

Additional Doctoral regulations

Institute of Development Policy (IOB) – University of Antwerp

Version approved by the IOB Board 28 September 2018

I. General Stipulations

Art. 1. These additional regulations apply to the Doctoral studies at the Institute of Development Policy (IOB), University of Antwerp which include the doctoral study programme and the doctoral thesis. They supplement the provisions laid out in the Flemish Higher Education Code (Codex Hoger Onderwijs) of 11 October 2013, ratified by the Decree of 20 December 2013 concerning the restructuring of Higher Education in Flanders with regard to obtaining a doctorate, and the PhD regulations governing doctoral studies at the University of Antwerp (general doctoral regulations on obtaining the academic degree of doctor at the university of Antwerp) approved by the Board of Governors of the University of Antwerp dd. 30.01.2018.

Art. 2. Within the Institute of Development Policy, PhD studies fall under the remit of the IOB Council, the IOB Doctoral Commission (IOB-DC), the supervisor(s) and the respective individual PhD doctoral committees (IDC).

Art. 3. With regard to doctoral studies, the IOB Council has decision-making powers in the following areas:

1. The definition and approval of these additional regulations;
2. The appointment of the members and the chairman of the IOB-DC (cf. art. 4 of these additional regulations);
3. The decision of admission to the doctoral studies, having first examined the suitability of the candidate and after a positive advice of the IOB-DC (cf. art. 7 of these additional regulations);
4. the appointment of the supervisor(s);
5. The definition and approval of the activities belonging to the compulsory study programme (cf. art. 44 of the general doctoral regulations and art. 14-19 of these additional regulations);
6. The composition of the IDC and the appointment of a Chairman when a candidate has been admitted to the doctoral studies (cf. art. 14, 17-20 of the general doctoral regulations);
7. The composition of the doctoral jury and the appointment of a chairman when a candidate has been given permission to defend his/her thesis (cf. art. 26-29 of the general doctoral regulations);
8. The approval of the annual evaluation reports submitted by candidates and doctoral committees (cf. art. 21 of the general doctoral regulations);
9. The permission for the submission of the thesis in another language than Dutch or English (cf. art. 23 of the general doctoral regulations);
10. The definition of the content of a possible preparatory programme for candidates complying with art. 10 of the general doctoral regulations;

Art. 4. The IOB-DC is composed of ZAP-representatives, representatively chosen by the research commission and one IOB PhD student representative, appointed by the IOB Council. One of the ZAP-members is appointed as chairman of the IOB-DC.

Art. 5. The IOB-DC is responsible for the coordination and practical organization of the PhD-related activities at IOB:

1. Establishing the modalities for the public defence of the doctoral thesis;
2. determining the weight of the points for the activities eligible for the doctoral training;
3. Evaluating and approving the case file of the doctoral training and awarding the certificate for completing the doctoral training.

The IOB-DC has the competence to advise the IOB Council with respect to the items mentioned in art. 3, § 3-10 of these additional regulations.

Art. 6. The chairman of the IOB-DC is responsible for the co-ordination and the organisation of the commission and for the timely reporting to the IOB Council.

Art. 7. The supervisor(s) advice(s) to the IOB-DC concerning the acceptance of PhD students and their research project (as specified in art. 9 of these additional regulations). This advice is examined by the IOB-DC who then advises the IOB Council.

II. Conditions of admission

Art. 8. Doctoral studies within IOB are open to candidates ¹who comply with the conditions laid down in the Decree (cf. art. 1 of these additional regulations) and who have furthermore obtained permission from the IOB Council to commence doctoral studies.

Art. 9. In order to be accepted, at least one of the supervisors is an IOB ZAP member. The IOB supervisor(s) submit(s) the PhD project and candidate to the IOB-DC. This also requires the elaboration of a formal file which comprises the IOB application form, the candidate's full CV and a description of the research proposal. The IOB-DC will check for coherence with its institutional research agenda and verify whether it can guarantee adequate support for the accepted students. On the basis of this assessment, the IOB-DC advises the IOB Council about the PhD application (cf. art. 7 of these additional regulations).

III. Supervision - doctoral committees

Art. 10. The supervisor(s) search, in agreement with the candidate, for an appropriate individual doctoral committee (IDC). The IOB-DC will formulate an advice to the IOB council regarding the composition of the individual doctoral commissions and the appointment of its chairman, in compliance with art. 17-20 of the general doctoral regulations.

Art. 11. The IDC is responsible for:

1. the definition of the activities that are part of the compulsory training programme (see art. 3. §5 of these additional regulations) and, if applicable, the preparatory programme (see art. 3. §10 of these additional regulations);
2. the monitoring and follow-up of the progress and quality of the PhD, as indicated by art. 20 of the general doctoral regulations.

Art. 12. At the end of the first academic year of the Doctoral Programme, PhD students need to have obtained at least 12 credits for compulsory study courses, complying with the rules specified in the Annex (point 3). Under exceptional circumstances, the IOB-DC can decide that a PhD student needs to reach this point at the end of the second rather than the first academic year. Such an exception can only be granted at the start of the doctoral studies when the Doctoral Programme is approved.

Art. 13. Each year, the PhD student will submit – following the procedure described in the Annex of these additional regulations, a progress report to the chairman of his/her IDC, with a copy to the Chairman of the IOB-DC. On the basis of this report and a written assessment by the IDC, the IOB-DC decides whether the candidate has made enough progress to be allowed to continue his/her doctoral studies. In case of a negative evaluation art. 20 of the general doctoral regulations applies.

¹ In these additional regulations and annexes, the candidate referred

IV. Doctoral Training

Art. 14. Within the doctoral training, each PhD student must strengthen his/her competence as young researcher. The PhD student determines together with the supervisor(s), which activities from the UA competence profile he/she will work on. In order to successfully complete the doctoral training, the PhD student must compose a package of activities complying to the following regulations :

- The activities undertaken must amount to a minimum of 30 credit points;
- For each of the activities undertaken, the PhD student must provide a proof of participation;
- A minimum of 1 credit point must be obtained in at least 4 different competence categories;
- A maximum of half the total number of credits can be obtained in one and the same category.

Competence categories (from the competence profile)

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|-------------------------------------|
| A. Research skills and techniques |
| B. Adapting to research environment |
| C. Research management |
| D. Personal effectiveness |
| E. Communication skills |
| F. Networking and teamworking |
| G. Career management |

The attribution of doctoral credits per activity will be based on the credit table in annex to these regulations. All specifications and restrictions stipulated in Art. 15 to Art. 19 of these additional regulations also apply.

The PhD student must have finished the doctoral training before the official composition of the doctoral jury. The IOB-DC advises the IOB Board about the completion of the doctoral training and the composition of the doctoral jury.

Art. 15. Within the scope of the doctoral training, each PhD student must take doctoral courses, amounting to a minimum of 12 credit points. This doctoral study programme must include advanced theoretical courses and methodological courses (both for a minimum of 6 credit points). Upon approval of a PhD student, the IOB-DC can impose an extended doctoral study programme (cf. art. 4 of the general doctoral regulations).

Art. 16. Each PhD student must realize at least one peer-reviewed publication (CERES-EADI A-B-C) within the scope of his/her doctoral research project.

Art. 17. Each PhD student must do at least one presentation in a doctoral seminar within the scope of his/her doctoral research project. These seminars must be checked and confirmed by the IDC, whose members are asked to attend.

Art. 18. Activities undertaken before the candidate has been accepted for PhD studies can also be taken into account for the attribution of credit points. The IOB-DC formulates its advice to the Council on the basis of a well-developed proposal.

Art. 19. Both the approval of the doctoral study programme and the judgment concerning the recognition of previous activities are decisions of the IOB-DC.

IV. Annual Evaluation

Art. 20.

Annually, each PhD student must submit two progress reports through the online Student Information System (SisA), on the one hand about the activities undertaken for the doctoral study programme and on the other hand on the doctoral research.

The administrative PhD coordinator sends a call to the PhD students during the month of May; deadline for submission of the progress report is August 15th.

For the doctoral training, the PhD students compose their own list of activities on the basis of the competence profile (cf. annex to the additional regulations). First year PhD students report in detail about the completion of their compulsory study programme.

For the doctoral research, the PhD students report on how the actual research has progressed in comparison to planning of the previous year and indicates the planning for the next year.

Art. 21. On the basis of the annual progress report, the individual doctoral committee evaluates the PhD student, decides whether he/she made enough progress to be allowed to continue his/her doctoral studies. The IDC advises the IOB-DC and the Council about the (dis)continuation of the PhD student in the Doctoral Programme.

Art. 22. In case of a negative evaluation by the individual doctoral committee, the IOB-DC invites the PhD student to give further clarifications, if possible in a personal interview, and elaborates an informed, motivated advice to the Council. The Council may subsequently advise the IDC to refuse further enrolment (cf. art. 20 of the general doctoral regulations).

VI. Doctoral Thesis and Defence

Art. 23. The Doctoral Thesis takes the form of a monograph or a collection of research manuscripts on the topic of the doctorate, or a combination of both. 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 (cf. article 22 of the general doctoral regulations).

Art. 24. The Doctoral Thesis needs to be approved by the doctoral jury who evaluates the originality and the coherence of the doctoral research, and its scientific contribution to the field of studies concerned.

Art. 25. The doctoral jury consists of min. 5 and max. 8 members, i.e. the full IDC and two or three additional members (cf. article 26 of the general doctoral regulations). At least three members of the doctoral jury are from outside the UA of which at least 2 are not member of the IDC.

Art. 26. The PhD student starts the procedure leading to the defence of his/her thesis by submitting his/her draft thesis to the chairman of his/her IDC. The chairman then distributes copies to the members of the IDC (cf. article 30 of the general doctoral regulations).

Art. 27. If the IDC agrees to the submission of the thesis, the IOB Council upon advice of the IOB-DC appoints the chairman and the members of the doctoral jury consisting of min. 5 and max. 8 members, in accordance with art. 25 of these additional regulations. The chairman then distributes these copies to all members of the doctoral jury.

Art. 28. At the IOB, the preliminary defence is part of the evaluation of the doctoral thesis. The preliminary defence of the thesis takes place within six weeks after a written confirmation by the all the members of the doctoral jury that they deem the thesis of sufficient quality. At the occasion of the preliminary defence, the doctoral jury decides, by a majority vote, whether the PhD student may proceed to the public defence of his/her thesis; if the vote is tied, the chairman has the casting vote. If the majority of the members of the doctoral jury refuse to allow the public defence, a new preliminary defence

must take place. In total, a maximum of two preliminary defences may take place (cf. article 33 an 34 of the general doctoral regulations).

Art. 29. When, after the preliminary defence, the doctoral jury agrees to the public defence of the thesis, the chairman of the doctoral jury informs the Chair of the IOB and the chairman of the IOB-DC. The PhD student submits ten copies of his/her definitive thesis to the chairman of the doctoral jury. The chairman of the doctoral jury distributes the thesis to the members of the doctoral jury. The PhD student also submits a digital version of the thesis to the UAntwerp Central Library prior to the defence (cf. article 40 of the general doctoral regulations).

The public defence takes place at IOB, at the earliest three weeks and at the latest six weeks after the submission of the definitive thesis (cf. article 33 an 34 of the general doctoral regulations).

Art. 30. Thirty minutes before the actual defence, the doctoral jury is convened by the Chairman of the IOB and the chairman of the doctoral jury. During the preliminary discussion, the secretary is appointed. The public defence of the thesis consists of the following components:

- A brief presentation of the thesis by the candidate;
- Questions from the members of the doctoral jury and answers by the candidate;
- Questions from the audience;
- Discussion by the doctoral jury;
- Proclamation by the chairman of the doctoral jury;
- Laudatio by the supervisor(s).

The duration of the public defence is limited to maximum 2 hours; 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 (cf. article 37 of the general doctoral regulations).

Art. 31. The decisions of the IDC 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 are in agreement (1 vote). If the supervisors cannot reach a consensus, they too must reach a decision by a simple majority vote (cf. article 39 of the general doctoral regulations).

Art. 32. Joint and double PhDs (cf. article 41-47 of the general doctoral regulations).

Art. 33. In the event of problems the PhD student may request additional mediation from the IDC and from the ombudsperson at the IOB, namely the Institute Coordinator or the central ombudsperson (cf. article 51 of the general doctoral regulations).

Annex: Practical organization, modalities and timing

1. Admission to and start of the PhD training

- Applications to be admitted to the doctoral training may be hand in to the IOB-DC throughout the year following the procedures (cf. art. 8 and 9 of these additional regulations).
- Admission to the programme does not automatically imply that the candidate will effectively start with the doctoral training immediately. In the application, the candidate and supervisor will define the expected starting date of the training. If this date does not cover the current or next academic year, this date must be formally confirmed before 10 September of the year in which the training is started.
- Candidates who, at the time that they start their training, already know that they will write their thesis in a language other than Dutch or English will immediately request permission to do so (via the standard acceptance letter).

2. Individual Doctoral Committee (IDC)

- After consulting with the doctoral candidate in question, the supervisor(s) will elaborate a proposal for the IDC, in accordance with art. 10 of these additional regulations.
- The deadline for submitting the IDC proposal is 10 September of the first academic year of the PhD training.

3. Specific requirements for the first year of the doctoral training

- PhD students need to obtain a minimum of 12 credits for study courses or, if applicable, the extended doctoral programme during their first academic year
- The PhD student and the supervisor(s) submit a proposal for the study programme to the Chairman of the Doctoral Commission. Deadline for this proposal: November 15th.
- The (compulsory) doctoral study programme is formally approved by the IOB-DC; the PhD student is formally notified of his/her compulsory study programme.
- Changes in the approved doctoral study programme are only possible when motivated by factors outside of the students' control. They need to be formally approved ex ante by the IOB-DC. PhD students and supervisor(s) notify the Chairman of the IOB-DC as soon as possible when a change of the study programme is necessary; the notification includes the proposal for adjustment of the study programme.
- The full report about the doctoral study programme needs to be included in the first year Progress Report, which has to be submitted through SisA by August 15th (cf. art. 20 of these additional regulations). The report needs to indicate how the minimum of credits have been obtained with the approved study courses. The IOB-DC will act as the 'Peer Review Commission' for validating the credits obtained.

4. PhD Administration at IOB: the Doctoral Commission (IOB-DC)

- The IOB PhD is managed by the IOB-DC, which will advise the Council of the IOB in this respect. The IOB-DC is the point of contact for all communication regarding the IOB PhD.
- All communications to the IOB-DC have to be directed to its chairman with a copy to the Administrative PhD coordinator katleen.vanpelicom@uantwerpen.be.
- The IOB-DC holds 4 meetings per year (every 3 months). Additional meetings may be held if necessary.

5. Credit Table IOB Competence Profiles

Competence category	Activity	Points (credits)
A. Research skills and techniques	1.1 Doctoral courses (min 6 theory, 6 methods; possibly personalised DSP); first year, except if exempted	- Third cycle and other higher education courses. (Credit points ≈ ECTS or 1.5 year-hour or 1/10 contact-hours) - Courses followed in summer school (international public). (Credit points = 3/week; or similar calculation as third cycle course) - Focused, short term training courses. (Credit points ≈ ECTS or 1.5/year-hour or 1/10 contact-hours)
	1.2 Specific courses ADS	0,5 credit, max 1
	1.2 Other	
B. Research environment	2.1 Publications (max. 9 credits)	- Author or co-author of article/ book chapter/ book/ reports/ proceedings: A-B = 6 credits C & IOB DP = 3 credits D-E = 1,5 credits, maximum 3 credits - (Co)editor book or thematic edition of journal A-B-C = 3 credits - Review in A-B-C journal = 0,5 credits, max 1 - Publications general audience = 0,5, max 1
	2.2 Reviews	0,5 credit, max 1
	2.3 Participation in consultancies with substantial contribution	1 credit, max 3
	2.4 Member of boards of relevant organisations	0,5 credit, max 1
	2.5 Member of IOB commissions and/orboard	0,5 credit, max 1
	2.6 Active participation in elaboration of research proposals	0,5 credit, max 1
	2.7 Other	
	C. Research management	3.1 Planning and execution of field research
3.2 (Co)-organisation of scientific conference/event		0,5 credit, max 1
3.3 Specific courses ADS		0,5 credit, max 1
3.4 Other		
D. Personal effectiveness	4.1 (Co)-tutoring IOB or other students (education, master dissertation)	0,5 credit/ module, max 2

	4.2 Active participation in research institutes/networks outside IOB	0,5 credit, max 1
	4.3 Active participation in social events, student trips, etc.	0,5 credit, max 1
	4.4 Specific courses ADS	0,5 credit, max 1
	4.5 Other	
E. Communication skills	5.1 Presentation of own research in doctoral seminar	3 credits, max 3
	5.2 Teaching of courses (exercises, seminars, etc.)	1 credit, max 3
	5.3 Evaluation of masters dissertations	0,5 credits, max 1
	5.4 Specific courses ADS	0,5 credit, max 1
	5.5 Presentations at international conferences and other scientific events	Papers given at academic conferences with peer review of paper or as invited speaker (3 credits) Papers given at academic conferences or meetings without peer review (1,5 credits) Posters given at academic conferences (1 credit) Panel organizer at academic conferences (1,5 credit) Participation in activities for a general audience (0,5 credits, max 1)
	5.6 Discussant at international conferences and other scientific events	0,5 credits, max 1
	5.7 Authoring a scientific website (university or research institute) or blog	0,5 credits/ website, max 1
	5.8 Language courses	0,5 credits, max 0,5
	5.9 Other	

F. Networking & teamworking	6.1 Specific courses ADS	0,5 credit, max 1
	6.2 Member of editorial team	0,5 credit, max 0,5
	6.3 Research stay at institutes other than IOB	0,5 credit, max 1
	6.4 Active cooperation in group research	0,5 credit, max 1
	6.5 Coordinating international research team (field work, specific research)	1 credit, max 1
	6.6 Active membership of relevant organisations	0,5 credits, max 1
	6.7 Other	
G. Career management	7.1 Internship in non-academic environment	0,5 credits, max 1
	7.2 Participation doctoral information sessions or specific ADS activities	No credits
	7.3 Negotiation of study program	No credits
	7.4 Functioning- and evaluation talks	No credits
	7.5 Other	