

Rules and policies for PhD Candidate

Version: 21-07-2016

These 'rules and policies' apply to those holding appointments as 'PhD candidate'¹ within Leiden Law School and are intended to supplement and elaborate upon the University PhD Regulations. The term 'PhD candidate' refers exclusively to salaried PhD candidates who have an employment contract with Leiden Law School, which includes the obligation to obtain a doctoral degree within 4 years.

A. Content of the position of PhD candidate

1. The main purpose of employment in the position of PhD candidate is the preparation of a **PhD dissertation**. This dissertation consists of a number of (published or submitted) articles or a number of chapters or, indeed, a combination of both (see article 13 of the [PhD Regulations](#)).
2. The **topic** of the PhD dissertation must be in the field of one of the research programmes of Leiden Law School. This will be determined before the candidate is appointed.
3. Salaried PhD candidates are also required to perform a limited amount of **teaching** (see under A7), principally, within the department to which he or she is appointed.
4. In addition to his/her research activities, the candidate will participate in the **PhD training programme**. To this end, within 3 months of the appointment's commencement the main supervisor, the Dean of PhD candidates and the PhD candidate will together agree a Training and Supervision Plan. The candidate will be required to ensure this plan is kept up to date through the duration of the appointment.
5. The **final achievement standards** for the training as independent researcher are those contained in the VSNU report [Hora Est](#) of October 2004.
6. Basic aspects of the position of PhD candidate are regulated by the [collective labour agreement](#) (CAO) applicable to Dutch universities as well as by Leiden University's [job classification system](#).
7. The PhD candidate's workload will preferably be allocated to the various aforementioned activities according to the following distribution (in percentage terms):

¹ VSNU-category 1: The PhD candidate has an employment contract with the University or LUMC which includes the obligation to obtain a doctoral degree.

Year	Research	Teaching	Training
1	70%	0%	30%
2	60%	20%	20%
3	100%	0%	0%
4	80%	20%	0%

In exceptional circumstances, deviations from this model division of time are possible with the approval of the PhD candidate, the main supervisor and the Dean of PhD candidates, provided this does not involve a reduction in the available time for the PhD research.

8. By the third month of the final year, the PhD candidate should have written all articles and/or chapters in order to have the rest of that year available for reviewing the text and preparing to defend it.
9. The percentage of 20% teaching tasks in the fourth year will be reduced if the candidate has been obliged to devote more than an average of 7% of time to teaching activities during the first three years. Administrative and managerial tasks carried out by a PhD candidate also count as teaching activities.

B. Length of appointment and assessment

1. A PhD candidate is appointed initially for a period of one year. The appointment will be extended to a total of four years if the evaluation interview has been positive.
2. An initial evaluation interview conducted with the PhD candidate will take place in the ninth month of the appointment.
3. The Dean of PhD-candidates ensures that the evaluation committee (hereafter: ‘the Committee’), consists of a minimum of three assessors. The Committee consists of the (main and additional) supervisors of the dissertation, and an assessor from outside the research (sub) programme. The Committee will be chaired by the Dean of PhD-candidates. The Dean of PhD candidates may invite the coordinator of the applicable research sub-programme of Leiden Law School, and/or the Head of the candidate’s department, and/or parties from outside Leiden Law School to participate in the assessment.
4. At least **one week before the evaluation interview the PhD candidate** will submit to the Committee:
 - A summary of the teaching tasks completed, plus any evaluations of these tasks which may be available.
 - The personal training and supervision plan (see point A4 above), with a list of the courses which have been followed to date and any other completed elements of the training programme, (e.g. conferences, workshops, field work).

- The most recent version of the research plan with a provisional table of contents in which an indication is given per article/chapter of how much has been written and when it will be completed.
- Those parts of the dissertation that have already been written (whether or not in the form of one or more articles).
- If available, a copy of the report of the most recent Performance and Development Interview ([R&O gesprek](#)).

The PhD candidate may be required to furnish further materials or explanatory writing upon request by the Committee.

5. The Committee will answer the following eight questions:
 - a) *Has the Dean of Leiden Law School provided written communications confirming that the candidate has met the admission requirements of articles 3 and 4 of the [PhD Regulations](#)?*
 - b) *Have the teaching tasks been fulfilled satisfactory?*
 - c) *Has a third (10 ec) of the agreed training programme been completed successfully?*
 - d) *Is there a research plan including a clear problem definition and clear research questions, plus a realistic time line for researching and writing the planned articles and/or chapters?*
 - e) *Has the PhD candidate written at least one article or an initial chapter on (an aspect of) the subject of the dissertation topic?*
 - f) *Does the research plan together, with the texts mentioned under (d) and (e), reasonably warrant the expectation that the candidate will complete the PhD research successfully and within the appropriate timeframe?*
 - g) *Is the draft likely to remain within the limit of 100,000 words?*
 - h) *Does the Training and Supervision Plan stand in need of revision?*

During the first evaluation interview, consideration will also be given to whether the training and supervision plan (see point A4 above) requires any modification and whether the PhD candidate is being asked to carry out too many teaching tasks.

6. After the interview, the assessors will prepare their evaluation on the basis of the answers to the questions mentioned above. The main supervisor will inform the PhD candidate of the outcome as soon as possible thereafter. The Dean of PhD candidates will ensure that a brief report, including the answers to the questions, is compiled. Once all the members of the Committee have had the opportunity to give their comments and consented to the content of the report, copies will be circulated to the candidate, the supervisors and the personnel department.
7. In the event of a unanimously positive response to all the aforementioned questions, a three year extension of the appointment will be recommended to the Faculty Board.
8. In the event of a unanimously negative response to one or more of the questions, the main supervisor, in consultation with the personnel department, will draft a proposal to the Faculty Board outlining the case for refraining from renewing the appointment.

9. If the assessors are unable to reach a unanimous decision on any of the questions, the Dean of the Graduate School will, in consultation with the personnel department, advise the Faculty Board to renew or not to renew the appointment depending on the particulars of the case.
10. Each year, an annual review is considered on the basis of the questionnaire sent to the PhD candidate each year. Part of the review is the quality of the supervision.
The main purpose of the AR is to monitor the quality of the supervision and other aspects of support from within the institute and/or faculty. Therefore, the AR will be conducted on top of the yearly Performance and Development Interview (R&O-gesprek). The questionnaire should also be seen as an open invitation to contact the Dean of PhD candidates, to request a meeting in person. On the basis of the AR the Dean of PhD candidates may also invite the PhD candidate to meet him in person.
11. If a PhD candidate chooses to work part-time (80%), the expected period of appointment can be extended to a total of five years. The teaching and research time of a part-time PhD candidate is then calculated pro-rata.
12. Should a PhD candidate elect to work part-time, the teaching and research time of a part-time PhD candidate will be calculated pro-rata. The appointment can be extended in case of duration of illness if the illness lasted for a consecutive period of at least 8 weeks (CAO art. 2.3 5b) and on request of the PhD candidate the appointment will be extended with the amount of maternity leave taken (CAO art. 2.3 5a) or with the amount of parental leave taken (CAO art. 2.3 5c).
13. If the dissertation is completed earlier, the PhD candidate may devote the remaining research time to (the development of) another research project.

C. Supervision

1. The **main supervisor** will monitor progress and quality of the PhD research, and also of the working conditions. He or she is expected to speak with the PhD candidate at least once a month about the progress of the PhD research. The **additional supervisor** is also responsible for progress and quality of the PhD research, and supports the tasks of the main supervisor. He or she is expected to speak with the PhD candidate at least once a month about the progress of the PhD research.
2. The Dean of PhD-candidates will meet with the PhD candidate, if possible within two months after the first day of work, and thereafter whenever necessary. He or she will discuss the planning and de-lineation of the research. He or she will also act as confidant.
3. In the first quarter of the first year of appointment, the main supervisor, the Dean of PhD-candidates and the PhD candidate will agree a [training and supervision plan](#). A Word version of this file can be found on J:\departments\law\fdr\promovendi.
Whenever necessary this can be jointly adjusted. This training and supervision plan may provide that the Head of department, the sub-programme co-ordinator and/or one or more

additional experts in the field of research will act as an advisory committee for the research project.

D. Financial arrangements

For PhD candidates employed on the basis of internal funding, the following financial arrangements apply:

- At the moment of appointment, the PhD candidate is awarded a personal travel and workshop budget of the amount of € 5000 (from the material budget of the scientific institute where (s)he is appointed). This personal budget is allocated to meet the costs for travel, accommodation and participation costs for workshops, conferences, study events, study tours and memberships of scientific associations. From this personal travel and workshop budget a maximum of € 1000 can be used to purchase scientific literature. All declarations concerning the travel and workshop budget can be claimed using Self Service.
- An allowance of up to € 1150 is provided from the Graduate School for the costs of printing the PhD dissertation. The declaration in Self Service should be accompanied by the original invoices, and should be signed by the PhD candidate and by the Dean of PhD candidates.
- If the dissertation will be published within the Meijers series, the Meijers Research Institute and Graduate School pays the layout up to 100.000 words (an amount of € 1250,00). If the dissertation exceeds this amount of words, the additional costs for the layout will have to be paid by the academic institute of the doctoral candidate.
- An allowance of € 500 is provided,- from the University Library in compensation for the Licence Agreement for inclusion of a dissertation in the Institutional Repository of Leiden University (this inclusion is required by article 18 of the PhD Regulations; see the website of the University Library).