the PhD student and the other author(s).</p> <p>22. The FBE Faculty Board composes the doctoral jury on the basis of a proposal from the IPC and the advice of the FDC-FBE. The doctoral jury should include the</p>

26.b. All supervisors are members of the doctoral jury.

26.c. No more than half of the doctoral jury may be made up of the PhD student's supervisors.

26.d. Ideally, the members of the IPC should be members of the doctoral jury.

26.e. At least three members of the doctoral jury must be UAntwerp senior academic staff (ZAP) or emeriti with structural 'assignments' (BAP), also taking into account sub i and Article 45.

26.f. At least two members of the doctoral jury should be external to AUHA.

26.g. In order to guarantee the referee function of the doctoral jury, at least two members of the jury must not be directly involved in the PhD project. The faculty assesses the doctoral jury members' neutrality.

26.h. The following persons can never be appointed as members of the doctoral jury: the PhD student's husband, wife or legally cohabiting partner, partner or blood or other relatives up to and including the fourth degree.

26.i. In the case of a PhD in the study areas "Audiovisual and Visual Arts", "Music and Performing Arts" and "Nautical Sciences", at least one member of the doctoral jury must have a statutory appointment as a member of teaching staff at one of AUHA's university colleges. In the event of deviation from sub e, at least two other members must belong to the UAntwerp senior academic staff (ZAP).

27.a. The members of the doctoral jury must hold PhD degrees or a degree of 'geaggregeerde voor het hoger onderwijs', also taking into account the stipulations of sub b, c and d.

27.b. Supervisors and other members of the IPC who do not hold PhDs but have been appointed according to Article 19 can also be designated as members of the doctoral jury.

27.c. For PhDs in the study areas "Architecture", "Movement and Rehabilitation Sciences", "Conservation and Restoration", "Applied Engineering and Technology", "Product Development", "Applied Linguistics", "Audiovisual and Visual Arts", "Music and Performing Arts" and "Nautical Sciences", a deviation from the PhD requirement mentioned in sub a may be possible for persons external to the University of Antwerp if this is important for the evaluation of the PhD.

supervisors and at least four other jury members. The doctoral jury can consist of a maximum of eight members.

23. For joint or double PhDs different or additional rules may be included in the partnership agreement for the composition of a doctoral jury (cf. Article 43 of the University of Antwerp's PhD regulations).



27.d. The deviation from the PhD requirement as described in sub b and c can be granted to a maximum of three members of the doctoral jury, but never to more than half of the jury members.

28. The faculty appoints a chair from amongst the members of the doctoral jury. The chair of the doctoral jury should be a member of the senior academic staff (ZAP) at UAntwerp, but not one of the PhD student's supervisors.

29. With regard to study areas or parts of study areas in which UAntwerp provides only Bachelor-level courses, the doctoral jury must include at least one member from a university that is able to offer Master's degrees within the study area concerned (Higher Education Codex, Art. II.73 §3).

30. The procedure for the public defence of the thesis begins when the PhD student sends the appropriate number of copies of the draft thesis to the chair of the IPC. The chair is responsible for distributing the draft thesis among the other members of the IPC. Article 6 applies if the procedure for the defence of the thesis extends into the next academic year.

31. The IPC has a maximum of four weeks to issue a written recommendation to the PhD student with respect to the draft thesis. If the individual PhD commission's response is negative, it will inform the PhD student of its objections and remarks. If their recommendation is positive, the IPC may also formulate a limited number of suggestions for improving the draft thesis. When the IPC consents to the submission of the thesis, the PhD student sends sufficient copies of the draft, along with a written application to defend the thesis publicly, to the chair of the doctoral jury. The chair is responsible for distributing the draft thesis among the other members of the doctoral jury.

32. The doctoral jury evaluates the draft thesis. This evaluation may include a pre-defence, depending on the additional faculty PhD regulations. If no pre-defence is to be held and a member of the doctoral jury has objections to the public defence of the thesis, the jury must convene for a meeting on this matter. In this case, the member(s) concerned has/have to formulate their criticism in writing prior to the meeting.

33. The doctoral jury has a maximum of six weeks to communicate in writing its decision and justification to the PhD student and the faculty. If the jury agrees to the public defence of the thesis, the PhD student informs the faculty and the Registrar's Office of this in writing. The PhD student can then be registered for the public defence.

24. The PhD student starts the PhD defence procedure in consultation with his/her supervisor(s).

25. The preliminary defence of the thesis is obligatory and takes place within six weeks after the submission of the draft thesis to the chair of the doctoral jury, who ensures that the draft is sent to the other members of the jury in good time. A written report must be drawn up for the preliminary defence. A standard form is available for this purpose.

26. At least two-thirds of the members of the doctoral jury must attend the preliminary defence, via teleconferencing if necessary. Jury members who are

34. The public defence can take place no earlier than three weeks after the doctoral jury's decision has been communicated to the Registrar's Office by the PhD student. A date must be selected for the defence within six weeks of the communication of the jury's decision. The public defence should take place within a reasonable time period. This period excludes the UAntwerp holiday periods listed in the academic calendar and any maternity or parental leave taken by the PhD student. No public defences can take place between 20 July and 20 August.

35. The doctoral jury may decide to accept the public defence of the thesis on the condition that a number of changes are made to the content; these changes must be communicated to the PhD student in writing. For the exact procedure to be followed in this situation, please refer to the additional faculty PhD regulations. In this case, the time period described in Article 34 begins when the doctoral jury approves the corrected version of the thesis.

unable to attend must submit a written report to the chair. The doctoral jury decides, by majority vote, whether the PhD student may proceed to the public defence of his/her thesis. The supervisors together have one vote. If the supervisors cannot reach a consensus, they too must reach a decision by a simple majority vote. In the event of a tie, the chair has the casting vote.

27. If, after the preliminary defence, the doctoral jury agrees to the public defence of the thesis, the chair of the doctoral jury informs the FBE doctoral administration and the chair of the FDC-FBE. As soon as the PhD student informs the Registrar's Office about the doctoral jury's decision, the time frames described in Article 34 of the University of Antwerp's PhD regulations begin.

28. After the preliminary defence, the doctoral jury may decide to admit the thesis to the public defence on the condition that a number of major mandatory changes are made. The report on the preliminary defence specifies which changes are to be made and the deadline by which the PhD student must submit the revised doctoral thesis. The time allowed for these major mandatory changes may not exceed three months. A new preliminary defence must be held if the required changes take more than three months, as specified in Article 29. The PhD student submits the revised thesis to the chair of the doctoral jury within the required time frame, who ensures that the draft is sent to the other members of the jury in good time. The chair of the doctoral jury informs the PhD student, the FBE's doctoral administration and the chair of the FDC-FBE of the jury's decision in writing within a four-week period. Once the doctoral jury has agreed to the public defence of the thesis, the time frames described in Article 34 of the University of Antwerp's PhD regulations begin. If the doctoral jury is not satisfied with the revisions, or if the PhD student has not completed the revisions within the prescribed period, the procedure for completing the thesis is suspended (see Article 29).

29. In the event of a negative evaluation of the preliminary defence, or if the requested revisions are not made within the prescribed period, the procedure for completing the thesis is suspended. The doctoral jury informs the PhD student in writing of the steps necessary to restart the procedure. In both cases, a new preliminary defence must be held. In total, a maximum of two preliminary defences can be organised.

<p>36. The defence of the thesis is public.</p> <p>37. The public defence of the thesis must not take longer than two hours, including examination by the doctoral jury. The defence cannot take place if fewer than two thirds of the doctoral jury members are in attendance, if necessary via teleconferencing; at least two of those in attendance must not be involved in the doctoral thesis. If the chair is unable to attend the defence, the faculty appoints a replacement chair from the UAntwerp senior academic staff (ZAP) who is not one of the PhD student's supervisors.</p> <p>38. The doctoral jury meets immediately after the defence and decides whether the PhD student has been successful or not before officially announcing the results. Grades are not awarded.</p> <p>39. The decisions of the IPC and doctoral jury should ideally be made by consensus. If no consensus can be reached, a positive decision can only be issued as a result of a simple majority vote in which the supervisors together have one vote. If the supervisors cannot reach a consensus, they too must reach a decision by a simple majority vote.</p> <p>40. The successfully defended thesis should be submitted to the UAntwerp Central Library for safekeeping according to the procedure set out for that purpose. As part of this procedure, the PhD student should submit at least a digital version of the thesis prior to the defence.</p>	<p>30. If circumstances require, part of the public defence of the doctoral thesis may be conducted in a language other than Dutch or English.</p>
<p><b>5. Joint and double PhDs</b></p> <p>41. UAntwerp can award a joint or double PhD with another Belgian or international university provided that the PhD student has done at least six months of research (not necessarily consecutively) at the partner university as part of his/her thesis. Unless otherwise stipulated in the articles below or in the partnership agreement (Art. 43), these general PhD regulations also apply to all joint and double PhDs.</p> <p>42. PhD students wishing to obtain a joint or double PhD degree must submit applications to both of the universities in question at least one year before the submission of the draft thesis. At UAntwerp, a procedure for this has been established by the Antwerp Doctoral School. If the application is approved by the faculty, the PhD student has to comply with the administration requirements of both universities regarding enrolment.</p> <p>43. For every joint or double PhD, a partnership agreement is drawn up between the PhD student and the two universities involved, in which exceptions to the standard procedures or additional rules can be established. The regulations of the</p>	

main institution (see Article 44) take priority, unless otherwise stipulated in the partnership agreement. The defence can take place no earlier than six weeks after the signing of the agreement by all relevant legal entities. In this context, the faculty can exempt PhD students whose home institution is not UAntwerp from the UAntwerp doctoral study programme.

44. The designation of the main institution can be determined based on one or more of the following elements: a) Funding: the institution that funds (most of) the doctoral research or the institution to which the supervisor belongs under whose authority the application of the external funding occurred; b) Presence: the institution where most of the doctoral research takes place, where the PhD student will spend most of his/her working hours; c) Start: the institution where the doctoral research was initiated, where the PhD student first registered. If these criteria are not sufficient to distinguish between the two institutions, the main institution will be designated by mutual agreement.

45. The thesis has to be defended publicly before a doctoral jury containing at least one member of the senior academic staff (ZAP, or corresponding category in the partner institution) from each institution involved.

46. Only one public defence can take place, the date of which is to be included on the diploma or diploma supplement or – if applicable – on both diplomas or diploma supplements.

47. The diploma supplement(s) for the double or joint PhD must clearly indicate that the research was carried out at both universities.

#### **6. Mediation and appeal procedure**

48. PhD students who do not comply with these regulations may find that the deadlines which the faculty must otherwise comply with may be extended.

49. PhD students who believe there to be negligence in the application of these regulations are requested to notify the dean of their faculty. The dean will decide on the consequences of the complaint.

50. If the relationship between the PhD student and the supervisor(s) breaks down, either party may notify the chair of the IPC and ask that the IPC be convened. The IPC will assist in rectifying any misunderstandings, mediate between the parties involved and help establish a solution that is acceptable to all parties.

51. PhD students may request additional mediation from the central ombudsperson in the event of further problems. If the central ombudsperson is

directly involved as a supervisor or member of the IPC, the dean appoints a neutral member of the senior academic staff (ZAP) as a mediator.

52. If the mediation measures described in Article 50 are insufficient to solve a conflict, the central ombudsperson shall prepare a report which is then submitted to a mediation committee composed of the relevant dean (chair), the faculty or departmental doctoral coordinator, the Antwerp Doctoral School ZAP coordinator for the relevant scientific field and the chair of the IPC, who will hear the testimony of the parties involved and then make a binding decision. No further internal appeals can be lodged against this decision.

53. Any PhD student who believes that a decision made by the IPC or doctoral jury represents a violation of his/her rights should – with the assistance of the central ombudsperson if required – submit an appeal following the procedure described in Articles 54 to 57.

54. The PhD student submits an appeal addressed to the dean in the form of a written request for reconsideration of the original decision. The request must be submitted within a period of seven calendar days following the communication of the original decision to the PhD student. The request shall contain a factual description of and justification for the objections raised.

55. The dean decides whether the appeal is admissible. Appeals which are declared admissible are then addressed by the body which made the original decision. This body offers the PhD student an oral explanation of their decision if this was requested in the written appeal.

56. All admissible appeals give rise either to a confirmation of the original decision or to a revision of that decision, accompanied by a justification.

57. The decision described in Article 56 is to be communicated to the PhD student within a period of twenty calendar days, which begins the day after the submission of the appeal. The PhD student will also be informed about who can be contacted for more information about the decision.

After the internal appeal, the PhD student can lodge an appeal against a study progress decision with the Council for Disputes about Decisions on Study Progress (<https://onderwijs.vlaanderen.be/nl/raad>). The PhD student must submit the appeal within a period of seven calendar days, starting on the day after the decision of the internal appeal procedure was communicated. The PhD student will at the same time send a copy of the appeal petition to the Rector by registered letter (postal address: Rector of the University of Antwerp, Middelheimlaan 1, 2020 Antwerp). In case the Council for Disputes about Decisions on Study Progress nullifies an unlawfully taken decision, and if the PhD student decides to challenge a new unfavourable decision that was taken following the verdict of the

Council, the obligation to use the internal appeal procedure before lodging an appeal with the Council no longer applies.	
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## 7. Final provisions

58. The PhD student strives to comply with the stipulations of the Code of Ethics for scientific research in Belgium, as endorsed by UAntwerp. The Code of Ethics for scientific research in Belgium aims to ensure that high-quality research is carried out and that publications are truthful. Researchers are required to describe their research methods and results in such a way that the research can be replicated by other researchers. The information included in publications must be verifiable. This means that, at a minimum, the results of the literature review, the hypotheses, experimental set-up, research and analysis methods and sources must be correctly reported in a field log, lab notebook or progress report. If the object of the observations is destroyed (e.g. in the case of excavations), the observations must be registered as accurately as possible. All decisions, arrangements and agreements must be recorded and saved. The primary data and the protocols of the study should be retained and remain accessible for at least five years. If publications – especially reviews and syntheses – do not include all of the details necessary for verification, these must nevertheless remain available.

59. In all phases of the research, the PhD student demonstrates compliance with ethical recommendations such as those published by or available from the Committee for Medical Ethics UZA-UAntwerp, the Ethics Committee for Animal Testing, the Ethics Committee for the Social Sciences and Humanities and/or the Ethics Committee for Science and Technology (Dual Use), where applicable and according to the relevant laws and regulations.

60. Any publication which proceeds from research conducted by a PhD student as part of a PhD being undertaken at UAntwerp must include an explicit reference to the University of Antwerp and, under the author's contact details, an official University of Antwerp address formatted according to the journal's guidelines. All relevant publications are to be reported at the time of their first publication (whether online or on paper) in order to ensure their inclusion in the Academic Bibliography, in accordance with the guidelines included in the Open Access procedure.

61.a. With regard to scholarship holders and PhD students paid by the university, Article IV.48 of the Higher Education Codex states that all rights to potentially valorisable research results are legally transferred to the university.

61.b. Upon enrolment at UAntwerp, and unless otherwise agreed in a joint or double PhD agreement with another university, PhD students who are not covered by Article 61.a. relinquish any rights to potentially valorisable research results to the University of Antwerp, namely research results that appear to be suitable for societal implementation and/or commercialisation and which came

## 7. Exceptional provisions

31. Academic assistants (Dutch: *mandaatassistenten*) and PhD researchers in the FBE must enrol as PhD students at the start of their first appointment. The following rules apply:

- Researchers with a degree in Economics or Business Economics are required to enrol for PhD studies in the FBE. Only on the basis of a well-founded request the FDC-FBE can grant permission for the PhD student to apply for PhD studies in other faculties or at other universities or institutions;
- Researchers who do not have a degree in the fields of Economics or Business Economics but whose research projects include components linked to these fields are encouraged to enrol for PhD studies at the FBE;
- Researchers who do not fall into either of these two categories are free to enrol for a PhD of their choice.

## 8. Entry into force and transitional measures

32. These regulations come into force on 21 March 2018.

33. Any IPCs and doctoral juries that were composed in accordance with the guidelines of the previous FBE additional PhD regulations remain in force, even if they deviate from the rules described in these regulations.

into being through the PhD student's participation in a research project in which use was made of knowledge, resources and/or equipment belonging to the University of Antwerp. If the PhD students referred to in this article have made no use of University of Antwerp knowledge, resources and/or equipment, the results will accrue to these students. If necessary, the rights can then still be transferred by means of a written agreement.

61.c. It is the responsibility of supervisors to make their PhD students aware of the provisions of Articles 61.a. and 61.b. at the beginning of each PhD research project and to report any findings to the Valorisation Office immediately, including reference to the potential involvement of the PhD student.

62. In the event that a PhD is terminated ahead of time, the PhD student must cancel his/her enrolment in line with the enrolment procedure. The PhD student should inform the supervisor(s), faculty administration and Antwerp Doctoral School of the termination as soon as possible.



## **FACULTY OF BUSINESS AND ECONOMICS (FBE)**

### **DOCTORAL STUDY PROGRAMME:**

#### **STRUCTURE AND CONTENT**

(approved by the FDC on 12 March 2018 – adjustments made by the FDC on 25 June 2020, 23 February 2021 & 24 June 2021)

### **1. General provisions**

During the doctoral study programme, PhD students are expected to develop their research competences. Using the competence profile for PhD students at the University of Antwerp, and in consultation with their supervisors, PhD students determine the activities that they will undertake.

The Antwerp Doctoral School's competence profile is composed of seven competence categories:

- A. Research skills and techniques
- B. Adaptation to the research environment
- C. Research management
- D. Personal efficiency
- E. Communication skills
- F. Networking and teamwork
- G. Career management

More information about the University of Antwerp's competence profile is available on the [Antwerp Doctoral School's website](#).

### **2. Structure of the Faculty of Business and Economics (FBE) doctoral study programme**

FBE PhD students are required to submit the progress report on their doctoral study programme through SisA every year (before 1 May). In this report, they should list the activities undertaken as part of the doctoral study programme over the last year, include the required supporting documents, complete all mandatory fields per category and allocate credits according to the activity table (see point 3). The following general rules apply:

- the activities undertaken must amount to a total of at least 30 credits;
- only discipline-specific activities<sup>1</sup> such as those listed in the activity table are eligible for recognition;
- no more than half of the total number of credits may be earned in a single competence category.
- credits must have been earned in at least four categories of the competence profile;
- at least 12 credits must have been earned by taking PhD courses in Competence Category A 'Research skills and techniques';
- at least two credits must have been earned in Competence Category F 'Networking and teamwork'.

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<sup>1</sup>Non-discipline-specific courses taken by PhD students through the Antwerp Doctoral School are included in the doctoral study programme overview in SisA with the reference NVT (*niet van toepassing*, meaning 'not applicable'). These non-discipline-specific courses do not count for credits in the FBE doctoral study programme.



#### 4. Specifications and limitations per activity

The following specifications apply to the activities in each of the competence categories:

##### 4.1 Competence Category A. Research skills and techniques

###### ○ **Mandatory courses:**

PhD students are required to take 12 credits' worth of PhD-level courses with the following specifications:

- One or more advanced courses, including assessment (which the PhD student must pass), worth a total of at least six credits;<sup>2</sup>
- One or more methodological courses, including assessment (which the PhD student must pass), worth a total of at least six credits;
- Mandatory PhD courses may include both those organised by UAntwerp's FBE as PhD courses offered by other educational institutions and organisations;
- The FBE Faculty Doctoral Committee (FDC) determines the list of internal PhD courses. The FDC-FBE may add additional courses to this list at the request of a particular department;
- PhD students may also choose to take external PhD courses in consultation with their supervisors and following approval from the FDC-FBE. External PhD-level courses are to be presented to the FDC-FBE for approval by the PhD student prior to the start of the course along with the following information:
  - the course is part of a doctoral study programme or aimed at PhD students
  - description of the course
  - number of credits that the course is worth (if unavailable, the student workload in hours, which the FDC-FBE will then use to allocate credits)
  - form of assessment; courses that do not include an assessment are not accepted;
- The FDC-FBE may decide to alter the number of credits assigned to external courses according to the University of Antwerp regulations on student workload;
- Examinations for advanced courses and methodological courses (min. six credits each) must be passed within a period of two academic years after admission to the FBE PhD programme;<sup>3</sup>
- A maximum of 12 credits can be allocated to courses in Competence Category A. It is possible to earn extra credits for courses under Competence Category B (see below).

**Please include:** course title, lecturer, university/institute and results achieved.

**Supporting documents:** The PhD student should attach a certificate or email confirmation of results for all external courses.

###### ○ **Reviewer of WoS manuscript**

PhD students can earn a maximum of three credits for reviewing manuscripts submitted to Web of Science journals.

- Each manuscript review is worth one credit, regardless of how many versions of the manuscript the PhD student reviewed.

**Please include:** the title of the manuscript and the name of the journal.

**Supporting documents:** The PhD student should attach a document proving that the manuscript review took place and showing the name of the journal. The PhD student must receive a personal invitation for the review.

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<sup>2</sup>While a 'pass' is sufficient, lecturers are asked to give scores out of 20. This information enables the PhD commission to make a more accurate assessment of the PhD student's progress.

<sup>3</sup>If a PhD student is required to take extra courses, the period of two academic years begins only after these extra courses and/or examinations have been completed. The extra courses do not count for credits in the FBE doctoral study programme.

## 4.2 Competence Category B. Adaptation to the research environment

### ○ **Additional courses:**

Besides the mandatory PhD courses from Competence Category A, PhD students can earn a maximum of six additional credits for taking discipline-specific courses (methodological and/or advanced courses).

- These courses must meet the same conditions specified for the courses in Competence Category A;
- For all PhD courses not organised as part of the FBE doctoral study programme (see above), prior approval of the FDC-FBE must be requested;
- Exceptionally courses from Advanced Master programmes that include an assessment (which the PhD student must pass) may be accepted as additional courses;
- Approved PhD-level courses count for the full number of credits assigned to each course (unless otherwise specified by the FDC-FBE). Approved courses from Advanced Master programmes count for half of the credits assigned to the course. No credits are allocated to courses from initial Master programmes;
- PhD students must pass all additional courses before they submit their theses.

**Please include:** course title, lecturer, university/institute and results achieved.

**Supporting documents:** The PhD student should attach a certificate or email confirmation of results for all external courses.

## 4.3 Competence Category C. Research management

### ○ **Supervisor or co-supervisor of a research-related Master dissertation:**

PhD students can earn a maximum of four credits as supervisors or co-supervisors of research-related Master dissertations obtained at the University of Antwerp or Antwerp Management School.

- The supervision (as the main or co-supervisor) of a Master dissertation is worth one credit;
- It is the task of the individual PhD commission (IPC) to confirm whether the Master dissertation is research-related.

**Please include:** the title of the dissertation, the name of the Master student and the names of all supervisors.

**Supporting documents:** The PhD student should attach a copy of the list of supervised Master dissertations which shows the names of all supervisors, as well as a confirmation from the supervisor or the chair of the IPC that the dissertation was research-related.

## 4.4 Competence Category D. Personal efficiency

### ○ **Publications:**

PhD students can earn a maximum of 15 credits for academic publications;

- Only publications included in the University of Antwerp's academic bibliography will be recognised;
- Articles published in Web of Science journals will be allocated six credits each;
- Articles published in peer-reviewed journals included in the *Vlaams Academisch Bibliografisch Bestand voor de Sociale en Humane Wetenschappen* (VABB-SHW) will be allocated three credits each;
- Other academic publications (books, book chapters, non-WoS/VABB articles, non-peer-reviewed articles, full papers in proceedings, working papers, reports) will be allocated two credits each. A maximum of six credits can be earned for these publications;
- Proceedings with abstracts and extended abstracts, popularising articles and book reviews are not accepted, even when included in the academic bibliography;

**Please include:** the full reference and type of publication.

**Supporting documents:** The PhD student should submit the publication to the University of Antwerp Library for [inclusion in the academic bibliography](#) and provides the url as proof.

## 4.5 Competence Category E. Communication skills

### ○ **Presentations at academic conferences:**

PhD students can earn a maximum of eight credits for giving presentations at academic conferences.

- Presentations at academic conferences (including poster presentations) are worth two credits;
- By academic conference, we mean a meeting of researchers from various educational and/or research institutes both in Belgium and abroad;

**Please include:** the title of the presentation, the name of the conference, location and date;

**Supporting documents:** The PhD student should attach a certificate of attendance showing the name of the speaker(s) and the title of the presentation, or provide a link to or copy of the conference programme showing the name of the speaker(s) and the title of the presentation.

#### **4.6 Competence Category F. Networking and teamwork**

##### ○ **Active participation in the annual Doctoral Day:**

PhD students can earn a maximum of four credits for demonstrating active participation in the FBE's annual Doctoral Day. All PhD students are required to demonstrate active participation worth at least two credits.

- All PhD students must attend the Doctoral Day unless they are abroad or otherwise prevented from attending due to research-related obligations;
- Contributing to the Doctoral Day as a speaker or discussant is worth one credit;
- PhD students may give presentations and serve as discussants on more than one Doctoral Day. Upon completion of the doctoral study programme, a PhD student's number of participations as a speaker must be equal to or higher than the number of his/her participations as a discussant;
- For PhD students who are unable to attend the Doctoral Day due to a limited residency in Belgium, the supervisor can ask the permission of the FDC-FBE to substitute the Doctoral Day participation with a doctoral seminar. Only presentations given during research seminars at academic educational or research institutions are eligible for this substitution. The PhD student should invite his/her IPC to the doctoral seminar. A doctoral seminar which has been approved by the FDC-FBE is worth two credits;
- Other seminars will not be recognised.

**Please include:** participation as a speaker or a discussant; if speaker: the title of your presentation.

For substitute seminars: the title of the presentation, the name of the seminar, location and date.

**Supporting documents:** No supporting documents are required for active participation in the Doctoral Day. The faculty's PhD administration will check participation.

For doctoral seminars: The PhD student should submit proof of the FDC-FBE's approval and the doctoral seminar programme showing the speaker and the title of the presentation.

#### **4.7 Competence Category G. Career management**

No activities from Competence Category G are recognised in the FBE doctoral study programme.

### **5. Transitional measures**

After the 2017 round of progress reports, subtotals of the credits earned according to the old model of the doctoral study programme were drawn up for all PhD students. Credits earned under the old model will remain valid, even if the new maximums are exceeded. All PhD students are expected to use the new model with its credit allocation per competence category from the 2018 round of progress reports onwards.