

**Final PhD portfolio for award of the degree**[[1]](#endnote-1)

#### This version is from March 28, 2023

*The PhD candidate submits this document to Hora Finita, as one of the training activities, and by email to all supervisors, after approval by the supervisors.[[2]](#endnote-2) The portfolio is submitted shortly before the supervisors have approved the thesis in Hora Finita. The portfolio will be assessed by the GSSS. The chair and the members of the Doctorate Committee receives the portfolio for inspection upon request.*

##### Date and signing

|  |  |
| --- | --- |
| Date of submission: |  |

|  |  |  |
| --- | --- | --- |
|  | Name | Email |
| PhD candidate: |  |  |
| Supervisor(s) who assessed this portfolio: |  |  |

*For practical reasons, we do not ask for a wet or digital signature.*

Please read the endnotes for more explanations on various topics.

#### Portfolio section 1. Compliance with rules for the implementation of the in­vestiga­tion

Reporting by the PhD candidate; assessment by the supervisor.

Note. At the defense of your thesis, the PhD candidate has state adherence to the conditions laid down in the provisions in Article 5 of the Doctorate Regulations: “PhD candidates, supervisors and co-supervisors must at all times observe the standards of academic integrity as formulated in the Netherlands Code of Conduct for Research Integrity.” <https://doi.org/10.17026/dans-2cj-nvwu>

##### Data accountability

*Accountability means that you, as the author, take responsibility for what you do (have done) with research data.*[[3]](#endnote-3),[[4]](#endnote-4) *This enhances research transparency, allows others to replicate your study, and facilitates research data to be reused by other researchers, with different research questions. You must take appropriate action and keep records to demonstrate compliance. The ‘FAIR Guiding Principles for scientific data management and stewardship’[[5]](#endnote-5) were designed to improve the Findability, Accessibility, Interopera­bility, and Reuse of digital assets. The principles address three types of entities: data (or a digital ob­ject), metadata (information about that digital object), and infrastructure. You are asked to follow the guidelines of the Dutch faculties of social sciences, specifically the ‘Guidelines concerning publication packages’,* [*www.utwente.nl/en/bms/datalab/datasharing/guideline-faculties-of-behavioural-sciences-def.pdf*](http://www.utwente.nl/en/bms/datalab/datasharing/guideline-faculties-of-behavioural-sciences-def.pdf)*, p. 8 ff. These guidelines include qualitative and quantitative research.*

|  |  |
| --- | --- |
| Is the thesis based on empirical data? | Yes / No  If ‘no’ proceed to the next section  If ‘yes’ report data accountability for each empirical section or chapter; please copy the table below |

|  |  |
| --- | --- |
| FAIR principles | Answer (or explain exception[[6]](#endnote-6)) |
| How are entities findable? Report a globally unique and persistent identifier such as a DOI or weblink to the metadata and data.[[7]](#endnote-7) | *(You can refer to the publication package with an Internet link)* |
| How are entities accessible? For example, report whether data and metadata are open and free to access, or whether authentica­tion and authorization are required. | *(You can refer to the publication package with an Internet link)* |
| Describe whether the entities are interoper­able? Report whether it is necessary to inte­grate the data with other data. This includes applications or workflows for analysis, stor­age and processing.[[8]](#endnote-8) | *(You can refer to the publication package with an Internet link)* |
| Describe whether the entities are reusable? Report whether (meta)data are described in such a way that they can be replicated and/or combined in different environments. This includes data use license, detailed prov­enance of research units and instruments. | *(You can refer to the publication package with an Internet link)* |

##### Ethics test of research[[9]](#endnote-9)

*Sometimes the PhD project is one undivided study. In that case, only information behind 'undivided project' is given. In another PhD project it may be necessary to carry out several tests, for example when a series of ex­periments is planned, or multiple datasets are used. In this case, the information is given by chapter (for example, if the same dataset is used in different chapters, the chapter numbering in the front column can be adjusted). When data are analyzed that are available in an archive, it can often be assumed that the ethi­cal review has already taken place. Please add a row if necessary; remove rows that are not used. Information previously given in the go / no go procedure is repeated here.*

|  |  |  |
| --- | --- | --- |
| Section (chapter number) | Ethics test has been performed | Explain why the ethics test was not conducted |
| Undivided project | Yes / No |  |
| Chapter 1 | Yes / No |  |
| Chapter 2 | Yes / No |  |
| Chapter 3 | Yes / No |  |
| Chapter 4 | Yes / No |  |
| Chapter 5 | Yes / No |  |

*The results of ethics tests are stored in your personal folder, in a durable and accessible manner.*

##### Authorship – compliance with rules for the research[[10]](#endnote-10)

|  |  |
| --- | --- |
| Is any part of the thesis co-authored? | Yes / No  If ‘no’ proceed to the next section |
| Is a page included in the thesis with a list of references, and for each article, an overview of the authors and an explanation on the contribution by all authors? | Yes / No |
| The candidate is first author of all chapters[[11]](#endnote-11) | Yes / No |

*Report authors’ contribution for each section**; please add a row if necessary*

|  |  |
| --- | --- |
| Section (chapter number) | Explanation and justification of authorship[[12]](#endnote-12) |
| 1 |  |
| 2 |  |
| 3 |  |
| 4 |  |
| 5 |  |

*Alternatively, you may copy the text in the thesis with authors’ contribution, and insert it here:*

##### Open access to the thesis (and to articles/chapters included in the thesis) [[13]](#endnote-13)

*If you are about to finish your PhD, you are required to make a digital version of your PhD thesis available through the VU Research Portal (Pure). It is the ambition of Vrije Universiteit Amsterdam to make all scientific publications accessible to everyone. However, it is sometimes necessary to apply restrictions. This may be by publishing an anonymized version of the thesis, or by publishing parts or all of the thesis under a provisional or permanent embargo. A request or starting the process does not yet mean that restrictions will be allowed. Please read the endnote on this topic.*

|  |  |
| --- | --- |
| The standard option is ‘no embargo’ and the thesis will be published as judged by the Doctorate Committee.  Would you like to request a restriction on publication? | Yes / No |
| If ‘yes’: What is the desired constraint? |  |
| If ‘yes’: What is the reason for the restriction? |  |
| If ‘yes’: Is the process for doing so already underway? | Yes / No |

*You may give an explanation:*

##### Duration of the research

*Upon admission, a start and intended end date of the project is agreed upon. These dates are registered in Hora Finita.*

|  |  |
| --- | --- |
| Date of start |  |
| Date of intended completion as agreed upon admission |  |
| Date the thesis is submitted to supervisors for the final evaluation |  |

*You may give an explanation:[[14]](#endnote-14)*

#### Portfolio section 2. Quality of the PhD candidate as researcher

Reporting by the PhD candidate; assessment by the supervisor.

##### Plagiarism check of thesis[[15]](#endnote-15)

*The purpose of using a tool such as plagiarism scanner of a thesis is to make the PhD candidate more aware of scientific integrity, prevent plagiarism, and if it occurs, recognize it as early as possi­ble. The check becomes mandatory from January 1, 2023 for the thesis as a whole.[[16]](#endnote-16)*

|  |  |
| --- | --- |
| Has a plagiarism scan been per­formed? | Yes / No |
| If not, please provide an explana­tion. |  |
| If yes, write a report (a fill-in document is available on the GSSS website) and respond to the following items |  |
| 1. Assessment by supervisor: The test provided con­vincing evidence that plagiarism is unlikely | Yes / No |
| 1. The results of the scan are stored in your personal folder, in a durable and accessible manner. | Yes / No |
| 1. The report of the procedure is sent to [ithenticate.fsw@vu.nl](mailto:ithenticate.fsw@vu.nl). | Yes / No |
| 1. This report was submitted with this document | Yes / No |

##### Presenting and discussing the research[[17]](#endnote-17)

The candidate can communicate with peers, the larger scholarly community and with society in general about the areas of expertise.

|  |  |
| --- | --- |
| Assessment by supervisor: | Yes / No |

##### Scientific attitude

In terms of making judgements the PhD candidate has acquired a scientific attitude by show­ing evidence of:

* 1. the capability of critical analysis, evaluation and synthesis of new and complex ideas;
  2. an open mind and willingness to deal with critical reviews;
  3. willingness to (re)consider arguments and conclusions in light of empirical results or coun­ter-argumentation;
  4. willingness to structurally monitor research developments and innovations in the so­cial sciences;
  5. willingness to participate in relevant debates in society.

|  |  |
| --- | --- |
| Assessment by supervisor: | Yes / No |

#### Portfolio section 3. Training followed by the PhD candidate

##### Training

Reporting by the PhD candidate; assessment by the GSSS. The PhD candidate has followed the training agreed at the start of the project or ap­proved af­ter modification (usually 30 European Credits).[[18]](#endnote-18)

*Participation in training is registered in Hora Finita.*

|  |  |
| --- | --- |
| Have the requirements been met? | Yes / No |

##### Finally

Do you have any suggestions to make this procedure or this form more user-friendly? Please help the Graduate School and your future colleagues with suggestions:

##### Notes

1. Approved by the Faculty Board at March 22, 2021. The approved document has been split in two documents. This document is specifically about the portfolio. The other document is on ‘Assessment of the quality and scope of the PhD thesis’. A third relevant document is on ‘Rules for the PhD Thesis’. Documents are available at <https://vu.nl/en/about-vu/more-about/the-graduate-school-of-social-sciences> [↑](#endnote-ref-1)
2. This pertains the first and the second supervisor and includes co-supervisors (Arti­cle 22.1). [↑](#endnote-ref-2)
3. This UK document provides a nice example: [www.ukdataservice.ac.uk/media/622144/dissertations\_and\_their\_data\_promoting\_research\_integrity.pdf](http://www.ukdataservice.ac.uk/media/622144/dissertations_and_their_data_promoting_research_integrity.pdf) [↑](#endnote-ref-3)
4. Currently at FSS it is not mandatory to follow the principles of ‘open science’. Several researchers, including PhD candidates, apply these principles in their research. Open science is “the practising of science in a sustain­a­ble manner which gives others the opportunity to work with, contribute to and make use of the scientific pro­cess. This allows users ‘from outside of the science world’ to influence the research world with questions and ideas and help gather research data.” [www.openscience.nl/en/open-science](http://www.openscience.nl/en/open-science) [↑](#endnote-ref-4)
5. <https://www.go-fair.org/fair-principles/>   
   Wilkinson, M. D., Dumontier, M., Aalbersberg, I. J., Appleton, G., Axton, M., Baak, A., ... & Mons, B. (2016). The FAIR Guiding Principles for scientific data management and stewardship. *Scientific data*, *3*(1), 1-9. <https://doi.org/10.1038/sdata.2016.18> [↑](#endnote-ref-5)
6. If data cannot be made available due to confidentiality or other concerns, then this should be stated, to­gether with a description of how and under which conditions others could potentially access the data. [↑](#endnote-ref-6)
7. Entities shall be deposited in repositories that meet accepted criteria as trustworthy digital repositories. Per­sonal websites, links to subscription-based online storage facilities (Dropbox, Google Drive, SURFdrive, et cetera), and other repositories that do not ensure persistence are not acceptable. In general, acceptable code and data repositories provide persistent identifiers, such as digital object identifiers (DOIs) or accession num­bers, and maintain robust long-term archives. For example, the Open Science Framework includes the ability to generate a permanent archive with DOI. Authors are encouraged to cite the used repositories as part of the references or otherwise in the manuscript. [↑](#endnote-ref-7)
8. Examples are experiment protocols and code that has been used to select and edit data (also known as syn­tax). [↑](#endnote-ref-8)
9. The FSS procedure is outlined at https://vu.nl/en/employee/social-sciences-getting-started/research-ethics-review-fss. [↑](#endnote-ref-9)
10. Article 16.5. [↑](#endnote-ref-10)
11. According to the FSS regulations, approved by the Faculty at March 22, 2021 and the College of Deans, and following the VU Doctorate Regulations article 16.2 and 38.2. Please visit <https://vu.nl/en/about-vu/more-about/the-graduate-school-of-social-sciences> > Requirements for the dissertation > Rules for the PhD thesis. The rules also apply in the case of a ‘double doctorate graduation’ (Article 33) as for a ‘joint doctoral graduation’ (Article 34); in both cases a separate agreement shall be drawn up, approved by the Rector Magnificus, which, if differ­ent, shall take precedence over the requirements set by FSS. When a project involves collaboration between researchers from different faculties (or institutes), the framework of the faculty where the approval and gradu­ation takes place is guiding. This may therefore mean that two theses in one project defended at different fac­ulties will look (somewhat) different because the faculties involved have different rules and customs. However, when it comes to assessing the quality of the research, it is usually possible to come to a common understand­ing, within the rules and assessment framework of the faculty where the approval and graduation takes place. Not every part of the rubric will always fit exactly to the concrete situation of a dissertation research − inter­pretation is then needed (and that is where recognizing and dealing with diversity and autonomy come in). If there are nevertheless too many or too great differences between faculties, it is desirable to consult the Dean. [↑](#endnote-ref-11)
12. According to the VU Doctorate Regulations article 16.5. If there is more than one author, give a full and suffi­ciently detailed account of each author's contributions. For examples see the GSSS document 'Authorship in a PhD project'. [↑](#endnote-ref-12)
13. See for more information and the procedure <https://vu.nl/en/about-vu/more-about/upload-your-dissertation>; you can also visit <https://vu.nl/en/employee/open-access>. Experts are available to advise you. Direct your questions on this topic to [openaccess.ub@vu.nl](mailto:openaccess.ub@vu.nl) or [informatie.ub@vu.nl](mailto:informatie.ub@vu.nl) and/orcontact the FSS Data Steward and Privacy Officer at the FSS Research Office in a timely manner (<https://vu.nl/en/about-vu/more-about/research-support-office-fss>). [↑](#endnote-ref-13)
14. If a delay has occurred, it may be caused by and proportional to long-term illness, pregnancy and childbirth, caused by conversion of a full-time appointment into a 0.8 or 0.9 fte appointment as an employee PhD candi­date, or caused by (other) personal circum­stances. We don't ask you to share private information. [↑](#endnote-ref-14)
15. Article 22a and Article 38.2, following a decision by the Dean of FSS. [↑](#endnote-ref-15)
16. We require a check using VU licensed software from iThenticate. [↑](#endnote-ref-16)
17. Article 21. [↑](#endnote-ref-17)
18. The Graduate School’s policy on the scope of training is set out elsewhere. In short, the training plan is de­signed such that PhD candidates develop their knowledge, expertise and skills in the following three ar­eas. Area 1: So­cial scientific content and theory. These courses aim to support PhD candi­dates to assess and build theories and obtain relevant social scientific knowledge at a doc­toral educa­tional level both within and beyond the boundaries of their own discipline. Area 2: Social scien­tific method­ology, methods and techniques.These courses focus on research design and meth­odology, and provide hands-on experience with advanced methods of anal­y­sis. Area 3: Aca­demic and trans­ferrable skills. The main focus in these courses is on the de­vel­opment of aca­demic and transferable skills, aimed at improving the necessary skills for cur­rent and future practice as an academically educated researcher. The exact mix of courses and the distribution over these three areas de­pend on the (educational and professional) background and previous training of the PhD candidate and is com­posed individually and tai­lor made for each PhD trajec­tory. The course on Research Integrity and Responsible Scholar­ship is mandatory because of its crucial im­portance for conducting any type of research. Dispensation or a waiver of credits is possible on an in­dividual basis, depending on pre­vious educational and professional back­ground and training. The training is specified and ad­justed in Hora Finita. [↑](#endnote-ref-18)