

Additional Doctoral Regulations Faculty of Law

Unofficial translation of the official version in Dutch. The latter was approved by the University of Antwerp Faculty of Law Faculty Board on 4 July 2019. In case of conflict, the official version prevails.

I. General provisions

1. These regulations apply to doctoral studies carried out in the Faculty of Law of the Universiteit Antwerpen and cover PhDs in both Law and Safety Sciences. These studies are comprised of the doctoral programme and the doctoral thesis. They are supplementary to the provisions specified in the Higher Education Code dated 11 October 2013 ratified by the Decree dated 20 December 2013 and to the Doctoral regulations of the Universiteit Antwerpen (approved by the Board of Governors of the Universiteit Antwerpen on 30 January 2018).

2. In the Faculty of Law, the following individuals, boards and commissions are authorised to oversee doctoral studies: the Faculty Board, the individual PhD commissions (Individuele Doctoraatscommissie or IDC), the regular Master exam commissions, the Research Reflection Group, the Safety Sciences Bureau, the Extended Executive Committee of the Faculty of Law (Uitgebreid Dagelijks Bestuur or UDB), the dean of the Faculty of Law and the faculty doctoral programme commission and coordinator.

3. With regard to doctoral studies, the Faculty Board has decision-making authority over:

1°. the determination of any additional training to be undertaken during the PhD by prospective PhD students described under Article 4 of the the Doctoral regulations of the Universiteit Antwerpen;

2°. the Faculty of Law's supplementary doctoral regulations and the guidelines concerning the doctoral programme;

3°. the appointment of the faculty doctoral programme coordinator, who also chairs the faculty doctoral programme commission, as well as the appointment of the other members of this commission;

3bis. With regard to doctoral studies, the Extended Executive Committee (UDB) has, within the framework set by the Faculty Board, decision-making authority over:

1°. admission to doctoral studies, based on an evaluation of the prospective PhD student's suitability and of the proposed research project (cf. Art. 8, 9, 10 and 11 of the the Doctoral regulations of the Universiteit Antwerpen);

2°. the determination of an additional preparatory programme for prospective PhD students described under Articles 10 or 11 of the the Doctoral regulations of the Universiteit Antwerpen, and the appointment of the regular Master exam commission responsible for the preparatory programme;

3°. the designation of the supervisor (or supervisors) for the thesis (cf. Art. 14 and 15 of the Doctoral regulations of the Universiteit Antwerpen);

4°. the composition of the IDC (cf. Art. 17 of the the Doctoral regulations of the Universiteit Antwerpen);

5°. the approval of the IDCs' evaluation reports following the submission of PhD progress reports (cf. Art. 20 of the Doctoral regulations of the Universiteit Antwerpen);

6°. the granting of permission to submit the thesis in a language other than Dutch or English (cf. Art. 23 of the

Doctoral regulations of the Universiteit Antwerpen) or giving advice on the expediency to submit the PhD thesis in English.

7°. the composition of the doctoral jury, designation of the chair and specification of the details for the public defence of the thesis; as well as the verification that the PhD student can prove that he/she has met the requirement of Article 4 of the Doctoral regulations of the Universiteit Antwerpen (cf. Art. 25 of the Doctoral regulations of the Universiteit Antwerpen);

8°. the points listed under Article 4 of these supplementary regulations, as advised by the IDC.

The UDB reports annually to the Faculty Board meeting of March.

4. The IDC provide advice to the UDB when evaluating the PhD students' annual progress reports of their doctoral programmes (cf. Article 20 of the Doctoral regulations of the Universiteit Antwerpen).

With regard to the supervisor and the composition of the IDC for a PhD in Safety Sciences, the following applies in addition to Articles 15, 16 and 17 of the Doctoral regulations of the Universiteit Antwerpen: PhDs in Safety sciences must be overseen by two supervisors from different disciplines. This means that the IDC for a PhD in Safety Sciences will normally consist of four people.

5. With regard to the doctoral programme, the faculty doctoral programme commission has decision-making authority over:

1°. the assessment of the PhD students' annual study progress reports on their doctoral programmes (cf. Art. 21 of the Doctoral regulations of the Universiteit Antwerpen);

2°. the coordination and organisation of the doctoral programme;

3°. the granting of full or partial exemptions, and the recognition of activities that have been undertaken before the start of the PhD studies and after obtaining the diploma that grants access to the PhD studies, as described in Articles 20 and 21 of these supplementary regulations;

4°. a PhD student's appeal against the faculty doctoral programme coordinator's decision regarding the recognition of his/her doctoral programme activities, as described in Article 25 of these supplementary regulations;

6. The faculty doctoral programme coordinator (who is also the chair of the faculty doctoral programme commission) has decision-making responsibility for:

1°. assessing and approving the PhD student's doctoral programme file and issuing the doctoral programme certificate;

2°. following up on any training programme undertaken by the PhD student, as required by the Faculty Board (Art. 3, 1° of these supplementary regulations).

7. The dean of the Faculty of Law is automatically designated chair of any IDC within the faculty. He/she is not a formal member of the IDC, however.

As chair, he/she monitors the consistency of each supervision done by the IDC.

He/she also mediates in the event of any conflict between the PhD student and the supervisor(s).

If the dean is supervising a thesis or participating in an IDC as a formal member, he/she is replaced by the vice-dean as the chair of that IDC. Again, this chair does not serve as a formal member of the IDC concerned.

8. The regular Master exam commission has decision-making authority with regard to the fulfilment of conditions for the preparatory programme which the UDB may impose upon PhD students who fall under Article 3bis, 2° of these supplementary regulations.

9. The Research Reflection Group provides advice to the UDB with regard to the form of the PhD, as described in Article 29 of these supplementary regulations.

II. Admission requirements

10. Doctoral studies in the Faculty of Law are open to any prospective PhD student who fulfils the conditions laid out in Articles II.184 and II.185 of the Higher Education Code and who have also received explicit notification of admission from the UDB following an assessment of suitability.

11. The UDB's assessment of a prospective PhD student's suitability is made on the basis of the file described in Articles 8, 9, 10 or 11 of the Doctoral regulations of the Universiteit Antwerpen and Article 21 § 2 of these supplementary regulations.

A prior recommendation from the Safety Sciences Bureau is required for a PhD in Safety Sciences.

The UDB may ask the prospective PhD student to provide additional information when carrying out the suitability assessment. The suitability assessment may include a language test.

12. The results of the suitability assessment must be announced to the PhD student within a reasonable time frame. Six weeks is assumed to be a reasonable period. If the results of the suitability assessment made with reference to Article 8 of the Doctoral regulations of the Universiteit Antwerpen have not been announced to the PhD student within three months, he/she may assume that the decision is positive. This does not apply to suitability assessments conducted with reference to Articles 10, 11 or 9 of the Doctoral regulations of the Universiteit Antwerpen, although decisions about such tests should also be reached within the reasonable time frame of six weeks.

If necessary, the UDB may grant provisional admission to the PhD. The UDB will determine how long this provisional admission can apply, with a maximum of 12 months. If the PhD student fails to submit the file described in Article 11 of these supplementary regulations within that period, the provisional admission will be cancelled automatically.

13. If the Faculty Board requires the PhD student to complete additional training during his/her PhD (cf. Art. 3, 1° of these supplementary regulations), this is to be announced to the PhD student along with the results of the suitability assessment. This programme can consist of no more than 30 credits and will form part of the PhD student's doctoral programme. The Faculty Board will also define the period within which this additional training must be completed. The PhD student will contact the educational secretariat for practical information about the classes he/she is required to attend.

14. If the UDB requires the PhD student to complete a preparatory programme and exams (cf. Art. 3bis, 2° of these supplementary regulations), the UDB will announce this to the PhD student along with the results of the suitability assessment. This preparatory programme can consist of no more than 30 credits. It does *not* form part of the PhD student's doctoral programme. The PhD student must sign a degree contract with the Registrar's Office in order to enroll on the components included in this preparatory programme. It is the PhD student's responsibility to inform the UDB of the results of the preparatory programme, as determined by the regular Master exam commission, so that the UDB can decide whether to admit the PhD student to the first year of the PhD – or to the second year, if permission was granted to complete the preparatory programme during the first

year of the PhD in accordance with Article 11 of the Doctoral regulations of the Universiteit Antwerpen.

15. Tuition fees that the PhD is required to pay for components of his/her additional training or preparatory programme are not included in the tuition fees payable for enrolment as a PhD student.

16. The IDC is composed by the UDB when the prospective PhD student is granted permission to enrol, as specified in Articles 4, 8, 9, 10 and 11 of the Doctoral regulations of the Universiteit Antwerpen.

III. The doctoral programme

17. As part of the doctoral programme, PhD students are expected to hone their competences as young researchers. Using the competence profile for PhD students at the Universiteit Antwerpen, and in consultation with their supervisors, PhD students determine the activities that they will undertake.

In order to complete the doctoral programme successfully, PhD students are required to submit a file with their activities according to the following general rules:

- 1) The activities undertaken must amount to a total of at least 30 credits;
- 2) At least one credit must have been earned in at least four categories of the competence profile;
- 3) No more than half of the total number of credits may be earned in a single competence category;
- 4) For every activity a valid form of proof is required.

The categories in the competence profile are as follows:

- 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.

18. Specific guidelines apply to the awarding of credits for each activity. The most recent version of these guidelines will be uploaded to Pintra and can be requested from the chair of the faculty doctoral programme commission.

19. Within the bounds of the university and faculty regulations, each PhD student is guaranteed the highest possible degree of freedom in his/her own development.

20. Activities which were undertaken after completion of the degree which enabled enrolment to prepare a doctoral thesis but before the actual enrolment took place, may be counted in part or in full within the framework of the doctoral programme. As a rule, no more than half of the total credits required may be awarded in this way. In accordance with Article 26, § 4 of these supplementary regulations, however, the faculty doctoral programme commission may deviate from this rule if a PhD student resumes a PhD that was previously put on hold.

The PhD student must apply to the faculty doctoral programme commission at the start of the PhD to have credits awarded for these activities (cf. Art. 5, 3° of these supplementary regulations).

21. § 1. In exceptional circumstances, PhD students with special qualifications may be exempted from the obligations and limitations stated in Articles 17–20 of these supplementary regulations. The faculty doctoral programme commission makes this decision based on an application supported by appropriate documentation.

§ 2. In case of an incoming Joint PhD and if the PhD candidate proves that he/she follows the doctoral study

programme in their home institution, the UDB may decide to exempt the candidate from the doctoral study programme at the University of Antwerp, following a suitability assessment as described in Art. 11 of these supplementary regulations (cf. Art. 12 and 43 of the Doctoral regulations of the Universiteit Antwerpen).

IV. Annual assessment of the doctoral research and the doctoral programme

22. The PhD student is required to submit an annual progress report in SisA. This report consists of two separate components:

- 1) a report on the progress of the doctoral research;
- 2) a report on the progress of the doctoral study programme.

23. § 1. The progress report is followed up by the IDC and the faculty doctoral programme commission.

§ 2. The IDC check on the progress of the doctoral research. They comment on this progress in their report to the UDB.

§ 3. The faculty doctoral programme commission follows up on the progress of the doctoral study programme. The faculty doctoral programme coordinator annually informs the PhD student about the number of credits he/she has earned.

24. § 1. If the PhD student fails to submit a progress report without a valid reason, a negative recommendation will be issued automatically.

§ 2. If necessary, the IDC may make provisional recommendations with certain conditions. The IDC also define the period within which these conditions must be fulfilled. This period can last a maximum of 6 months.

25. The PhD student is required to submit an orderly list of all activities for which he/she would like to receive doctoral programme credits to the faculty doctoral programme coordinator on or before the day on which the final PhD thesis is submitted to the IDC. All (missing) evidence supporting the activities need to be included with this list. It is the faculty doctoral programme coordinator's responsibility to determine how many credits are awarded per activity. In consultation with the PhD student, he/she will decide which activities in particular will be included in the specific diploma supplement.

If the PhD student does not agree with the faculty doctoral programme coordinator's decision, he/she may lodge an appeal with the faculty doctoral programme commission. If this happens, the chair of this commission will be replaced by another member while the dispute is resolved.

V. Maximum duration and determination of the PhD

26. § 1. Doctoral research is supposed to be finalised within a period of eight years, starting from the date of admission of the PhD programme (cf. Art. 3bis, 1° of these supplementary regulations).

§ 2. During that period, as prescribed in Articles 22 and 23, §1 and §2 of these supplementary regulations, the IDC provide advice about the progress of the doctoral research to the UDB on an annual basis.

§ 3. If the doctoral research has already been underway for eight years, the IDC must formulate an opinion about the progress of the research. If there is no progress at all or no future progress can be discerned, the IDC may come to a negative conclusion. If sufficient progress can be discerned, the IDC may formulate a positive conclusion or make a recommendation that is provisional on certain conditions, as prescribed in Article 24, § 2 of these supplementary regulations. This can happen a maximum of two years in a row.

§ 4. After ten years, the supervision of the PhD will be stopped automatically. In accordance with Article 11 of these supplementary regulations, this would not prevent the PhD student in question from continuing his/her research alone or from enrolling again and requesting a new doctoral jury in order to defend the research. The cancellation of a PhD student's enrolment cannot be reversed within the same academic year, meaning he or she cannot reenroll during the academic year in which the PhD was stopped.

27. § 1. If a PhD student decides to stop his/her PhD, this must be communicated to the UDB, the supervisor(s), the Faculty administration and the Antwerp Doctoral School as quickly as possible (cf. Art 62 of the Doctoral regulations of the Universiteit Antwerpen).

§ 2. If the supervisor believes that the PhD should be stopped, he/she should organise a meeting with the rest of the IDC.

§ 3. If the IDC agrees that the PhD should be stopped, the PhD student will have the opportunity to a hearing.

VI. Content, length and form of the thesis

28. § 1. The thesis must demonstrate the possibility of creating new scientific knowledge in a certain field or number of fields on the basis of independent scientific research. The thesis must provide opportunities for scientific publications.

§ 2. The PhD may be presented either in traditional book form or as a collection of scientific contributions, such as articles in journals or chapters in books or scientific reports considered by the IDC to be of a high level and have a high impact.

§ 3. The IDC take the following criteria into account during the evaluation:

- 1) the importance of the topic;
- 2) the careful development of the research question;
- 3) the scientific level of the organisation, analysis and treatment of the material;
- 4) the generation of new insights and ideas from the analysis;
- 5) the purity of the methodology used in the analysis;
- 6) the balance of structure in the manuscript and the clarity of the style.

29. The form of the PhD is to be decided upon by the IDC's first annual evaluation at the latest. If the PhD is to take the form of a collection of articles, the supervisor must submit a file to the Research Reflection Group containing a detailed justification, a research proposal, a publication plan, a description of the methodology, and an outline of the PhD student's intentions regarding the language of each publication and the co-authorship. The Research Reflection Group formulates its recommendations for the UDB, which makes the decision.

30. All theses should contain at least 150 pages with 1.5 line spacing. Including footnotes, 150 pages is around 60,000 words or 412,000 characters (incl. spaces). The thesis should not exceed 350 pages with 1.5 line spacing. Including footnotes, 350 pages is around 140,000 words or 960,000 characters (incl. spaces).

Appendices such as legal texts, rulings and decisions, statistical information and visuals are not included in the recommended length.

31. A collection of articles presented as a thesis should contain at least four contributions that have undergone the peer-review process. The following conditions apply:

- 1°. The thesis itself clearly states that it is entirely or partly composed of previously published (or submitted) contributions;
- 2°. At the time of the defence, at least two of the articles in the collection have been published or accepted for publication;
- 3°. Any articles that have been submitted to a peer-reviewed journal or book can be included in the thesis, even if they have not yet been published or accepted for publication;
- 4°. The articles may be written in different languages, provided that the UDB has granted permission for this.

32. The following requirements apply to a collection of articles presented as a thesis:

- 1°. Every article provides a major scientific and creative contribution to a branch of the legal or safety sciences, depending on whether it is a PhD in Law or Safety Sciences;
- 2°. The articles in the collection form a coherent whole, either in terms of content or methodology. It is essential that one research topic links all of the articles;
- 3°. The articles must not be more than eight years old on the date of defence. The PhD commission may permit an exception to this requirement if the abiding relevance of the research can be demonstrated;
- 4°. The combination of the selected articles in one collection must have added value, in that it presents coherent insights or a useful synthesis.

The fact that a publication has undergone peer review is not in itself sufficient. The IDC decides whether an article is eligible for inclusion in the PhD.

33. Additional texts must be included to ensure that the articles in the collection connect with each other to form a coherent whole. As a minimum, these connecting texts include:

- an introductory chapter that positions the work within the relevant research field;
- the development of the research question(s);
- an explanation of the methodology used;
- actualisation of the collected articles;
- a concluding chapter.

Any jumpiness in terms of content or topic requires proper justification in the connecting texts.

34. § 1. Articles written by more than one author may also be included in a collection of papers presented as a thesis. In this case, the following conditions apply:

§ 2. The PhD student is the first author of at least three of the articles in the collection.

The PhD student is considered the first author if

- he/she is the only author;
- all authors clarify their personal contributions to the publication, leading to the clear conclusion that the PhD student is the first author of the publication.

§ 3. At the start of the PhD, the PhD student declares his/her intentions with regard to the co-authorship of one or more articles in the publication plan appended to the research proposal. Any changes made to those intentions during the project are communicated to the Research Reflection Group.

§ 4. For each of the articles included in the collection, a very detailed description must be provided of the work done by the PhD student and the other authors. This description can be included either in the article itself or in the additional connecting texts in the thesis.

§ 5. During the submission commission (the IDC meeting during which permission is granted to submit the thesis), the PhD student justifies the necessity of co-authorship in terms of publication requirements. The PhD student also provides additional information that clarifies that he/she was the main author of the publication in question.

35. § 1. In principle, the PhD thesis is to be written and defended in Dutch or English. The PhD student is to prove that she/he is sufficiently proficient in English, in accordance with the language requirements set by the Faculty Board.

§ 2. Following a properly substantiated request from a PhD student or his/her supervisor, the UDB may grant permission to write the thesis in a language other than Dutch and English. The PhD student demonstrates that he/she has suitable proficiency in the language in question, in accordance with the language requirements set by the Faculty Board.

§ 3. If the thesis will be composed of a collection of articles, as described in Articles 29 and 31-34 of these supplementary regulations, this collection may include one or more articles written in a language other than Dutch or English. In that case, the UDB grants permission for the entire thesis, not for the individual articles in the collection.

§ 4. PhD theses written entirely or partly in a language other than Dutch or English must include both a Dutch and an English abstract. If the defence will also be held in a language other than Dutch or English, the content of the thesis should be summarised briefly in Dutch or English during the introduction.

VII. PhD thesis, the meeting of the doctoral jury and the public defence

36. The PhD student is responsible for covering printing costs. The faculty will bear the printing costs of any mandatory copies of the thesis.

37. If the IDC decides not to grant permission to submit the thesis (cf. Art. 31 of the Doctoral regulations of the Universiteit Antwerpen), the procedure concerning the public defence of the thesis is suspended. The IDC notifies the PhD student in writing of the steps needed to resume the procedure.

38. § 1. The meeting of the doctoral jury (cf. Art. 32 of the Doctoral regulations of the Universiteit Antwerpen) is obligatory and takes place within six weeks after the submission of the thesis to the chair of the doctoral jury. This meeting serves as the preliminary defence. In principle, all members of the doctoral jury should be in attendance. If necessary, members of the jury can attend the meeting using audiovisual communication channels.

§ 2. The PhD student is required to attend the meeting of the doctoral jury and to answer questions and comments raised by the jury members in the framework of the preliminary defence.

§ 3. The meeting will be reported in writing. The doctoral jury decides, by a majority vote, whether the PhD student may proceed to the public defence. 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 together have one vote. If the supervisors cannot reach a consensus, they too must reach a decision by a simple majority vote (cf. Art 39 of the Doctoral regulations of the Universiteit Antwerpen). Permission to proceed to the public defence is not granted in the event of a tied vote.

The doctoral jury may grant permission to proceed to the public defence provisional on certain conditions. The PhD student is then expected to meet those conditions within the time frame defined by the doctoral jury. If required, a new meeting may be scheduled in exceptional circumstances. A maximum of two meetings may be held.

The PhD student should not be present for the jury's deliberation or the vote.

39. If the doctoral jury agrees to the public defence of the thesis (cf. Article 33 and 35 of the Doctoral regulations of the Universiteit Antwerpen), the chair of the jury informs the dean and the PhD student submits the required copies of the final version of the thesis to the dean of the faculty. The dean's office distributes these copies of the thesis to the members of the doctoral jury and to the library. The public defence takes place between three and six weeks after submission of the final version of the thesis.

40. If a Dutch-speaking or English-speaking PhD student has received permission from the UDB to write the thesis in a language other than Dutch or English, the members of the doctoral jury may ask questions in the language in which the thesis was written. The PhD student may answer these questions in the same language.

VIII. Special provisions

41. These regulations take effect as of 1 September 2019.