

MEDIATION AND CONFLICT RESOLUTION BY THE DOCTORAL SCHOOL

ADOPTED AT THE COUNCIL OF THE DOCTORAL COLLEGE OF 14 OCTOBER 2015. REVISED AFTER THE ADOPTION OF THE CHARTER OF THE DOCTORAL AND THE RULES OF PROCEDURE OF THE DOCTORAL COLLEGE ON 5 OCTOBER 2016.

Preamble

In the event of difficulty or conflict, the parties involved strive to reach an amicable solution. The conflict resolution mechanism is organized at the level of the doctoral school, which offers its services to help solve conflicts emerging during the preparation of doctoral work. This channel offered by the doctoral school is not the only one available: it comes in addition to other conflict resolution channels that may exist within the research unit, employing institution, via unions, etc. The following principles guide the solution-seeking process:

- disagreements and conflicts are by no means exceptional, and calling upon a doctoral school to settle a conflict should not be experienced as stigmatizing or seen as a final and last resort, but instead, as an **amicable approach** that should be embarked upon **as early as possible**, before the difficulties become too difficult to settle;
- it is important to strike the right balance **between the reflection** period needed by all involved so that the conflict settlement process can proceed under the best conditions, with perspective on the issues and without precipitation, to prepare for the discussions and derive the greatest possible benefit from them, and **the conflict-settlement time**, which needs to be short enough so that each party can then turn the page.
- the best solutions are those which the parties in conflict find themselves, if possible, through **mediation**. The mediator's responsibility is to hear the conflicting parties, convene them jointly so that they can compare their viewpoints, and help them find the settlement that best suits them. Mediators are vested with no other authority than that resulting from the trust which the parties place in them. The use of a mediator is highly recommended, and the doctoral school provides assistance to conflicting parties in finding a mediator.
- **Should the mediation process fail to result in a settlement**, or if the conflicting parties do not wish to find a solution jointly with the assistance of a mediator, the doctoral school may decide to convene a **conciliation commission**, in accordance with the provisions of the procedural document defined and applied across the University of Paris-Saclay. The aim of the Conciliation Commission will be to develop solutions and make recommendations.
- The individual thesis **monitoring committee may**, should the situation so require, alert the doctoral school's director to the need for mediation or a conciliation commission.

The Conciliation Commission is formed in such a way as to be **equally attentive to the viewpoints of each party involved**. Where the Conciliation Commission has been convened further to a thesis monitoring committee recommendation, the doctoral school may call upon the latter to contribute to forming the said Commission.

The solutions proposed or recommendations made must be preceded by **discussion between the Commission and each of the parties separately**, and by exchange **between them**, run by the Commission.

The doctoral schools, at the level of the College of Doctoral Studies, working in a setting that guarantees anonymity, **share** their analysis of the situations calling for conflict resolution action on their part, in order to jointly derive lessons from them and make **constructive use** of the latter to **prevent** conflict and raise **awareness** in all players involved in the doctoral studies program.



Conciliation includes the following steps :

1. The application for conciliation

The application for conciliation is made either by one of the direct actors of the doctoral project (the doctoral student, the thesis supervisor, the director of the research unit) or by the director of the doctoral school or one of his deputy directors, if he has identified the need during the annual follow-up of the doctoral student. The application is addressed to the director of the doctoral school, specifies the reasons for this request and is dated and signed by the applicant (see also remarks 1 and 2 at the end of the document)

2. Information

The director of the doctoral school shall promptly and simultaneously inform the doctoral student, the thesis supervisor and the director of the research unit of the commitment to conciliation. It will specify the method that will be followed and what is expected of each. He informs the **council of the doctoral school** of the application for conciliation and solicits it to compose the commission.

3. The conciliation commission

The conciliation commission is composed in all cases of at least the following persons

- The **director of the doctoral school** or, as the case may be, a deputy director in charge of the pole of the doctoral school responsible for the doctoral student,
- A member of the board of the doctoral school, representing **doctoral students**,
- A member of the board of the doctoral school, representing **institutions** and research units,

The following persons are heard by the commission :

The stakeholders of the doctoral project

- The PhD student,
- His/her thesis supervisor,
- the director of the research unit or, where appropriate, a deputy director, preferably in charge of the team (in the sense of a national evaluation) of the research unit to which the doctoral student is integrated,

The Conciliation Commission may also hear from, as the case may be, the following persons :

- the president of the follow-up committee of the PhD Student,
- the co-supervisor, if any,
- in the case of an international joint doctoral thesis, the head of the research unit of the foreign partner institution,
- **a representative of the doctoral student's employer,**

During interviews, the persons heard by the committee **may be accompanied**, if they so wish, by another person, provided that the director of the doctoral school is informed before the interview and provided that the person has a **professional legitimacy** (For example: a union representative: yes, a parent or a spouse: no)



The process of conciliation

The Conciliation Commission shall hear the various stakeholders separately in interviews and then organize a final meeting with the presence of all the stakeholders. The director of the doctoral school shall set the date of the interviews and the final meeting and shall convene the members of the commission and the persons to be heard for the interviews and the meeting.

The recommended period from the date of receipt of the request for conciliation to the doctoral school and the final meeting of the committee is **one month**, in order to allow each one time to prepare the interviews and leave time for reflection while ensuring a certain reactivity towards the difficulties encountered by the parties. Interviews are held **at least 2 weeks** after the beginning of the conciliation.

At the beginning of each interview, the director of the doctoral school provides a factual summary of the doctoral student's records (subject submitted at the first registration, if any: progress of the doctoral project, training followed, Follow-up committee), he briefly explained the difficulties encountered at the doctoral school level,

Commission interview with the PhD student

The doctoral candidate will provide a written summary (1-2 pages), including a summary of his/her research work and the references of all the scientific productions to which he/she contributed, the subject of his/her doctoral project, the approach he has followed and wishes to follow to carry out his doctoral project. He/she also briefly describes the difficulties encountered. Copies of his scientific works are appended to the synthesis provided, as well as the reports of the thesis committees when they have been published.

The doctoral student presents the subject of the doctoral project, the scientific approach and the research work carried out (about 15 minutes),

This presentation is followed exchanges with the committee to clarify the difficulties and seek solutions.

Commission interview with the thesis supervisor

The thesis supervisor must provide, in writing, no later than the day of the interview, the subject of the doctoral project, specifying its stakes, which may constitute its originality, the scientific approach that it advocates, and the resources mobilized For the scientific direction of the doctoral project, he briefly described the difficulties encountered,

This presentation is followed exchanges with the committee to clarify the difficulties and seek solutions.

Commission interview with the director of the research group

The director of the research unit shall provide a short description of the integration conditions of the doctoral student in his research unit at the latest on the day of the meeting and briefly describe the difficulties encountered,,

This presentation is followed exchanges with the committee to clarify the difficulties and seek solutions.

Before the final meeting

The members of the Conciliation Commission exchange among themselves and draw an initial assessment of the talks.

They inform orally and separately the people with whom they spoke of the solutions that are emerging so that the final meeting does not take anyone by surprise.

Final meeting

This meeting includes all the members of the commission and all the persons heard by the commission during the interviews.



The director of the doctoral school chairs the meeting and facilitates the exchanges.

Each member briefly summarizes the situation, specifying the difficulties encountered and what he/she could be able to do in his field of competence.

The members of the Conciliation Commission shall seek, with the persons heard during the interviews, the means of arriving at a solution to the difficulties encountered.

After the final meeting :

The members of the committee meet to draw the conclusions of the conciliation and prepare a report on this conciliation. This report comprises 3 parts:

- the factual and brief summary of the work carried out by the Commission (dates and durations of the interviews and meetings, persons present),
- the factual summary of the exchanges that took place at the meeting,
- the formulation of recommendations or the proposal of a solution ,

At the very least, the factual part of the report must be read back and corrected by the persons present at the final meeting before the validation of the report by the committee.

The director of the doctoral school informs the council of the doctoral school of the outcome of the conciliation. Depending on the actual situation (continuation, suspension, arrest), the report can be provided to the heads of the institutions involved in the thesis and to the employer of the doctoral student in order to clarify and prepare the decisions to be taken.

In the event that the committee's recommendation is to stop the preparation of the thesis, the committee meets the doctoral student again to consider his future with him.

Remarks

1. If he/she has identified the need for mediation or conciliation (during an interview for re-registration, after a follow-up committee ...), the director of the doctoral school or one of his/her deputies, can advise the mediation or initiate the request for conciliation commission. In this case, he/she organizes the conciliation commission, just as if the applicant had been the doctoral student, the thesis supervisor or the director of the unit.
2. Because he can also be a thesis supervisor, the director of the doctoral school can be directly concerned by a conciliation. In this case, of course, he/she cannot organize the conciliation commission himself/herself. It will then be up to the director of the doctoral college to compose the commission and to organize the conciliation.
3. The conciliation process, as described in this document, may not be followed to the letter if there are practical reasons for doing so (period of vacations, absence of one of the stakeholders ...), provided that the "good principles" set out in the first page are respected and in particular that a representative of the PhD students is member of the commission..



DEMANDE DE CONCILIATION

Motivations de la demande de conciliation (10 lignes maximum) :

Le demandeur

- doctorant directeur de thèse
 directeur de l'unité de recherche directeur de l'école doctorale
 comité individuel de suivi du doctorant

Fait à : le :

Nom, prénom, date et signature

L'école doctorale

Demande de conciliation reçue le :

Fait à : le :

Nom, prénom, date et signature, cachet de l'école doctorale



Rapport de la commission de conciliation et recommandations

Rapport établi en réponse à la demande de conciliation déposée le : _____ par :

Civilité : _____ Nom : _____ Prénom : _____

Dans le cadre du projet doctoral de :

Civilité : _____ Nom : _____ Prénom : _____ du doctorant

Civilité : _____ Nom : _____ Prénom : _____ du directeur de thèse

Unité de recherche :

Etablissement de préparation de la thèse :

Partie 1/3 : résumé du travail mené par la commission, date et durée des entretiens et des réunions

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Le président de la commission et les autres membres de la commission

Nom, prénom, qualité, date et signature

Les personnes entendues

Pour chacun d'eux, nom, prénom, qualité, date et signature



Recommandations du directeur de l'école doctorale à destination du président de l'Université Paris-Saclay et du chef de l'établissement de préparation de la thèse

Recommandations formulées suite à la conciliation demandée le : _____ par :

Civilité : _____ Nom : _____ Prénom : _____

Dans le cadre du projet doctoral de :

Civilité : _____ Nom : _____ Prénom : _____ du doctorant

Civilité : _____ Nom : _____ Prénom : _____ du directeur de thèse

Unité de recherche :

Etablissement de préparation de la thèse :

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Le directeur de l'école doctorale

Nom, prénom, date et signature

Le président de l'Université Paris-Saclay et le chef de l'établissement de préparation de la thèse,

vu le rapport de la commission de conciliation,

vu les recommandations du directeur de l'école doctorale,

- demandent un supplément d'information
- décident :

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Fait à :

Le :

Gilles Bloch, président de l'Université Paris Saclay

Fait à :

Le :

*Nom, prénom, titre du chef de l'établissement de
préparation de la thèse*

