Regulations for External PhD Candidates of the Institute for Management Research (IMR)
Adopted by the Faculty Board on 31 March 2014; effective as of 1 September 2014, adapted 23 November 2015.

Summary of main rules

These regulations present a step-by-step overview of rights and responsibilities based on the status of a PhD candidate (as summarized in the table in the appendix).

1 Basis

The Institute for Management Research (IMR), the overarching research institute of the Nijmegen School of Management of the Radboud University (RU), makes a distinction between internal and external PhD candidates. Nonetheless, the same fundamental requirements apply to all PhD theses defended at the RU. The procedures for assessing the quality of PhD theses and receiving the doctorate are summarized in the RU Doctorate Regulations (download via http://www.ru.nl/phd/phd-related-affairs/doctorate/).

2 Internal and external

The distinction between internal and external candidates is based on a single, clear, criterion: whether a candidate is employed by the RU or not. Internal PhD candidates are employed by the RU, and their relationship with the RU is governed by the provisions of the collective labour agreement and the regulations imposed by the faculty and the IMR. All internal PhD candidates are automatically a member of the IMR Doctoral School. Main arrangements and regulations for internal PhD candidates are outlined in the IMR Guide for Internal PhD Candidates.

3 Two categories of external PhD candidates

External PhD candidates can be divided into formal and informal candidates. Formal external PhD candidates receive a statement of registration from the faculty. Informal candidates do not receive such a statement. The statement of registration gives formal external PhD candidates a number of basic rights and duties related to certain services offered by the IMR. Informal candidates make bilateral agreements with their supervisors and do not come into contact with the faculty/IMR/RU until their supervisors have approved their manuscripts, after which the procedure outlined in the RU Doctorate Regulations is followed.

4 IMR Doctoral School membership for formal external PhD candidates

Formal external PhD candidates can be registered as members of the IMR Doctoral School on a voluntary basis. Membership of the IMR Doctoral School entails an extra set of rights and responsibilities mostly related to the extra services for PhD candidates.

5 The IMR Pre PhD programme

The IMR offers a Pre PhD programme. This concerns a voluntary participation in a one-year programme by selected potential external PhD candidates prior to formal recognition as an external PhD candidate and against payment of a fee. A separate set of IMR regulations apply to this programme, including the rights and responsibilities on which agreements made with participants in this programme are based. Participants in this programme are not regarded as formal external PhD candidates until they have successfully completed the Pre PhD programme.

6 Deviation from the regulations

Situations that deviate from the regulations are presented to the vice dean of research / director of the IMR, who will assess whether these cases should be discussed and decided upon by the Faculty Board.
1. **Why should we have regulations for external PhD candidates?**

Most professors have, at one time or another, been approached by former students, contacts from the work field or researchers from abroad with the request to supervise a doctoral research project. In the past, the supervision of external doctoral research projects was organized in a relatively simple way: the candidate conducted his or her own research and submitted texts to the supervisor by agreed deadlines. Through talks with the supervisor, the candidate wrote a PhD thesis, which, after approval by the Thesis Supervisory Committee, eventually led to the doctoral defense. Often, this was a lengthy process that could take up to a decade or longer. There are also many examples of attempts slowly dying a quiet death.

The faculty’s increased focus on research quality and productivity has also led to more interest in the supervision of external doctoral research projects. At the same time, the number and, in particular, the diversity of requests for supervision of external doctoral researchers are increasing. The faculty can certainly benefit from growth in the number of doctoral research projects and is therefore pleased with the increase in the number of external PhD candidates. However, these developments have also put pressure on the relatively simple construction that was used until recently:

- As the supervision of candidates and associated activities take up valuable time and capacity, and time pressure on scientific staff in general increases, the investments needed for this type of supervision should be progressively scrutinized.
- Over the past years, the faculty has expanded the simple model for supervising external doctoral research projects to include other models. These new models have brought about changes in the relationship between PhD candidates and their supervisors and often require a more formalized arrangement between the PhD candidate and the faculty. This is the case, for example, if the PhD candidate needs access to specific facilities to carry out the research (e.g. library, e-mail address, research software, laboratories and a liability insurance for when the PhD candidate is on campus). The decision about whether or not to grant access to these types of facilities increasingly requires different considerations (e.g. expenses and liability).
- The growing number of foreign PhD candidates with special funding arrangements, e.g., from foreign funding organizations, demands clarity regarding the rules for performing PhD research at the faculty.
- Finally, there is an intensifying discussion about quality and integrity, which also relates to data management and transparency regarding responsibilities. This too requires a more clearly defined relationship between the PhD candidate and the institute where they conduct their doctoral research.

This situation results in the question which support, supervision and facilities (‘services’) can be requested from and provided by the university/faculty and under which conditions the IMR will grant support, supervision and facilities. The framework of agreements that is formulated below aims 1) to offer more clarity, 2) to enhance the commitment of external PhD candidates, 3) to better integrate them in the activities of the IMR and, eventually, 4) to increase the return on efforts made by the institute.

The following topics are addressed below:

- Classification of PhD candidates;
- Pre PhD programme for prospective external PhD candidates;
- Rights and responsibilities of formal external PhD candidates;
- IMR Doctoral School Membership.

2. **Classification of PhD candidates**

The RU Doctorate Regulations apply to all PhD candidates without exception and regardless of how they prepare their PhD thesis. These regulations apply as soon as they submit their manuscripts for assessment and apply for admission to the public defense. The doctorate regulations were recently revised (as of 1 January 2014).
2.1 Internal PhD candidates

The faculty’s research is governed by the regulations of the Institute for Management Research (IMR), headed by the vice dean of research. Within the IMR research policy, internal PhD positions are provided, financed by direct government funding, government funding from funding allocation agencies and funding from third-party contracts. These PhD positions are registered as faculty projects, and agreements about the financial aspects (including the partition of the future doctoral premium) are made between the dean and the supervisor or research group concerned. Other universities sometimes have internal PhD candidates who are employed at that university on the basis of an individual grant, but, as a rule, at the RU only internal PhD candidates are offered an employment contract (as stipulated in the collective labour agreement).

Candidates are recruited (generally through open recruitment) for these PhD positions and selected by a selection committee established by the faculty (rules for the composition and procedures of the committee are set out in the faculty’s personnel policy). After the formal appointment of an internal PhD candidate, which is confirmed in a formal employment contract, agreements are made with the candidate as soon as he or she starts the research project. These agreements are recorded in a training and guidance plan that is approved by the supervisor, department chair and director of the IMR. The agreement includes the time the candidate will spend on teaching and doing research, the supervision, the training plan, the international experience the candidate will gain and the deliverables and deadlines for evaluating research progress. This training and guidance plan is used to guide the annual appraisal interview between the PhD candidate, the supervisor and the chair holder who is responsible for the team in which the candidate is accommodated. Any relevant changes to the agreements are recorded in the annual update of the training and guidance plan. Since 2013, internal PhD candidates conduct their research and follow the agreements recorded in their training and guidance plans in a setting referred to as the ‘IMR Doctoral School’. Internal PhD candidates are automatically registered as members of the IMR Doctoral School. An increasing number of regulations have been put in place concerning the rights and responsibilities of internal PhD candidates. These are described in the IMR Guide for Internal PhD Candidates.

The IMR Doctoral School Coordinator is responsible for supporting PhD candidates by providing them with advice and relevant information (e.g. about available financial schemes, grant schemes, international summer schools for PhDs, opportunities to participate in PhD courses and career planning). The IMR Doctoral School Coordinator is also responsible for initiating and organizing joint activities for PhD candidates.

The faculty generally covers the material costs incurred by an internal PhD candidate for his or her research, provided that candidate and supervisor have made concrete agreements about these costs and the candidate’s expense claims meet the university’s requirements. The expenses are covered by the following budgets (in order of cost headings): the annual standard budget for each PhD candidate (about € 1700), the research group’s support budget (in Dutch: Ondersteuningsbudget)3, third-party funding reserves (in Dutch: DGR) or, in special cases, the IMR budget for exceptional costs incurred by doctoral research. A substantiated request must be submitted to the vice dean of research / director of the IMR to apply for the latter, whereas the supervisor and the candidate mutually agree upon the use of the former budgets.

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2 In the future, this document will form the basis for the doctoral monitoring system that is currently being developed to supplement METIS. In principle, this system will monitor all PhD candidates at the RU from 2016/2017.

3 The support budgets are fed by the decentralized doctoral premiums. This payment by the faculty to the chair after the graduation is a reimbursement for the supervisor’s time and specific costs made for the research.
Faculty involved in supervising PhD candidates generally provides this supervision as part of their research time. This time may be funded by the regular funds for departments/research groups or by the support budget or third party funding reserves of the research group involved.

2.2 Formal external PhD candidates

Formal external PhD candidates do not have a formal employment contract with the faculty, but they do have a statement of registration. This implies that:
- The candidate is registered as such with the faculty and therefore receives a ‘U number’ and a staff pass, which provide access to specific facilities (e.g., university network and library) and that insure the candidate for accidents that occur while being present in university buildings;
- The faculty does not pay or reimburse the PhD candidate for the hours that he or she dedicates to the doctoral research.

The time invested by the external PhD candidate in doctoral research, is funded by either:
- The candidate’s own financial resources;
- A grant awarded to the candidate by an organization different from the university (e.g., a foreign government or foundation, or EU grants);
- An employer other than the faculty/RU.

The material expenses incurred by a formal external PhD candidate while carrying out research are funded:
- In the same way as described above for time spent on research by external candidates;
- Or by the supervising chair within the faculty, provided that the PhD candidate and supervisor have made concrete agreements about these costs, that these agreements have been approved by the department chair and that the expense claims meet the university’s requirements.

In principle, the expenses are borne by the chair’s research funds (i.e. the support budget or third-party funding reserves). In special cases, funds are made available in an initiative such as an international incentive program me, grants from foundations, et cetera. In these cases, a fee may be charged as a contribution to the costs related to the use of specific services, such as, e.g., desk space, office expenses, computer facilities, courses, and the like.

The supervision provided to external PhD candidates is organized in the same way as for internal PhD candidates, that is, within the research capacity of the faculty staff. The IMR’s research capacity can be funded by regular research funds, the research group’s support budget, third-party funding reserves or external project resources.

Formal external PhD candidates can also be registered as members of the IMR Doctoral School. The rights and responsibilities involved are described in Section 5 of this memorandum.

2.3 Informal external PhD candidates

There are still researchers who work solely on the basis of a bilateral agreement with a particular supervisor from the IMR. These researchers have no formalized relationship with the faculty and are in no other way formally involved in activities of, for example, the IMR Doctoral School. In order to distinguish between them and the formally registered external PhD candidates as defined above, these researchers are referred to as ‘informal external PhD candidates’.

As indicated above, the only mandatory procedure for the supervisor and the external PhD candidates concerned is the procedure for the manuscript assessment and admission to the public defense, as specified in the RU Doctorate Regulations. Informal external PhD candidates do not receive a

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4 This is sometimes also referred to as a zero-hour contract in informal terms, which is incorrect, because that would suggest an employment contract. Sometimes the terms gastvrijheidsverklaring (statement of welcome) or aanwezigheidsverklaring (certificate of attendance) are used. However, the correct term is ‘statement of registration’.

5 This may include expenses related to conference attendance, training costs, and the purchase of books or data collection.
statement of registration. They do not have an employment contract and have no access to faculty facilities and services, since monitoring in that case is impossible.

2.4 Miscellaneous

In addition to the structures mentioned above, the faculty also has forms of joint and double doctorates. See articles 21 and 22 of the RU Doctorate Regulations for more information about these forms of doctoral research. Candidates must be registered as formal external PhD candidates at the IMR.

3. Pre PhD programme for prospective external PhD candidates

The Pre PhD programme is offered to potential PhD candidates. This concerns a one-year training programme for researchers who wish to conduct external doctoral research (generally, but not always, under the supervision of one of the faculty’s professors).

This training programme provides a practice-based environment in which deficiencies in skills can be addressed or (methodological) knowledge can be reactivated. It offers methodological and theoretical training relevant to the research field IMR and skills training to improve skills needed for the doctoral research (e.g. research skills and academic writing).

Candidates for the Pre PhD programme are recruited from the Netherlands and abroad and selected based on strict selection criteria. The participating candidates are granted access to certain university facilities based on a statement of registration for the duration of the programme. They are not registered as formal external PhD candidates until they have completed the training programme and received approval from the Scientific Advisory Committee and the proposed supervisor for their research proposal.

The Pre PhD programme does not guarantee to the candidates that they will receive recognition/admission as a formal external PhD candidate or be awarded a doctoral degree. The programme is merely a preparatory training programme for conducting doctoral research. The selected candidates are charged a fee for this programme. The financial resources made available by these fees are earmarked by the faculty to cover the costs of programme management, lecturers and any material expenses.

External PhD candidates do not necessarily have to participate in this preparatory training programme for external doctoral research. If a supervisor has confidence in the research skills of a candidate who has approached him or her (see section 4), given the available information on degrees, courses followed, research experience et cetera, and the supervisor is willing to work with that candidate, this researcher can become an external PhD candidate in the sense described above. Agreements can be made with these candidates about correcting minor deficiencies in other ways (e.g. by means of self-study).
4. Rights and responsibilities of formal external PhD candidates

A candidate first needs to be assessed by the future supervisor and the proposal must be presented to the vice dean of research / director of the IMR before the faculty can formally recognize an applicant as a formal external PhD candidate (i.e., by issuing a statement of registration). The following general assessment criteria apply:

   a. **Demonstrable academic research skills.** An external PhD candidate must possess basic academic skills and an academic attitude. It is important to ascertain whether a candidate can apply academic research methods. A candidate who has no university degree or whose degree was obtained some time ago can only be admitted based on the ‘four-eyes principle’; in these cases, the vice dean of research / director of the IMR is consulted on the decision regarding which colleague(s) should be involved in the assessment. Colleagues at the associate/full professor level are generally approached for this assessment.

   b. **Writing experience.** Prospective external PhD candidates are required to have demonstrable writing experience or writing skills in the language in which the dissertation is to be delivered. These experience and skills may be demonstrated by past work or by independently producing a piece of writing during the intake (e.g., a first detailed outline of the proposed research). A clear deadline will be agreed upon.

   c. **Feasibility of doctoral research within a reasonable time frame.** Doctoral research places considerable demands on a PhD candidate and his or her immediate family. Doing doctoral research alongside a job also requires support from the candidate’s employer and family and friends. The proposed supervisor is asked to provide extra attention for such situations. In cases such as this, the employer’s commitment may need to be explicitly assessed. The external PhD candidate must have enough time to complete the doctoral research.

The supervisor submits a request to register the candidate as a formal external PhD candidate with the vice dean of research / director of the IMR (i.e. to issue a statement of registration). The request must be substantiated, meaning that a certain amount of attention should be paid to the above criteria in accordance with the standard procedures, and must be submitted together with a number of documents:

- An update form (in Dutch: “mutatieformulier”) to be submitted by the department;
- A certified copy of the candidate’s diploma(s);
- A copy of proof of identity valid at the time of the application;
- Current address.

In addition to the above, the following requirements apply for registering international external PhD candidates.

- An overview of the courses taken and grades and credits obtained for those courses;
- If needed, a copy of the certificate for a proficiency test of the language in which the doctoral research will be conducted;
- Where required, a written confirmation of the recognition of diplomas.

After a candidate has been registered as a formal external PhD candidate at the faculty, he or she will receive the following from the Human Resources Department:

- A standard package with information about the faculty, the faculty’s and university’s facilities and the doctorate regulations;
- A statement of registration for a limited period of 24 months, with a possible extension if the candidate receives a positive assessment.

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7 The PhD thesis and defense are usually conducted in either Dutch or English; the RU Doctorate Regulations do not contain any specific requirements concerning this matter. Dutch or English is generally the working language at the IMR (written communication, meetings) and for the doctoral procedure. For this reason, external PhD candidates from countries where languages other than Dutch and English are spoken should have a sufficient level of English proficiency.

8 The Student Affairs Office may need to evaluate diplomas. This is always the case for diplomas from outside the European Union.

9 The Human Resources Department checks for all external PhD candidates from non-EU/EER countries whether a visa or work permit application needs to be made.
Based on the statement of registration, the formal external PhD candidate will:
- Receive a U-number and a staff pass that grants access to facilities such as the university network, the library and (in consultation and if available) a flexible work station/desk;
- Be added to the mailing lists of (a) the relevant research group and (b) the faculty. This means that the external PhD candidate receives the same information as internal PhD candidates with regard to research meetings, new publications and so forth;
- Be free to participate in the same research meetings that internal PhD candidates attend;
- Be allowed to present himself or herself as an IMR PhD candidate at conferences and in publications (in accordance with the standard affiliation statement);
- Be required to supply information via a standard form for the annually updated (digital and hard copy) ‘facebook’ of PhD candidates affiliated with the faculty. A digital file will also be created for all external PhD candidates with a statement of registration for storing relevant documents in Hora Est, the registration system for PhD candidates. The IMR Doctoral School is responsible for making sure this happens and ensuring the files are kept up to date. These files are accessible to (a) the PhD candidate, (b) the supervisor, (c) relevant administrative staff and (d) the vice dean of research / director of the IMR and the dean.

A formal external PhD candidate registered in this way has the following responsibilities:
- **Work schedule.** After registration, a work schedule is drafted by the supervisor and the PhD candidate (and, possibly, an additional daily supervisor). The mutual rights and responsibilities are acknowledged and recorded in this work schedule. This plan is to be drawn up and signed by the supervisor, PhD candidate and the director of the IMR within two months after the statement of registration has been issued.
  If the prospective PhD candidate has certain (minor) skill or knowledge deficiencies (e.g. English proficiency, writing skills, mathematics and statistic skills or methodological skills), he or she will be informed about this explicitly and will be asked to work on improving their skills or knowledge independently during the first year. This is recorded in the work schedule. Agreements are made about any costs for extra training to address these deficiencies.
- **Integrity.** External PhD candidates take a mandatory basic Research and Integrity course (working title) at the start of the research track.\(^{10}\) The costs for this course are covered by the IMR.
- **Research proposal and assessment.** The formal external PhD candidate works on developing his or her research proposal based on the faculty’s standard format and does so within the time frame specified in the work schedule.
  - The PhD candidate should have completed a defendable research proposal approved by the supervisor within 16 months after registration.
  - The PhD candidate will defend the research proposal and, in a more general sense, the progress of the research to the Scientific Advisory Committee within 18 months of registration. The exact deadline will be decided on by the PhD candidate and supervisor at the start of the work schedule.
  - This deadline may only be deviated from in consultation with the director of the IMR if the PhD candidate’s personal circumstances necessitate an extension. Candidates who cannot produce a defendable proposal within the prescribed time frame may be given an extension of no more than six months.
  - Texts and defenses are preferably written and held in Dutch or English. After consulting with and receiving written permission from the Scientific Advisory Committee, the candidate can write a proposal in a language other than Dutch or English, provided this is permitted by the RU Doctorate Regulations. In such cases, the supervisor will suggest reviewers to the Scientific Advisory Committee.
  - In all cases, the standard format used by the Scientific Advisory Committee will be followed during the assessment procedure.

\(^{10}\) This basic course still needs to be developed, but the university and faculty believe it is essential knowledge for all PhD candidates. They are considering making it a one-day course and are also considering organizing digital material (including a web lecture) for formal external PhD candidates from abroad who cannot easily be physically present to take the course in Nijmegen.

Based on the advice from the Scientific Advisory Committee, a recommendation about continuation will be formulated for the supervisor. The Scientific Advisory Committee’s assessment is not binding.

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However, it does give the supervisor the opportunity to discontinue the doctoral trajectory at that time. If a supervisor decides to continue working with the external PhD candidate despite a negative recommendation from the Scientific Advisory Committee, the candidate’s status will change to informal external PhD candidate (the statement of registration will expire after two years and will not be prolonged).

5. IMR Doctoral School Membership

A formally registered external PhD candidate can always join the IMR Doctoral School by submitting a membership request supported by his or her supervisor to the vice dean of research / director of the IMR, together with the documentation for formal registration as an external PhD candidate. Membership in the IMR Doctoral School gives the external PhD candidate extra rights and responsibilities.

These involve the following rights:
- In addition to the supervisor, a co-supervisor will be appointed (senior assistant professor or associate professor) for daily co-supervision;
- Participation in general courses for PhD candidates at RU (e.g. Academic Writing, Designing a PhD Research Project, Research and Integrity (working title), and Presentation Skills); the costs for these courses will be covered by the IMR;
- Support from the Doctoral School officer in the form described above;
- Use of basic facilities at the Visa Skills Lab and the Decision Lab, in coordination with the lab manager (any costs charged for use of software, test subjects, etc. should generally be covered by funds specifically reserved for the PhD project, cf above);

The following responsibilities apply:
- Internal and external PhD candidates associated with the IMR Doctoral School are expected to participate in faculty activities organized for PhD candidates as much as possible;
- They are obliged to attend one of the regularly organized IMR Induction Events for new PhD candidates, as well as the annual IMR PhD Days and the IMR Research Day. PhD candidates are all given the opportunity to present and discuss their research on the PhD days. They receive feedback from the IMR’s senior research staff during these events;
- Once the candidate’s statement of registration has been prolonged (after 24 months), the IMR Doctoral School Officer must be informed annually about the progress of the doctoral research in a report of no more than two pages signed by the external PhD candidate and the supervisor.
Appendix: overview of main rights / responsibilities of PhD candidates

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<tr>
<th>Rights</th>
<th>Responsibilities</th>
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<tbody>
<tr>
<td><strong>Category A: Informal external PhD candidates</strong> (without a statement of registration)</td>
<td>- Requirements and procedures as outlined in the RU Doctorate Regulations</td>
</tr>
<tr>
<td><strong>Category B: Formal external PhD candidates</strong> (with a statement of registration)</td>
<td>- Requirements and procedures as outlined in the RU Doctorate Regulations</td>
</tr>
<tr>
<td>- U number and staff pass with access to university network and library</td>
<td>- Assessment procedure by the proposed supervisor, resulting in a substantiated request to the vice dean/director of IMR, together with relevant information (Chapter 4)</td>
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<tr>
<td>- Liability insurance while in RU buildings</td>
<td>- Drafting a work schedule</td>
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<td>- Compensation for concrete expenses, insofar as agreed upon with the supervisor and approved by the department chair</td>
<td>- Participation in basic Research and Integrity course</td>
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<td>- Inclusion in the mailing lists of the IMR and relevant research group(s) and in the facebook</td>
<td>- Assessment of research plan and progress by the faculty’s Scientific Advisory Committee within the deadlines agreed upon</td>
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<td>- Participation in meetings</td>
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<tr>
<td>- Inclusion in Hora Est, the digital registration system for PhD candidates</td>
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<tr>
<td><strong>Category C: IMR Doctoral School membership</strong> (formal external PhD candidates with a statement of registration and admission decision)</td>
<td>Same as Cat. B, with the addition of:</td>
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<tr>
<td>Same as Cat. B, with the addition of:</td>
<td>- Participation in faculty activities for PhD candidates</td>
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<tr>
<td>- Daily co-supervision by a co-supervisor at the senior assistant professor/associate professor level</td>
<td>- Contribution to PhD days at the IMR</td>
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<td>- Participation in general RU courses for PhD candidates</td>
<td>- Annual progress report to the IMR Doctoral School Coordinator</td>
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<td>- Support, when needed, from the Doctoral School Coordinator</td>
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<tr>
<td>- Use of the Visa Skills Lab and Decision Lab, in consultation with their manager</td>
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<tr>
<td><strong>Category D: Internal PhD candidates (see also the IMR Guide for Internal PhD Candidates)</strong></td>
<td>Same as Cat. C, with the addition of:</td>
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<tr>
<td>Same as Cat. C, with the addition of:</td>
<td>- Default (maximum) time spent on teaching</td>
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<tr>
<td>- Formal RU employment contract</td>
<td>- Annual progress report is an annex to the report on the annual appraisal interview and a copy is sent separately to the Doctoral School office</td>
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<tr>
<td>- Work schedule in the form of a training and guidance plan to be updated annually</td>
<td>- Access to other Nijmegen School of Management and RU expense schemes based on specific proposals</td>
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