

# Rules and Policies for PhD Candidates

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These Rules and Policies apply to those holding an appointment as a PhD candidate<sup>1</sup> at Leiden Law School. They are intended to supplement and elaborate on 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 position of PhD candidate

1. The main purpose of employment as a PhD candidate is the preparation of a **PhD dissertation**. The dissertation can consist either of several collated (published or submitted) scholarly articles, a number of chapters forming a single unified monograph or, alternatively, a combination of both (see Art. 13 of the [PhD Regulations](#)).
2. The **topic** of the PhD dissertation must have a clear link to at least one of the research programmes of Leiden Law School. This is determined prior to the appointment.
3. In addition to his/her research activities, the PhD candidate will participate in the **PhD Training Programme**. To this end, within 3 months of the commencement of the PhD candidate's appointment the supervisors, the Dean of PhD Studies and the PhD candidate will together agree on a Training and Supervision Plan. The PhD candidate is required to ensure this plan is kept up to date throughout the duration of the appointment.
4. PhD candidates are also required to perform a limited amount of **teaching** (see A7. below), principally, within the department to which he or she is appointed.
5. The **final achievement standards** for the training as independent researcher are those contained in the VSNU report [Hora Est](#) of October 2004.
6. The main aspects of the position of PhD candidate are regulated by the [collective labour agreement](#) (CAO) applicable to Dutch universities as well as Leiden University's [job classification system](#).
7. The PhD candidate's workload consists of three elements: 1) training 2) teaching and management, 3) the PhD research. Preferably, 77,5% of total activities will be allocated to the PhD research, 12,5% to receiving training, and 10% to teaching and other management or organization tasks that benefit the departments. In exceptional circumstances, it is possible to deviate from this standard division of time with the approval of the PhD candidate, the

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

principal supervisor and the Dean of PhD Studies, provided this does not involve a reduction in the time available for the PhD research.

8. By the third month of the final year, the PhD candidate is expected to have written all articles and/or chapters of the dissertation in order to have the rest of that year available for reviewing the text and the preparation of the PhD defence.
9. The percentage of 10% teaching tasks in the fourth year will be reduced if the candidate was required to devote more than an average of 10% of his or her time to teaching activities during the first three years. Any administrative and managerial tasks carried out by the 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 outcome of the evaluation meeting is positive.
2. An evaluation meeting with the PhD candidate is conducted in the ninth month of the appointment.
3. The Dean of PhD Studies will ensure that the evaluation committee (hereafter: ‘the Committee’), consists of a minimum of three assessors. The Committee consists of the supervisors of the dissertation, and an assessor from outside the research programme. The Committee will be chaired by the Dean of PhD Studies.  
The Dean of PhD Studies may invite the coordinator of the applicable research programme of Leiden Law School, and/or the Head of the PhD candidate’s department, and/or parties from outside Leiden Law School to participate in the evaluation.
4. At least **two weeks before the evaluation meeting the PhD candidate** will submit to the Committee:
  - The personal Training and Supervision Plan (see A3. above), with a list of all courses that 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 indicating how much has been written of each article/chapter and when it will be completed.
  - A copy of the [\*data management plan\*](#)
  - Those parts of the dissertation that have already been written (whether or not in the form of one or more articles).
  - A summary of the teaching tasks completed, plus any evaluations of these tasks which may be available.

The PhD candidate may be requested by the Committee to furnish further materials or information.

5. The Committee will review the following questions:
- a) *Has the Dean of Leiden Law School provided a written notification to confirm that the PhD candidate has met the admission requirements of Articles 3 and 4 of the [PhD Regulations](#)?*
  - b) *Is there a research plan including a clear problem definition and clear research questions, plus a realistic timeline to research and write the planned articles and/or chapters?*
  - c) *Is there a [data management plan](#)?*
  - d) *Has the PhD candidate written at least one article or an initial chapter on (an aspect of) the topic of the dissertation?*
  - e) *Is the draft likely to remain within the limit of 100,000 words?*
  - f) *Is there an agreed upon Training and Supervision Plan?*
  - g) *Have the teaching tasks been satisfactorily fulfilled?*
  - h) *Does the research plan, together with the texts mentioned under (c), (d) and (e), reasonably warrant the expectation that the candidate will complete the PhD research successfully and within the applicable timeframe?*

During the evaluation meeting, consideration will also be given to whether the Training and Supervision Plan (see A3. above) requires modification and whether the PhD candidate is being asked to carry out too many teaching tasks.

6. After the evaluation meeting, the assessors will prepare their evaluation on the basis of the answers to the above questions. The Committee will inform the PhD candidate of the outcome as soon as possible. The Dean of PhD Studies will ensure that a brief report is compiled which contains the answers to the questions. Once all the members of the Committee have had the opportunity to give their comments and agree with the contents of the report, copies will be circulated to the PhD candidate, the supervisors and the personnel department.
7. If the response to all the aforementioned questions is unanimously positive, 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 supervisors, in consultation with the personnel department, will draft a proposal to the Faculty Board outlining the case not to continue the appointment.
9. If the Committee is unable to reach a unanimous decision on any of the questions, the Dean of the PhD Studies will, in consultation with the personnel department, advise the Faculty Board to continue or terminate the appointment depending on the particulars of the case.
10. Each year, an Annual Review is held by means of a questionnaire sent to the PhD candidate. The main purpose of the AR is to monitor the quality of the supervision and other aspects of the support provided by the institute and/or faculty. Therefore, the AR is conducted on top of the annual Performance and Development Interview (*R&O-gesprek*). The questionnaire should also be seen as an open invitation to contact the Dean of PhD Studies, to request a meeting 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. The appointment can be extended if the PhD candidate becomes ill, if the illness lasted for a consecutive period of at least 8 weeks (CAO Art. 2.3 5b), or by the amount of parental leave taken (CAO Art. 2.3 5c). In the case of pregnancy and maternity leave, the appointment will be extended at the request of the PhD candidate by the amount of maternity leave taken (CAO Art. 2.3.6a).
13. A PhD candidate may submit a request to extend the appointment for the duration of parental leave taken. This request may be granted depending on the available financial resources and also partly depending on the progress of the dissertation. The opinion of the Dean of PhD Studies is included when considering the interests at stake.
14. A PhD candidate may submit a request to extend the appointment period for the duration of maternity leave taken. This request must be granted unless compelling interests oppose this. The opinion of the Dean of PhD Studies is included when considering the interests at stake.
15. If the dissertation is completed before the PhD candidate's contract has expired, the PhD candidate may devote the remaining research time to (the development of) another research project.

## C. Supervision

1. The **principal supervisor** will monitor the progress and quality of the PhD research, and also the working conditions. He or she is expected to speak with the PhD candidate at least once a month to discuss the progress of the PhD research. The **co-supervisor** is also responsible for the progress and quality of the PhD research, and supports the tasks of the principal supervisor. He or she is expected to speak with the PhD candidate at least once a month to discuss the progress of the PhD research.
2. The Dean of PhD Studies 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 outline of the research. He or she may also act as confidant.
3. In the first quarter of the first year of appointment the principal supervisor, the Dean of PhD Studies and the PhD candidate will agree on a [Training and Supervision Plan](#). This Training and Supervision Plan may require that the Head of department, the research programme co-ordinator and/or one or more additional experts in the field of the research will act as an advisory committee for the research project. The Training and Supervision Plan will be continuously updated. Each year, at the Performance and Development interview ('ROG') its content will be discussed.

## **D. Financial arrangements**

### **Travel and training costs**

Costs up to a maximum of €5,000 can be reimbursed by the institute where he or she is appointed. The exact amount may vary depending on the needs and nature of the research. Costs may apply to accommodation expenses, courses, conferences, study days and study trips, membership of scientific organisations, and a maximum of €1,000 for the purchase of scientific literature. Before costs can be claimed via SelfService, permission first needs to be obtained from the Scientific Director (or Head of Department) and the supervisors.

For more information on financial arrangements see the [website](#).