

A stylized, light-colored line drawing of a leafy branch, possibly a laurel wreath, positioned on the left side of the slide.

# Internal regulations of the Doctorate

## Contents

<b>Article 1   Purpose .....</b>	<b>2</b>
<b>Article 2   The Doctoral Policy Council.....</b>	<b>4</b>
<b>Article 3   The Assembly of Directors of Doctoral Schools .....</b>	<b>6</b>
<b>Article 4   The Assembly of Doctoral Student Representatives.....</b>	<b>7</b>
<b>Article 5   The functioning of the councils and assemblies .....</b>	<b>8</b>
<b>Article 6   The Committee of Representatives of the Socio-Economic Sector.....</b>	<b>11</b>
<b>Article 7   The Maison du Doctorat .....</b>	<b>11</b>
<b>Article 8   The Office of the Doctoral College .....</b>	<b>12</b>
<b>Article 9   The Doctoral Schools.....</b>	<b>13</b>
<b>Article 10   The rules of Université Paris-Saclay concerning doctoral training .....</b>	<b>17</b>
Article 10-1: Doctoral supervision.....	17
Article 10-2: Admission to doctoral studies .....	22
Article 10-3: Joint international supervision of doctoral theses.....	31
Article 10-4: Registration for a doctorate at Université Paris-Saclay .....	32
Article 10-5: Extension of the duration of the thesis .....	34
Article 10-6: Caesura.....	35
Article 10-7: Collective doctoral training and work placements .....	37
Article 10-8: Individual supervision of doctoral students .....	38
Article 10-9: Defence of the thesis.....	40
Article 10-10: Research ethics and scientific integrity.....	43
Article 10-11: Diploma supplement and skills portfolio.....	44
Article 10-12: Professional development of doctoral graduates .....	44
<b>Article 11   Mediation, conflict resolution, appeal, sanctions .....</b>	<b>45</b>
<b>Article 12   Personal connections and conflicts of interest.....</b>	<b>46</b>
<b>Main references.....</b>	<b>49</b>



## ARTICLE 1 | PURPOSE

### Article 1.1

According to Article 5 of Decree No. 2019-1131 of 5 November 2019 creating Université Paris-Saclay and approving its statutes, Université Paris-Saclay carries out accreditation requests within its scope and issues the national doctoral diploma. The component institutions transfer their competences relating to the national doctoral diploma to Université Paris-Saclay.

Within Université Paris-Saclay, the Graduate Schools coordinate a set of master's degrees and training programmes, Doctoral Schools and research teams organised around a theme, one or more disciplines, or a mission.

The common name for these graduate schools is defined in Decree No. 2019-1131 of 5 November 2019, creating Université Paris-Saclay and approving its statutes and is Graduate Schools. This common name will be used in the remainder of these internal regulations.

The framework internal regulations of the Graduate Schools specify their missions, roles and responsibilities and their links with the Doctoral Schools and the Doctoral College.

According to Article 1 of the Decree of 25 May 2016 laying down the national framework for training and the procedures leading to the issue of the national doctoral diploma, doctoral training is organised within the doctoral schools. As part of the implementation of the scientific policy of Université Paris-Saclay, the doctoral college of Université Paris-Saclay is responsible for organising the doctoral policy, contributing to its visibility and to the sharing of the activities of the doctoral schools that constitute it. The operating procedures of this college are determined by the institutions to which the doctoral schools, members of this college, belong.

The purpose of these internal regulations is to:

- set the operating procedures and general organisation of doctoral training at Université Paris-Saclay;
- set out the rules on doctoral training that complement the provisions of the Decree of 25 May 2016 establishing the national framework for training and the procedures leading to the awarding of the national doctoral diploma and that apply in all doctoral schools, as well as the procedures for derogation of or exception to these rules;
- specify the framework for the adoption of internal regulations specific to each doctoral school.



## Article 1.2

These internal regulations are adopted on the proposal of the Assembly of Directors of Doctoral Schools, after the opinion of the Doctoral Policy Council and after the approval of the Commission of the Academic Council.

The internal regulations in force are available on Université Paris-Saclay website.

The internal regulations may be revised during the course of the contract, following the same adoption and dissemination procedure. These internal regulations become effective on 28 September 2022.

The internal regulations for doctoral studies of Université Paris-Saclay apply to all doctoral schools for which Université Paris-Saclay is accredited or co-accredited, if necessary in conjunction with the regulations of other institutions when the doctoral school is co-accredited.

They apply to each research unit or team hosting doctoral students preparing a doctorate at Université Paris-Saclay.

They apply to each doctoral student registered at Université Paris-Saclay and to their thesis supervisor and, if applicable, to the other members of the supervisory team, even if they belong to a research unit or team that does not belong to Université Paris-Saclay.

More generally, they apply to each stakeholder in doctoral training at Université Paris-Saclay.

The provisions of these internal regulations do not apply retroactively. In particular, the provisions on admission or first registration in a doctoral programme do not apply to doctoral students already admitted or registered in a doctoral programme at Université Paris-Saclay before the date of entry into force of the present regulations.

The modalities of derogation from the general rules on doctoral training set out in the present internal regulations or in the national regulations are specified in these internal regulations or in specific procedures and are decided by the Doctoral Policy Council on the proposal of the Assembly of Directors of Doctoral Schools.



## ARTICLE 2 | THE DOCTORAL POLICY COUNCIL

### Article 2-1

The doctoral college has a Doctoral Policy Council that brings together the directors of doctoral schools, the representatives of the components, component institutions, associate member universities and partner national research organisations, the representatives elected to the research commission of the academic council, the doctoral students, and the Vice-President for research of Université Paris-Saclay and the Deputy Vice-President in charge of the doctorate.

The director of the Maison du Doctorat, on which the doctoral college relies to carry out its missions, attends the meetings of this council by right.

### Article 2-2

Except in special cases, the Doctoral Policy Council is chaired by the Deputy Vice-President in charge of the doctorate. It may also be chaired by the Vice-President of research of Université Paris-Saclay or the President of Université Paris-Saclay.

### Article 2-3

The Doctoral Policy Council meets at least three times a year, when convened its President or at the written request of at least one quarter of all Council members to the Council President.

Members of this Council may participate in meetings by videoconference.

### Article 2-4

The Doctoral Policy Council sets the Université's major directions in terms of doctoral training and gives its opinion on proposals made to it by the Assembly of Directors of Doctoral Schools concerning the transfer of missions to the doctoral college, as well as on the internal regulations for doctoral studies of the Université proposed by this Assembly and submitted for approval to the research commission of the academic council.

The duties of the Doctoral Policy Council are as follows:

- to participate, in the field of doctoral studies, in the development of the Université's strategy for research, innovation, training, national and international academic and socio-economic partnerships and international development;



- to set the Université's main directions in terms of doctoral training; to set the directions in terms of doctoral supervision and support and the training of supervisors; to give an opinion on the doctoral charter and on the internal regulations for doctoral studies at Université Paris-Saclay;
- to define the doctoral training offer for the multi-year contract between the State and Université Paris-Saclay; to ensure the clarity of the doctoral training offer and its coherence with the strategy and structure of Université Paris-Saclay;
- within the framework of the quality approach to doctoral training, to draw up an annual report on doctoral training activities and discuss actions to be taken; to ensure the monitoring and internal and national evaluation of the various doctoral training programmes and the accreditation of Université Paris-Saclay with a view to awarding the doctorate; to ensure the monitoring and internal evaluation of the activity of the Maison du Doctorat;
- to make proposals relating to doctoral programmes, to ensure the coordination and monitoring of the doctoral programmes of Université Paris-Saclay;
- to ensure the proper coordination, in the field of doctoral studies, of the various entities of Université Paris-Saclay involved in the organisation of doctoral training, in particular the doctoral schools, the Maison du Doctorat and the Graduate School(s);
- to express the needs in terms of human resources and operating funds to be allocated to the Maison du Doctorat and to the doctoral schools; to make proposals for the distribution of the resources allocated by Université Paris-Saclay between the doctoral schools and the Maison du Doctorat;
- to ensure coordination with the components, component institutions, associated member universities and national research organisations, in particular with regard to the recruitment of doctoral students;
- to ensure, in the field of doctoral studies, the follow-up of partnerships and proper coordination with the national and international, academic or socio-economic partners of the doctoral programmes of Université Paris-Saclay;
- to create the commissions, committees or juries deemed useful for the functioning of the shared doctoral training activity;
- to give an opinion on the appointments of the directors of the doctoral schools, to propose to the President of the Université the appointments of the deputy directors of the doctoral schools;
- to give an opinion on the affiliation of research teams or units to the doctoral schools, following the opinion of the doctoral schools concerned.



## ARTICLE 3 | THE ASSEMBLY OF DIRECTORS OF DOCTORAL SCHOOLS

---



### Article 3-1

The Assembly of Directors of Doctoral Schools is a working body for activities and projects common to all doctoral schools and a professional network for sharing information, tools, methods and skills in doctoral training. It examines the proposals that are presented to the Doctoral Policy Council. It makes proposals concerning the transfer of missions to the doctoral college, and on the internal regulations for doctoral studies at the Université.

The director of the Maison du Doctorat, on which the doctoral college relies to carry out its missions, attends the meetings of this assembly by right.

### Article 3-2

Except in special cases, the Assembly of Directors of Doctoral Schools is chaired by the Vice-President in charge of the doctorate. The Assembly may also be chaired by one of their representatives, depending on the agenda.

### Article 3-3

The Assembly of Directors of Doctoral Schools meets approximately once a month, when convened by its President or upon written request supported by at least one quarter of all directors of doctoral schools sent to the vice-president in charge of doctoral studies.

Members of this Assembly may participate in meetings by videoconference.

### Article 3-4

The powers of the Assembly of Directors of Doctoral Schools are as follows:

- to prepare all the issues presented to the Doctoral Policy Council;
- to make proposals concerning the transfer of missions from the doctoral schools and sharing to the doctoral college and its Maison du Doctorat;
- to propose the internal regulations for doctoral studies at Université Paris-Saclay;
- to propose possible derogations to these internal regulations and to the national regulations when these allow it;



- to propose the creation of specialities while ensuring the clarity of the doctoral training offer;
- to propose to doctoral students training activities in areas that cut across the doctoral schools' domains; ensure that training in open science, research ethics and scientific integrity, and in sustainable development issues is offered and ensure the organisation of the monitoring of doctoral students' obligations in this area;

## ARTICLE 4 | THE ASSEMBLY OF DOCTORAL STUDENT REPRESENTATIVES

### Article 4-1

The Assembly of Doctoral Student Representatives brings together the representatives of doctoral students elected to the research commission of the academic council and elected to the councils of the doctoral schools of Université Paris-Saclay.

The director of the Maison du Doctorat, on which the doctoral college relies to carry out its missions, attends the meetings of this council by right.

### Article 4-2

The Assembly of Doctoral Student Representatives is a forum for consultation, information sharing and exchange on all issues of interest to its members, on activities and projects common to all doctoral schools, and on topics discussed in the Doctoral Policy Council.

### Article 4-3

Except in special cases, the Assembly of Doctoral Student Representatives is chaired by the Deputy Vice-President in charge of the doctorate. It may also be chaired by one of their representatives or the director of the Maison du Doctorat, depending on the subject on the agenda.

### Article 4-4

The Assembly of Doctoral Student Representatives meets approximately once a month, when convened by its President or upon written request supported by at least two representatives of the doctoral students of this assembly and sent to the Deputy vice-president in charge of doctoral studies.



Members of this Assembly may participate in meetings by videoconference.

### **Article 4-5**

The members of the Assembly of Doctoral Student Representatives who are elected to the research commission of the academic council of Université Paris-Saclay are authorised, upon request to the management of the Maison du Doctorat which will ensure distribution, to communicate messages related to doctoral training to all doctoral students enrolled in a doctoral programme at Université Paris-Saclay in compliance, for themselves and for the recipients of the messages, with the rights recognised by the General Data Protection Regulation (GDPR) of the European Parliament and of the Council of 27 April 2016 and by the Data Protection Act of 6 January 1978 and the provisions on this subject of the internal regulations of Université Paris-Saclay and in particular its Articles 2.1 and 2.2.

### **Article 4-6**

The members of the Assembly of Doctoral Student Representatives who are elected to the council of a doctoral school of Université Paris-Saclay are authorised, upon request to the direction of their doctoral school which will ensure distribution, to communicate messages related to doctoral training to all doctoral students in their doctoral school in compliance, for themselves and for the recipients of the messages, with the rights recognised by the General Data Protection Regulation (GDPR) of the European Parliament and of the Council of 27 April 2016 and by the Data Protection Act of 6 January 1978 and the provisions on this subject of the internal regulations of Université Paris-Saclay and in particular its Articles 2.1 and 2.2.



## ARTICLE 5 | THE FUNCTIONING OF THE COUNCILS AND ASSEMBLIES

---

### Article 5-1

For a council or an assembly to validly deliberate, the majority of its members in office must be present or represented. When a meeting cannot be held due to the lack of a quorum, a new meeting must be convened within fifteen days. The new meeting is then held without a quorum requirement.

### Article 5-2

When a member of the council or assembly is unable to attend a meeting, they may give a proxy to any other member to vote in their place. A director of a doctoral school may be represented, without proxy, by a deputy director from the same school. Each member may not hold more than two proxies. Any proxy shall be valid only for the meeting, or, if applicable, for the part of the meeting, in which it was given. It must be sent before or during the meeting to the President or their designate.

### Article 5-3

The meetings of the councils or assemblies are not public. Only members of the councils and assemblies and invited members participate in these meetings.

### Article 5-4

The President submits to a vote of the Council or Assembly, for the duration of their term of office, the list of persons to be invited on a permanent basis. In addition, the President of the Doctoral Policy Council or an Assembly may invite to a Council meeting any person they deem necessary in the interest of the discussion on the agenda.

### Article 5-5

There is no charge for serving as a member of the Doctoral Policy Council or an assembly. Invitations are considered to be a leave of absence.

### Article 5-6

The schedule of council and assembly meetings is established before the start of an academic year for the duration of that academic year.



The agenda for a meeting is set by the President of the council or assembly. The provisional agenda and draft resolutions are submitted no later than three working days before the meeting. The agenda must include time for "Other Business".

An item may be added to the agenda up to the day before the meeting. If, due to an emergency situation, a vote is requested from the council or assembly on this added item, the council or assembly must decide, by an absolute majority, whether it considers itself sufficiently informed to make the requested decision.

Any member of the Council or of an assembly may request the addition of an item to the agenda, under the same conditions. The request must be supported by at least two members of the council or assembly and be submitted prior to the meeting.

## **Article 5-7**

Decisions at a meeting must be made by a show of hands or by secret ballot in the event of a specific request by at least one member of the council or when the deliberation concerns an individual matter, such as the appointment of a person or a request for a gap period.

The council or assembly may also vote electronically at a meeting or outside a meeting.

In the event of a tied vote, the Chair of the council or assembly will have the casting vote.

## **Article 5-8**

A record of decisions is drawn up at the end of each Doctoral Policy Council meeting and approved at the end of the meeting or electronically before the next meeting or at the latest at the next meeting. It is accessible to all members of Université Paris-Saclay. This record may be supplemented by explanations of vote, at the request of the members present.

Minutes may be taken at the request of at least one third of the members present, made at the beginning of the meeting. The minutes are submitted for approval to the council members at the beginning of the next Doctoral Policy council meeting.

A member of the Doctoral Policy Council who wants to have their intervention recorded in full in the minutes must submit the text of this intervention to the Council President, preferably before the Council meeting and no later than the Council meeting in question.

The agendas, the statements of decision, the minutes, the meeting reports and, if necessary, the supporting documents of the Doctoral Policy Council meetings or assemblies are communicated on Université Paris-Saclay website, except in particular cases covered by the General Data Protection Regulation (RGPD).



## Article 5-9

The general modalities (electronic voting modalities, modalities of holding a meeting not in person, suspension of the session, etc.) are possible via the regulations in force.

## ARTICLE 6 | THE COMMITTEE OF REPRESENTATIVES OF THE SOCIO-ECONOMIC SECTOR

---

The Committee of Representatives of the Socio-Economic Sector meets once or twice a year, debates and contributes to questions relating to the professional future of doctoral students, cross-cutting doctoral training in relation to professional opportunities and the recognition of the doctorate at Université Paris-Saclay by the socio-economic sector.

It includes representatives of companies, competitive clusters and local authorities that use the expertise and skills of doctoral graduates, particularly those of the Saclay plateau and, more broadly, of the south/southwest of the Ile-de-France region.

Its members are appointed by the Doctoral Policy Council.

## ARTICLE 7 | THE MAISON DU DOCTORAT

---

### Article 7-1

The Maison du Doctorat is the administrative department of Université Paris-Saclay on which Université Paris-Saclay relies to carry out all the missions conferred upon it by its accreditation to award the national doctoral diploma and which are not implemented by the doctoral schools or by the Graduate School(s) and to ensure coordination in matters of doctoral training with the components, the component institutions, the associated member universities and the national research organisations and with the other departments of Université Paris-Saclay contributing to doctoral training.

Its action is part of the doctoral policy of Université Paris-Saclay.



## Article 7-2

The Maison du Doctorat is also responsible for implementing, within the framework of the deliberations of the Assembly of Directors of Doctoral Schools, the missions defined in Article 3 of the Decree of 25 May 2016 setting the national framework for training and the modalities leading to the awarding of the national doctoral diploma and transferred, in whole or in part, by the doctoral schools to the doctoral college, pursuant to Article 1 of the same decree.

Among the missions of the doctoral schools, the missions transferred by the doctoral schools to the doctoral college are the following:

- coordinate the implementation of national ministerial surveys on the professional future of doctoral students and ensure their analysis and the dissemination of results; develop and provide doctoral schools and Graduate School(s) with information materials for students and doctoral students on the nature, quality and rates of professional activity after obtaining a doctorate;
- introduce support mechanisms for the pursuit of professional careers after obtaining a doctorate in the public and private sectors and organising the follow-up of the professional careers of trained doctoral graduates;
- propose to doctoral students training activities in areas that cut across the doctoral schools' domains; ensure that training in open science, research ethics and scientific integrity, and in sustainable development issues is offered and ensure the organisation of the follow-up of doctoral students' obligations in this area;
- lead a continuous improvement process for the Université's doctoral training; implement the surveys provided for in Article 4 of the Order of 25 May 2016 among doctoral students and supervisors and ensure their analysis and the dissemination of the results;
- develop and propose a training programme for supervisors or specific support;
- ensure communication on the doctoral programmes of Université Paris-Saclay and more generally on the conditions of access to a doctorate, the required skills, and the funding that can be obtained;
- lead the actions to promote the doctorate.

## ARTICLE 8 | THE OFFICE OF THE DOCTORAL COLLEGE



The Office of the Doctoral College is made up of the Deputy Vice-President in charge of the doctorate, if necessary, the doctoral mission managers and the director of the Maison du Doctorat. It is in charge of preparing and following up files related to the main fields of action of the doctoral college. The Office's mandate ends with that of the Deputy Vice President for the doctoral programme.

The Office of the Doctoral College meets as often as necessary.

## ARTICLE 9 | THE DOCTORAL SCHOOLS

### Article 9-1

Doctoral schools and doctoral colleges are subject to national regulations concerning their missions, organisation and operation. The Decree of 22 February 2019 defines what is certified by the awarding of the national doctoral degree and the blocks of skills expected of doctoral graduates, which are common to all doctoral students.

The modalities for the operation of doctoral schools and doctoral colleges are regulated by the Decree of 25 May 2016 laying down the national framework for training and the procedures leading to the issue of the national doctoral diploma.

Institutions are also subject to the periodic national evaluation of their doctoral training activity according to a postgraduate evaluation framework, with a view to accreditation to award the national doctoral degree and European recognition of the doctoral degree and associated competencies.

The Decree of 27 July 2020 specifies the list of accredited doctoral schools within the framework of which Université Paris-Saclay delivers the doctorate and, for each of them, the list of co-accredited institutions.

### Article 9-2

Within Université Paris-Saclay, the doctoral schools are affiliated to Graduate School(s), internal structures of Université Paris-Saclay for training at the master's and doctoral levels, as well as for research on a disciplinary or thematic scope or a mission.



The doctoral schools are represented on the councils of the Graduate School(s) to which they belong.

### **Article 9-3**

The composition of the doctoral school council is governed by Article 9 of the Decree of 25 May 2016 laying down the national framework for training and the procedures leading to the issue of the national doctoral diploma. It consists of 12 to 26 members. Sixty percent of its members are representatives of the co-accredited institutions and the research units concerned. The Graduate School(s) to which the doctoral school is affiliated is represented on the doctoral school council.

### **Article 9-4**

The doctoral school council adopts the programme of actions of the doctoral school. Through its deliberations, it manages the affairs of the doctoral school.

When the doctoral school is co-accredited by Université Paris-Saclay and one or more other institutions, the collective actions and activities offered to doctoral students are, except in special cases, open to all doctoral students of the doctoral school.

If collective actions and activities, intended for the doctoral students of a doctoral school, were reserved for those enrolled in a doctoral programme at Université Paris-Saclay, these actions and activities would be implemented at the Graduate School level in coordination with the doctoral school.

### **Article 9-5**

Each doctoral school adopts its own internal regulations, in addition to the present internal regulations and the national regulations. These internal regulations are adopted by the Doctoral Policy Council of Université Paris-Saclay, on the proposal of the doctoral school council.

The doctoral school's internal regulations set out the operating procedures and the general organisation of the doctoral school, and, if necessary, its structure in centres.

It specifies the list of research units or teams that make up the doctoral school and that can host doctoral students enrolled in a doctoral programme at Université Paris-Saclay.

It specifies the links between the doctoral school and the Graduate School(s) to which the doctoral students of the doctoral school or each centre of the doctoral school may be affiliated.

The doctoral school's internal regulations may also set rules for doctoral training that apply within the doctoral school and complement or specify the general rules for doctoral training set out in these internal regulations or in national regulations.



The doctoral school council is solely competent to examine requests for derogation from the rules defined in the doctoral school's internal regulations, which only derogate from the rules specific to the doctoral school and which do not derogate from the general rules on doctoral training set out in the present internal regulations or in the national regulations.

## Article 9-6

A doctoral school or a doctoral school centre is affiliated to a Graduate School, called the support of the doctoral school, to which are affiliated the doctoral students of this doctoral school or doctoral school centre who are enrolled at Université Paris-Saclay. In the event of the co-accreditation of the doctoral school, doctoral students enrolled in institutions other than Université Paris-Saclay are not affiliated to a Graduate School of Université Paris-Saclay.

When registering or re-registering for a doctorate, the individual training agreement of a doctoral student registered at Université Paris-Saclay may also provide for the student to be affiliated to a Graduate School other than the one supporting the doctoral school or doctoral school centre, so that the student can benefit from the actions and activities of this other Graduate School, in accordance with their doctoral project.

The doctoral schools specify in their internal regulations the possibilities and modalities for the additional affiliation of their doctoral students to other Graduate School(s) than the Graduate School(s) supporting the doctoral school or doctoral school centre.

## Article 9-7

Doctoral students registered at Université Paris-Saclay are welcomed in the research units of the doctoral schools for which Université Paris-Saclay is accredited, unless an exemption is granted according to a procedure defined by the Assembly of Directors of Doctoral Schools.

## Article 9-8

The affiliation of research units to doctoral schools takes place within the framework of a coherent scientific project and is part of the doctoral policy of Université Paris-Saclay.

Affiliation to one of the doctoral schools is decided by the President of Université Paris-Saclay, on the basis of a proposal from the doctoral school council concerned, in accordance with the opinion of the institution(s) supervising the research unit, and after receiving the opinion of the Doctoral Policy Council.

If the doctoral school is co-accredited, the decision is made jointly with the co-accredited institutions, according to the terms of the agreement between them.



## Article 9-9

A research unit, in the sense of a national evaluation, is involved with a single doctoral school. It may also be affiliated to several doctoral schools within the framework of a coherent scientific project, if necessary under an agreement between Université Paris-Saclay and the other supervisors of the research unit.

All the research units of Université Paris-Saclay are affiliated to at least one doctoral school of this université.

A doctoral school may, if necessary, associate research units that do not belong to Université Paris-Saclay or to other co-accredited institutions. A unit can only be affiliated to a doctoral school within the framework of a coherent scientific project and must constitute a contribution to the doctoral training policy of Université Paris-Saclay or other co-accredited institutions.

The research unit must be an existing research unit, in the sense of a national evaluation, or be the subject of an evaluation, organised for this purpose by the competent authorities of Université Paris-Saclay and, if the doctoral school is co-accredited, by the competent authorities of the co-accredited institutions.

The affiliation of research units that can receive doctoral students registered at Université Paris-Saclay is decided by the President of Université Paris-Saclay, on the proposal of the doctoral school council concerned, after receiving the opinion of the Doctoral Policy Council, subject to the signature of an agreement defining the terms of the affiliation, established between the institution that oversees the research unit and Université Paris-Saclay.

If the doctoral school is co-accredited, the decision is made jointly with the co-accredited institutions, according to the terms of the agreement between them.

## Article 9-10

The list of research units that can host doctoral students enrolled in a doctoral programme at Université Paris-Saclay, their affiliation to one or more doctoral schools, the list of their supervisory bodies and their links with the Graduate School(s) is kept up to date by the Maison du Doctorat in conjunction with the Research and Promotion Department and is presented annually to the Doctoral Policy Council.

The list of people that can manage doctoral students enrolled in a doctoral programme at Université Paris-Saclay is kept up to date by the Maison du Doctorat in conjunction with the Research and Promotion Department and is presented annually to the Doctoral Policy Council.



The scope of the research units for the reception of doctoral students is consistent with that used for the last national evaluation or is defined by the research unit supervisors.

## ARTICLE 10 | THE RULES OF UNIVERSITÉ PARIS-SACLAY CONCERNING DOCTORAL TRAINING

### Article 10-1: Doctoral supervision

#### ARTICLE 10-1-1

A thesis supervisor has two responsibilities:

- **responsibility for the scientific management** of a research project - the doctoral project - carried out within a research unit, on the advice of the director of this research unit (Articles 10-1-9 to 10-1-12)

and

- **academic responsibility**, related to the training of a doctoral student in order to obtain the national doctoral diploma. This responsibility is entrusted to them by the President of Université Paris-Saclay, on the proposal of the doctoral school, by the decision to register or re-register for a doctorate (Articles 10-1-2 to 10-1-8).

#### ARTICLE 10-1-2

For each academic year, the **academic responsibility** is borne by a single thesis supervisor, who is the person who signs, as thesis supervisor, the various administrative acts relating to the successive stages from admission to the awarding of the degree.

#### ARTICLE 10-1-3

In the event of the international co-supervision of a thesis, the doctoral student is engaged in the preparation of a doctoral degree awarded jointly by Université Paris-Saclay and a foreign partner institution, within the framework of an agreement established between Université Paris-Saclay and this institution.

- For Université Paris-Saclay, the **academic responsibility** is borne by the thesis supervisor affiliated to Université Paris-Saclay. The thesis supervisor affiliated to the partner institution acts as co-supervisor of the thesis for Université Paris-Saclay.



- For the partner institution, the academic responsibility is borne by the thesis supervisor affiliated to this institution. The thesis supervisor affiliated to Université Paris-Saclay acts as co-supervisor of the thesis for the partner institution.

#### ARTICLE 10-1-4

To guarantee their availability, a thesis supervisor may simultaneously manage a maximum of **five doctoral students**, as part of their **academic responsibility**.

A number of fewer than five doctoral students may be decided, for a particular disciplinary field of a doctoral school or a particular doctoral school, on the proposal of the doctoral school council. The maximum number of doctoral students that a single thesis supervisor may have under their academic responsibility is then specified in the internal regulations of the doctoral school.

In the event of co-management, international co-supervision of theses or exceptional situations, the doctoral school council may grant individual exemptions from this rule, after a prior examination of each individual situation by the doctoral school council or by a committee set up by the council, in accordance with the procedures defined in the doctoral school's internal regulations. The list of exemptions is presented each year to the Doctoral Policy Council and to the research commission of the academic council.

#### ARTICLE 10-1-5

Working researchers and lecturers authorised to manage research or with an equivalence, assigned for their research activity to one of the research units affiliated to a doctoral school of Université Paris-Saclay **may direct, supervise or co-supervise doctoral students from this doctoral school**, in accordance with the commitments defined in the doctoral charter and according to the rules set by the internal regulations of the doctoral school concerned, by the present internal regulations and by the national regulations concerning the doctorate.

When the situation justifies it, a thesis supervisor may supervise a doctoral student outside the doctoral school to which they are affiliated, subject to an exemption granted jointly by the two doctoral schools concerned, that of the doctoral student and that of the thesis supervisor, in accordance with the terms and conditions defined by the Assembly of Directors of Doctoral Schools. If the internal rules of the two doctoral schools are not identical, the rules of the doctoral school in which the doctoral student is enrolled will apply.

#### ARTICLE 10-1-6



**Emeritus professors and researchers** may continue to contribute, free of charge, to the doctoral training of Université Paris-Saclay. They may participate in doctoral admission commissions and juries or in individual doctoral student monitoring committees.

They may also supervise doctoral students, provided that these students were enrolled in the doctoral programme prior to the retirement of their thesis supervisor.

They may participate in defence juries as examiners or as rapporteurs.

They may not chair a thesis defence jury.

For the composition of defence juries, the professors and researchers emeritus do not fall within the quota of 50% of university professors or equivalent.

Emeritus professors and researchers hosted in one of the research units that can host doctoral students registered at Université Paris-Saclay are not included in the 50% quota of external members of the defence juries.

#### ARTICLE 10-1-7

**Professors and researchers seconded from their original establishment** may continue to contribute, free of charge, to the doctoral training of Université Paris-Saclay.

They may participate in doctoral admission commissions and juries or in individual doctoral student monitoring committees.

They may also supervise doctoral students, provided that they were enrolled in the doctoral programme prior to the secondment of their thesis supervisor.

They may participate in defence juries as examiners or as rapporteurs, provided they are qualified to supervise research or equivalent, but they may not chair a thesis defence jury, unless they are seconded to a body whose members are considered university professors.

For the composition of defence juries, professors and researchers who are seconded outside their original body do not fall within the quota of 50% of university professors or equivalent unless they are seconded to a body whose members are equivalent to university professors.

Professors and researchers seconded from their original institution and hosted in one of the research units that can host doctoral students registered at Université Paris-Saclay are not included in the 50% quota of external members of the defence juries.

#### ARTICLE 10-1-8



The functions of thesis supervisor can also be carried out by **other people, holders of a doctorate**, chosen for their scientific competence by the President of Université Paris-Saclay, on the proposal of the director of the doctoral school and after receiving the opinion of the research commission of the academic council of Université Paris-Saclay. The Doctoral Policy Council and the research commission of the academic council establish a procedure for authorising the supervision of doctoral students without accreditation to supervise research and specify the frameworks for equivalence to the accreditation to supervise research.

#### ARTICLE 10-1-9

**Responsibility for the scientific supervision** of the doctoral project of the doctoral student may be shared. The proposal to share the scientific supervision of the doctoral project is submitted to the President of Université Paris-Saclay for a decision, on the proposal of the director of the doctoral school.

The **scientific supervision** of the doctoral project may, within the framework of an agreement, take place in the form of **co-supervision**, between the thesis supervisor who bears the academic responsibility for Université Paris-Saclay and at least one thesis co-supervisor who meets the conditions set out in Articles 10-1-4 to 10-1-9 and a person from the socio-economic or cultural world recognised for their competence in the field.

Co-supervisors, whether or not they hold accreditation to supervise research or an equivalent, may also participate in the scientific supervision of the doctoral project.

#### ARTICLE 10-1-10

When registering or re-registering for a doctorate, the **reasons** why the responsibility for the **scientific supervision** of the doctoral project must be **shared** are explained. These reasons may arise from the preparation of the thesis in the context of international co-tutorship or an interdisciplinary doctoral project or partnership.

When responsibility for scientific supervision is shared, the contributions, complementarities, roles and responsibilities of each party must be clearly defined, from the start of doctorate preparation, between the members of the team providing supervision and scientific supervision of the doctoral project, explained to the doctoral student and specified in the individual training agreement.

During the course of the doctoral project, it is the **responsibility** of the thesis supervisor with **academic responsibility** to **coordinate the team** that shares the responsibility for the **scientific supervision** of the doctoral project and supervises the doctoral student.

#### ARTICLE 10-1-11



The composition of the team providing the supervision and scientific management of the doctoral project is specified at the time of the annual registration for the doctorate and appears on the registration certificates, in the individual training agreement, on the thesis cover and in any communication relating to the defence of the thesis.

If necessary, the composition of this team can change during the preparation of the thesis.

#### ARTICLE 10-1-12

The individual contribution of each member of the team providing the supervision and scientific management of the doctoral project is specified at the time of registration in the form of a **supervision rate**.

Within such a team, the **minimum supervision rate** for a doctoral student is **at least 25%** for the thesis supervisor or other team members. The doctoral school, in its internal regulations, may set minimum supervision rates within a supervision team that are **higher** than these values.

For all the doctoral students they supervise, the **cumulative supervision rate** of a thesis supervisor, a co-director or a co-supervisor must remain **below 500%**. The doctoral school may, in its internal regulations, set a maximum cumulative supervision rate **lower** than this value.

thesis supervisors, co-directors and co-supervisors of doctoral students are involved in leading doctoral training at Université Paris-Saclay and in particular in the doctoral school of which they are members. In particular, they participate in admission commissions and juries, individual doctoral student monitoring committees, defence juries, doctoral seminars and other collective activities dedicated to the training of doctoral students or to the preparation and monitoring of their professional future.

#### ARTICLE 10-1-14

The **conditions of secondment and affiliation** to a doctoral school for thesis supervisors and, more generally, for supervisors of doctoral students enrolled at Université Paris-Saclay are defined by the Doctoral Policy Council, after consultation with the Assembly of Directors of Doctoral Schools.

In the case of the **secondment** of a thesis supervisor or co-supervisor, **planned by the management of a doctoral school**, following the opinion of the director of the research unit or team hosting the doctoral students concerned and the doctoral school council, the director of the doctoral school notifies the thesis supervisor or co-supervisor of the reasoned opinion.

In case of disagreement, the thesis supervisor or the co-supervisor may request a **second opinion** from the **Doctoral Policy Council**. The thesis supervisor or the co-supervisor may request a **third opinion** from the **Research Commission of the Academic Council**.



The **decision to second** a supervisor from a doctoral school is taken by the President of Université Paris-Saclay, on the basis of these opinions. The President of Université Paris-Saclay notifies the thesis supervisor or the co-supervisor concerned of their decision.

#### ARTICLE 10-1-15

The **list of persons who can direct, co-direct or co-supervise** doctoral students registered at Université Paris-Saclay is kept up to date by the Maison du Doctorat and presented annually to the research commission of the academic council, together with their situation with respect to accreditation to supervise research (HDR), (HDR, equivalence, authorisation to supervise without HDR, authorisation to co-supervise without HDR, other), the number of doctoral students that they supervise and their individual supervision rates

The doctoral school council and the Doctoral Policy Council are kept informed, at least once a year, of changes to this list as well as the list of exemption beneficiaries.

### Article 10-2: Admission to doctoral studies

#### ARTICLE 10-2-1

This section of the internal regulations applies only to first-time doctoral candidates.

The Doctoral Policy Council adopts the generic criteria and procedures for admission to the doctoral programme, which are applicable to all doctoral schools. The criteria and procedures specific to each school are specified in the school's internal regulations.

#### ARTICLE 10-2-3

The admission procedure is based on the principles expressed in Université Paris-Saclay's doctoral charter and in the European Charter for Researchers and a Code of Conduct for the Recruitment of Researchers. This procedure must include generic rules and modalities for the functioning of admissions committees and juries designed to prevent discrimination and conflict of interest situations and to ensure the openness and fairness of the selection process for doctoral students.

#### ARTICLE 10-2-4

If doctoral schools are co-accredited, the co-accredited institutions strive to make their generic admission criteria and procedures converge.

The doctoral schools affiliated to the same Graduate School strive to make their specific admission criteria and procedures converge.

#### ARTICLE 10-2-5

The admission policy for doctoral students is defined by the Doctoral Policy Council, which:



- takes into account the research policy of Université Paris-Saclay, the needs of the national research and innovation policy, and in particular the challenges of sustainable development;
- develops the attractiveness of the doctoral programmes of Université Paris-Saclay;
- seeks excellence and encourages originality and scientific risk-taking, international and interdisciplinary openness, the consideration of the major challenges and issues facing society, and the development of new fields;
- informs students about the conditions for admission, skills required, funding for which they may be eligible, the nature, quality and degrees of professional employment available upon earning the doctorate;
- is transparent, open, fair, non-discriminatory and conducted in accordance with internationally recognised principles, in particular those set out in the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers;
- is based on explicit and public criteria and procedures, made known to the host teams, potential doctoral candidates and employers of graduates;
- takes into account the supervision capacities of the research units or teams to ensure that each doctoral student receives personalised supervision;
- takes into account the career prospects of doctoral graduates;

#### ARTICLE 10-2-6

The evaluation of the doctoral project, for the purpose of admission, takes into account the following elements

- the scientific context, the current state of knowledge in the field of research concerned;
- the objectives of the doctoral project in relation to the objectives defined in Article 10-2-5 and the identification of what will constitute the originality of the scientific work;
- the tools and methods to be used, the provisional main stages of the doctoral project and the possible scientific cooperation to be considered;
- the main skills (in the field of expertise and transferable) that can or should be acquired in the course of the doctoral student's research and that can be used by the doctoral graduate for their professional future;
- the group training programme planned to support the development of the doctoral student's skills, strengthen their scientific culture, give them international exposure and help prepare them for the future;



- the objectives of the use and dissemination of the research results (publications), possible obligations of confidentiality or dissemination in an open archive, instructions concerning publications, in particular the signature of publications;
- the career prospects that can be envisaged or are envisaged at the end of the project;
- the scientific, material and financial conditions met to allow the good progress of the doctoral project, and in particular the conditions for financing the doctoral student and the status envisaged for them;
- if the research work is carried out in whole or in part outside the host research unit, the time spent in the research unit;
- for a part-time doctoral project, the expected duration of the thesis preparation and the minimum weekly time that the doctoral student will have to devote to their research work.

#### ARTICLE 10-2-7

Candidates can only be admitted to the doctoral programme after their application has been examined and a **hearing has been held by an admissions committee or jury** whose members are appointed or approved by the doctoral school. The doctoral school ensures that the members of the admissions committees and juries are, in all cases, in a position to give their opinion on applications with the necessary independence and freedom of judgment (cf. Article 12). It also ensures a gender balance.

The director of the doctoral school proposes the registration of a candidate on a doctoral programme based on the opinion of this admissions committee or jury.

If the doctoral school is in charge of selecting candidates for funding provided by Université Paris-Saclay alone or in the framework of a partnership, Université Paris-Saclay Doctoral Policy Council appoints the admission juries, on the proposal of the doctoral school, according to the terms and principles of composition, meeting and deliberation set by the Doctoral Policy Council.

If funding is provided by an external funding agency, the doctoral school appoints the admissions committees according to the procedures and principles of composition set out in its internal regulations. The doctoral school may delegate, in particular to the research units, the task of setting up the commissions according to the procedures and principles laid down in its internal regulations. The admissions committee includes at least two members from outside the management team, at least one of whom is qualified to supervise research.

#### ARTICLE 10-2-8

The evaluation of the candidates, for the purpose of admission, takes into account the following elements:



- the research skills of each candidate;
- their understanding of the innovative character of their research subject, their ability to place it in the international scientific context and their exhibition skills;
- the ability of the candidate to carry out the doctoral project in the conditions set out for its development, in particular the host research unit and the supervision of the doctoral project;
- their language skills (French, English, writing skills); a doctoral school may request language tests; the interview by the doctoral admission committee or jury can also verify whether the candidate's language skills and abilities are sufficient for integration into the research unit and the proper conduct of their work.

If the candidate does not have a Master's degree, the commission or jury will indicate whether the skills and diplomas acquired by the candidate can justify a waiver of the diploma requirement for enrolment in the doctoral programme. The President of Université Paris-Saclay, on the proposal of the doctoral school and on the basis of the minutes of the admissions committee, may grant a waiver of the diploma requirement for registration in the doctoral programme.

After consultation with the assembly of doctoral students, Assembly of Directors of Doctoral Schools adopts an admissions procedure explaining the elements required of all candidates in order to compile their application file or receive a waiver of the diploma requirement for enrolment in a doctoral programme, as well as the additional elements specific to a doctoral school.

#### ARTICLE 10-2-9

The doctoral degree can be obtained through **initial training, lifelong learning** or **validation of prior experience**.

#### ARTICLE 10-2-10

The doctoral student hosted in a research unit must have social and civil liability coverage to protect them from the main hazards and risks of life during the period in which they are preparing the thesis in initial training or lifelong learning.

#### ARTICLE 10-2-11

Admission to the doctoral programme **for initial training** takes place in continuity with a Master's degree or another programme awarding a Master's or Master's level degree (less than one academic year since the last diploma) and is conditional on obtaining funding for the remuneration of the doctoral student for the realisation of the doctoral project, the amount of which is greater than a minimum funding threshold set according to the methods defined in Article 10-2-12.



The doctoral school, the research unit and the thesis supervisor are committed to informing doctoral candidates of the various mechanisms for obtaining an employment contract dedicated to the preparation of the thesis or from other financing and to guiding them in their application process.

#### ARTICLE 10-2-12

The amount of the public law doctoral contract, set by the Ministry of Higher training and Research, is the **benchmark** in terms of funding for doctoral students **in initial training**.

If the candidate has a full-time employment contract under French law, dedicated to doctoral training, the **minimum funding threshold** is reached as soon as the gross monthly salary of the doctoral student is higher than the gross minimum wage for full-time work.

In other situations, the minimum funding threshold is reached as soon as the total monthly financial support received by the doctoral student is higher than the net full-time minimum wage plus the cost of adapted social coverage. This financial aid can be composed of several elements, such as a grant from a foreign government, a supplement provided by the laboratory within the framework of a "research stay" agreement, as defined in Article [L. 434-1 of the Research Code](#), mobility assistance, housing, exemption from payment of university fees, assistance in settling in France, etc. The proposed financing plan is specified in the application form.

Requests for exemptions from this minimum funding threshold are examined by the Assembly of Directors of Doctoral Schools, on the proposal of the doctoral school. The reasoned opinion of the Assembly of Directors of Doctoral Schools, describing the doctoral student's projected situation, is then attached to the registration file. Whatever the particular situation encountered, no candidate can be required to travel from another country or region to prepare their doctorate at Université Paris-Saclay in a situation that would place them below the poverty line in the Ile de France.

The list of waivers granted is presented annually to the Doctoral Policy Council. Doctoral schools may, if necessary, set a minimum funding threshold that is higher than the full-time gross salary in their internal regulations, for all doctoral students in initial training in the doctoral school. Requests for derogation from the minimum funding threshold set by the doctoral school for which the projected funding is higher than the level of the full-time gross minimum wage are examined by the doctoral school council concerned, after a collegial review of these cases.

#### ARTICLE 10-2-13

In **initial training**, the **benchmark duration** for the preparation of the thesis is 36 months, except in special cases or exemptions.



In initial training, a minimum of three consecutive doctoral registrations must be completed to be able to defend the thesis. In the event of a transfer from another French or foreign institution to Université Paris-Saclay during the preparation of the thesis, at least one doctoral registration must have been made at Université Paris-Saclay and the doctoral student must have been registered at Université Paris-Saclay for the academic year of their doctoral defence.

The duration of the thesis preparation in initial training can be adapted for particular circumstances (international co-supervision of the thesis, doctoral student with a disability, etc.). The duration of the thesis preparation is defined in the individual training agreement signed at the time of the first registration for the doctorate.

In all cases, the director of the doctoral school ensures, prior to the first registration in the doctoral programme, that the funding of the doctoral student in initial training will be provided for the entire duration of the doctoral project.

#### ARTICLE 10-2-14

Doctoral students in initial training must know **the source of their funding** and the commitments they are bound to make to the funder.

In initial or lifelong training, doctoral schools also ensure that the explicit or implicit obligations of the doctoral student towards the funder, whoever it may be, are compatible with the fundamental ethical principles of research.

#### ARTICLE 10-2-15

The preparation of the doctorate in **initial training** is **full-time**, except in special cases.

- The proportion of the doctoral student's working time devoted to research activity during the preparation of the doctorate in initial training is at least five sixths.
- Up to one-sixth of the doctoral student's working time in initial training may be devoted to non-research activities that contribute to the development of the skills expected of doctoral graduates, as defined by the Decree of 22 February 2019 defining the skills of doctoral graduates and registering the doctorate in the national directory of professional certification.

The weekly working time of the doctoral student in initial training can be adapted for special circumstances (doctoral student with a disability, etc.). The specific conditions concerning working time are then specified in the individual training agreement.

#### ARTICLE 10-2-16



The doctorate can also be prepared through **lifelong learning** (outside of initial training) on a full-time or part-time basis. When the thesis is prepared on a part-time basis, the amount of time devoted to the thesis is at least 50%.

For part-time doctoral students, the **cumulative duration** of the thesis preparation is also 36 months. The total duration of the doctorate preparation, between the first registration and the defence, is established at the time of the first registration and takes into account the amount of work time devoted by the doctoral student to the preparation of the doctorate, which must be specified in the individual training agreement. This total duration must remain **less than six years**.

The evaluation of the candidates, in view of the admission to doctoral studies in lifelong learning at Université Paris-Saclay takes place with the same requirements, criteria and modalities as for initial training (cf. Article 10-2-6).

Once they have received a favourable opinion on their doctoral project from the doctoral school, Université Paris-Saclay evaluates, in order to authorise registration, the planned methods for preparing the doctorate in lifelong learning.

These modalities are adapted to the particular situation of each candidate, according to a procedure adopted by the Assembly of Directors of Doctoral Schools, and taking into account the following elements:

- the collective training programme, particularly concerning the preparation of the professional future; to this end, the possibilities for the partial validation of the candidates' acquired experience should be explored between the prospective thesis supervisor and the candidate, based on the Decree of 22 February 2019 defining the competencies of doctoral graduates and registering the doctorate in the national repertoire of professional certification.
- the amount of time that the candidate can devote to the preparation of the thesis; when the candidate is an employee, the possibilities for the employer to adjust the working hours must be explored; the doctoral school evaluates the feasibility of the doctoral project under the conditions envisaged and the length of time necessary for the preparation of the thesis; the frequency of meetings between the thesis supervisor and the candidate must be adapted to the conditions envisaged;
- the initial duration of the thesis preparation; this takes into account the amount of work time that can be devoted to the preparation of the thesis, the possibilities of the partial validation of the candidates' experience and is at most six years;
- the compatibility of the doctoral project with the other activities of the doctoral student. When the candidate is engaged in a main activity other than the preparation of the thesis, the rights, duties and obligations that result from it must be clearly specified, so that



Université Paris-Saclay is able to verify possible conflict of interest situations and the compatibility of this main activity with the principles of research ethics and scientific integrity;

- the material and financial conditions that will allow the thesis to proceed smoothly; the candidate's resources must be known to the doctoral school; the social and civil liability cover envisaged for the duration of the thesis preparation must be adapted;

the file presenting the plan for adapting the doctoral training methods is attached to the application for registration in a lifelong learning doctorate programme.

In lifelong learning, the doctoral student's individual follow-up committee, which meets before the first re-registration in the doctoral programme, verifies, in particular, whether the doctoral training programme has been adapted and may, if necessary, propose a revision of the conditions for preparing the thesis. The report of the monitoring committee is attached to the re-registration application.

#### ARTICLE 10-2-17

The national doctoral diploma can also be obtained through the **validation of acquired experience**. On the proposal of the Assembly of Directors of Doctoral Schools and after consulting the Assembly of Doctoral Student Representatives, the Doctoral Policy Council adopts a procedure for the validation of prior experience, with a view to issuing the doctoral diploma or certifying the acquisition and mastery of blocks of skills, as defined by the Decree of 22 February 2019 defining the skills of doctoral graduates and registering the doctoral degree in the national register of professional certification.

As in initial training, the doctoral degree can be awarded after the defence of a thesis or the presentation of a body of original scientific work, subject to the writing of a dissertation, allowing the personal contribution of the candidate to be assessed, and after an evaluation during the defence that is similar in every respect to that of doctoral students in initial training. For the validation of acquired experience, this work may have been carried out outside the research teams and units of Université Paris-Saclay.

As for doctoral students in initial training, the thesis or dissertation will be subject to legal deposit and, if necessary, to publication on the national portal theses.fr.

Partial validation is also possible. Université Paris-Saclay may, on the basis of an evaluation procedure determined by the Assembly of Directors of Doctoral Schools, certify the acquisition of one or more blocks of skills defined by the Decree of 22 February 2019 defining the skills of doctoral graduates by doctoral students enrolled in a doctoral programme under the system of validation of prior learning, in initial training or in lifelong learning



### Article 10-3: Joint international supervision of doctoral theses

To develop the international dimension of doctoral schools and scientific cooperation between French and foreign research teams, and to encourage the mobility of doctoral students, an agreement to organise international doctoral co-supervision may be concluded with a foreign higher training institution, subject to the following conditions:

- the foreign institution must be accredited to issue the doctorate;
- the doctoral project is the subject of research cooperation between the two research units hosting the doctoral student;
- the conditions envisaged must be compatible with Université Paris-Saclay's doctoral charter, the national regulatory framework, the present internal regulations and those of the doctoral school;
- The proposed partnership is balanced. It will be proven international experience for the doctoral student. The doctorate is prepared by alternating periods between the institutions concerned according to a balance and modalities defined in the co-supervision agreement. the doctoral student spends at least one year in a research unit affiliated with a doctoral school of Université Paris-Saclay and at least one year in the foreign partner university;
- the doctoral students carry out their work under the responsibility of a thesis supervisor in each of the countries concerned. The two thesis supervisors, in France and in the foreign partner country, must be authorised to supervise a doctoral student according to the provisions of their country. the doctoral students are hosted in two research units in each of the two countries concerned;
- the favourable opinion of the doctoral school for the registration of the candidate in a doctoral programme at Université Paris-Saclay must be obtained before taking steps to establish an international thesis co-supervision agreement;
- Doctoral students under international co-supervision are registered each year in two higher training institutions accredited to award the doctorate: Université Paris-Saclay in France, the second one abroad. As far as possible, the agreement must be established before the first registration and, unless otherwise agreed by the presidency of Université Paris-Saclay, must be established at the latest before the second registration at Université Paris-Saclay. The first registration for a doctorate at Université Paris-Saclay can take place before or after the first registration for a doctorate in the partner country;
- The reference period for the preparation of an international co-supervised thesis may be longer than three years. The duration of the thesis preparation can be different in France and in the partner country if the dates of the first registration for the doctorate in the two institutions are different;



- Whenever possible, the international thesis co-supervision agreement, established at the beginning of the doctorate, specifies the conditions for an extension of the thesis duration. The duration of the agreement exceeds the reference period for the preparation of the thesis by a period equal to the number of months of extension of the thesis that can be granted. If this is not the case, in the event of an extension of the thesis duration, the agreement can be amended;
- The thesis is defended once;
- The doctoral graduate receives two doctoral degrees. The doctoral degrees issued by each of the two institutions mention the international co-supervision of the thesis and the name of the foreign partner institution.

## Article 10-4: Registration for a doctorate at Université Paris-Saclay

### ARTICLE 10-4-1

Registration in the first year of the doctoral programme is decided by the President of Université Paris-Saclay, on the proposal of the director of the doctoral school, after receiving the opinion of the thesis supervisor and the director of the research unit on the quality of the project and the conditions for its realisation. It is equivalent to admission to the training offered by the doctoral school.

Registration is renewed at the beginning of each academic year by the President of Université Paris-Saclay, on the proposal of the director of the doctoral school, after receiving the opinion of the thesis supervisor and the doctoral student's individual monitoring committee.

The application for renewal of registration must have been made in the doctoral information system by 30 November 2022 for registration for the 2022-2023 academic year and by 31 October of the current year for the 2023-2024 academic year and beyond. In the event of a possible non-renewal, after receiving the opinion of the thesis supervisor, the doctoral school director will notify the doctoral student of the reasoned opinion. The doctoral student may request a second opinion from the research commission of the academic council. The non-renewal decision is taken by the President of Université Paris-Saclay, who notifies the doctoral student.

The doctoral project is formalised in an individual training agreement, in application of the doctoral charter, at the time of the first registration request. The individual training agreement can be updated on each registration for a doctorate.

### ARTICLE 10-4-2

The doctoral school or the doctoral school centre to which the doctoral student belongs defines the Graduate School for the administrative follow-up of the doctoral student.



Applications for enrolment in a doctoral programme are submitted to the Presidency of Université Paris-Saclay for signature by a member of the Graduate School's management team in charge of the doctorate.

#### **ARTICLE 10-4-3**

Whenever necessary, the doctoral student may be affiliated to another Graduate School, in accordance with their doctoral project, so that they benefit from the activities offered by the latter. This additional affiliation is specified in the individual training agreement.

#### **ARTICLE 10-4-4**

When registering for a doctorate, one of the components, one of the component institutions or one of the affiliated member universities is declared as the referee.

The list of doctoral students enrolled in a doctoral programme includes information on the referee and is made available to the components, component institutions and affiliated member universities.

#### **ARTICLE 10-4-5**

The choice of the referee is defined by default for each host research unit, taking into account, for a joint unit, the agreements made between the supervisory institutions to ensure the operation of the research unit. The default referee for each research unit is specified in the internal regulations of each doctoral school.

The list of default points of contact for the host research units is maintained jointly by the Maison du Doctorat and the Research and Promotion Department and adopted by the Doctoral Policy Council.

#### **ARTICLE 10-4-6**

In special cases, another choice of referee than the default can be made at the time of registration of a doctoral student, at the request of the thesis supervisor, the director of the research unit or the member of the Graduate School's management team in charge of the doctorate.

When special cases arise, the following principles guide the selection of the referee:

- for a doctoral contract financed by a grant for public service, the referee is the person in charge of the follow-up of the doctoral student in terms of human resources;
- for a doctoral contract financed by a research contract, the referee is chosen in accordance with the agreements between the research unit's supervisors. for a host research unit with several supervisors who can be chosen as referees and where the agreements between the supervisors do not remove the uncertainty, the default referee may be the one responsible for the accommodation of the laboratory premises, and, failing that, the choice must take into account the geographical proximity between the research unit and the referee.



#### ARTICLE 10-4-7

When registering, the doctoral student and their thesis supervisor must provide the title and summary of the thesis subject, the keywords of the thesis, in French and in English, and all other necessary information for reporting the thesis in preparation on the national thesis portal [www.theses.fr](http://www.theses.fr)

When proposing a new thesis subject, the doctoral programme stakeholders, and in particular the thesis supervisor and the research unit concerned, verify that the thesis subject is not already being prepared in a public higher training and research institution or a French national research organisation.

Each supervisor, each research unit, each Graduate School, each referee has, via this alert, a URL on [www.theses.fr](http://www.theses.fr) for listing the theses to which they are linked, whether they are in preparation or defended.

#### ARTICLE 10-4-8

The Maison du Doctorat establishes a registration procedure, adopted by the Council for Doctoral Policy after receiving the opinion of the Assembly of Directors of Doctoral Schools and applicable to all doctoral schools.

### Article 10-5: Extension of the duration of the thesis

If the thesis preparation time exceeds that foreseen at the time of the first registration in the doctoral programme, the President of Université Paris-Saclay grants **extensions of a maximum of one year**, upon a motivated request from the doctoral student, supported by declarations from the competent authorities or bodies (for example, a medical certificate for a long-term illness);

- for doctoral students covered by paragraphs 1 to 9 of Article L 5212-13 of the French Labour Code
- for doctoral students who have taken a leave of absence of at least four months due to the arrival of a child or to illness,
- for doctoral students who have taken a leave of absence of at least two months following a work-related accident.

For doctoral students who do not fall into the above categories, if the duration of the thesis preparation exceeds the duration planned at the time of the first registration in the doctoral programme, an extension of the thesis duration of a maximum of one year may also be granted, as a derogation, by the President of Université Paris-Saclay, on the proposal of the thesis supervisor and after the opinion of the individual monitoring committee, the director of the doctoral school,



and the research unit hosting the doctoral student, upon a motivated request from the doctoral student.

If the defence of the thesis is scheduled before 31 December of the current calendar year, the request for derogation is not necessary, as the doctoral student is not registered for a new academic year, the defence of the doctorate takes place as part of the registration in the academic year that ends in the current calendar year and the doctoral student pays neither the registration fees nor the training Code (CVEC).

The extension of the doctorate beyond the duration initially foreseen, i.e. into a fourth year and beyond for a doctorate prepared in initial training and beyond the duration initially foreseen for a doctorate prepared in lifelong training, with a defence scheduled after 31 December of the current calendar year, is a derogation.

If the defence of the thesis is scheduled after 31 December of the current calendar year, the request for a derogation of the thesis duration must specify the projected date of the defence and the funding arrangements envisaged for the doctoral student during the extension period. The director of the doctoral school verifies that the scientific, material and financial conditions envisaged allow the doctoral student's work to proceed smoothly until the date of the defence.

The list of beneficiaries of exemptions is presented each year to the Academic Council of Université Paris-Saclay, to the Doctoral Policy Council and to the Doctoral School Council.

The doctoral school council is informed of the duration of the theses in the doctoral school (average and distribution) and decides on the guidelines to be given on the duration of the theses.

The doctoral student must be informed, at the start of their doctorate, of the duration of the theses in the doctoral school (average and distribution).

## Article 10-6: Caesura

A gap period is the period during which a student enrolled in an initial higher training programme temporarily suspends their studies in order to gain personal or professional experience, either independently or with a host organisation in France or abroad.

This period is initiated by the doctoral student. The gap period (Article 611-16 of the decree) can take one of the following forms:

- training in a field different from that in which the student is enrolled. This training may include an internship period in accordance with the current regulations on internships (Law of 10 July 2014);
- experience in a professional environment in France or abroad;



- a civic service commitment in France or abroad, which can take the form of an international solidarity volunteer service, an international volunteer service in an administration or company or a European volunteer service;
- a project to create an activity as a student-entrepreneur. In this case, the gap period must be part of the "student-entrepreneur" scheme and the student-entrepreneur diploma must be obtained.

The duration of the gap period is at least one semester and is limited to two consecutive semesters.

During the gap period, the doctoral student suspends their doctoral training and research work and is no longer a part of the research unit. The gap period is not counted in the duration of the thesis.

It is decided by the head of the institution in light of the quality and coherence of the project presented by the doctoral student, after receiving the opinion of the committee formed by the Assembly of Directors of Doctoral Schools, which also decides on applications for enrolment in lifelong learning, the director of the doctoral school to which the doctoral student belongs, the thesis supervisor and the research unit, and, if applicable, after consultation with the student's employer.

The administrative registration of the doctoral student is mandatory during the gap period. A student card is issued and student status is granted. They benefit from all the services and rights associated with this status. The university fees that apply are those provided for doctoral studies at the reduced rate provided for in the appendix to the decree setting the tuition fees for public higher training establishments under the authority of the minister responsible for higher training.

Before registering, the doctoral student must pay the CVEC to the CROUS and sign the internship agreement.

A doctoral student who has not completed their administrative registration according to the regulatory calendar will not be able to sign a gap period agreement with Université Paris-Saclay and will not be able to apply for re-registration as a doctoral student at the end of the gap period.

The procedure for the gap period and the template agreement are established by the Maison du Doctorat and adopted by the Doctoral Policy Council.

## Article 10-7: Collective doctoral training and work placements

### ARTICLE 10-7-1: OBJECTIVES

In addition to training through research in the laboratory, doctoral training also includes group training and activities designed to put students in professional situations (cf. Article 612-7 of the training Code):



- to enhance the scientific culture of doctoral students,
- to prepare for their professional future in the public and private sectors,
- to promote their international openness.

#### **ARTICLE 10-7-2: ORGANISATION**

The collective training programme designed to enhance the scientific culture of doctoral students and provide them with an international scientific outlook is specific to each doctoral school or programme and is developed in close collaboration with the Graduate School(s) concerned by the doctoral school. The doctoral school also offers group activities, notably aimed at developing the presentation skills of doctoral students, in French or English, and their ability to show the quality of their research, its innovative character and to place it in its scientific context.

The programme of collective training and placements common to all doctoral schools other than those mentioned above, intended in particular to prepare for the professional future of doctoral students in the private or public sector, training in open science, research ethics and scientific integrity, and the challenges of sustainable development, is drawn up by the Assembly of Directors of Doctoral Schools, after consulting the Assembly of Doctoral Student Representatives. These group training sessions and activities are organised by the Maison du Doctorat directly or in conjunction with other structures, such as the Graduate School(s), the Polethis, the library or the language centre.

#### **ARTICLE 10-7-3: EXPECTATIONS AND VALIDATION**

The hourly volume of collective training and placement training for each doctoral student ranges from a minimum of 24 hours per year, corresponding to the right to training of a public servant, up to a ceiling of one sixth of their annual working time, as set out in the decree on the doctoral contract.

The other common rules relating to group training and placements are defined by the Assembly of Directors of Doctoral Schools, after consulting the Assembly of Doctoral Student Representatives.

The rules relating to the validation of group training courses specific to a doctoral school are set out in its internal regulations, ensuring consistency with the programme and the rules of validation relating to transverse group training courses.

The management of the training catalogue and information on collective doctoral training courses is centralised at the Maison du Doctorat in consultation with the Assembly of Doctoral Student Representatives and the directors of doctoral schools, in particular to ensure the clarity of the collective training offer and its validation rules.

### **Article 10-8: Individual supervision of doctoral students**



The follow-up procedures must be the subject of a chapter in the internal regulations of each doctoral school.

The doctoral student's follow-up system includes the follow-up provided by the thesis supervisor and that provided by the individual follow-up committee.

#### ARTICLE 10-8-1: FOLLOW-UP BY THE THESIS SUPERVISOR

The progress of the doctoral student's doctoral project must be regularly monitored by their thesis supervisor. It is recommended that the approximate frequency of appointments be agreed upon prior to the first enrolment in the doctoral programme and be typically weekly and at least monthly. The internal regulations of the doctoral school may include a framework for this frequency.

#### ARTICLE 10-8-2: THE INDIVIDUAL THESIS MONITORING COMMITTEE

An individual doctoral student monitoring committee ensures that the programme runs smoothly, based on the doctoral charter and the training agreement.

The doctoral student's individual monitoring committee provides support for the student throughout the duration of the doctorate. It must meet **before registration in the second year** and then **before each new registration until the end of the doctoral programme**. Whenever possible, this meeting is held before 1 June of the current academic year.

The doctoral student writes and sends to the individual monitoring committee a **written summary** of all or part of their work and the scientific context before each meeting with the individual monitoring committee. The format of this summary is defined by the doctoral school.

The interviews are held in **three distinct stages**: presentation of the work progress and discussions, interview with the doctoral student without the thesis supervisor, and interview with the thesis supervisor without the doctoral student.

The presentation of the scientific work carried out by the doctoral student to the monitoring committee and the scientific questions on this work can be carried out in a public setting (doctoral school days, laboratory seminar, etc.).

During an interview, each monitoring committee should spend a few minutes before the interview begins explaining the framework and objectives and the points that will be discussed.

Everyone should be able to express themselves very freely during the interviews. Everyone is required to be discreet about what has been discussed during the interview and to be considerate.



During the interview with the doctoral student, the committee evaluates the conditions of their training and the progress of their research. During this same interview, it is particularly careful to identify any form of conflict, discrimination or moral or sexual harassment or sexist behaviour.

It makes recommendations and sends a report of the interview to the director of the doctoral school, the doctoral student and the thesis supervisor.

In the event of difficulty, the doctoral student's individual monitoring committee alerts the doctoral school, which takes any necessary measures concerning the doctoral student's situation and the progress of the doctorate.

In the event of acts of violence, discrimination, moral or sexual harassment, or sexist behaviour, the doctoral school reports to the establishment's helpline against discrimination and sexual violence as soon as it is aware of the situation.

Except in special cases, the individual monitoring committee for each doctoral student is set up when the student first registers as a doctoral student and at the latest one month before the first committee meeting.

The doctoral school ensures that, as far as possible, the composition of the doctoral student's individual monitoring committee remains constant throughout the doctorate.

This committee is composed of at least two members, at least one of whom is qualified to supervise research or equivalent.

The doctoral student's individual monitoring committee includes at least one member who is a specialist in the discipline or connected to the field of the thesis. Whenever possible, the doctoral student's individual monitoring committee includes a member from outside the institution. It also includes a non-specialist member from outside the research field of the thesis.

The members of this committee do not participate in the supervision of the doctoral student's work. The doctoral school ensures that the doctoral student is consulted on the composition of their individual monitoring committee, before it meets.

The members of the individual follow-up committee are appointed by the doctoral school, after consultation with the doctoral student and the thesis supervisor. If necessary, the monitoring committee can be organised in consultation with the employer in order to pool, if possible, the monitoring carried out by the employer and that carried out by the doctoral school.

The members of the individual monitoring committee may not be the thesis referees.



The members of a monitoring committee should read the monitoring committee's procedure guide before the meeting and ensure that all the items in the guide are addressed. This guide is created jointly by the Assembly of Directors of Doctoral Schools and the Assembly of Doctoral Student Representatives and is made available to everyone on the website of Université Paris-Saclay.

The other modalities for the composition, organisation and functioning of the individual monitoring committees are proposed by the doctoral school council.

## Article 10-9: Defence of the PhD

### ARTICLE 10-9-1

The authorisation to defend a thesis is granted by the President of Université Paris-Saclay, after advice from the doctoral school director, on the proposal of the thesis director.

### ARTICLE 10-9-2

The Assembly of Directors of Doctoral Schools establishes a general defence procedure, adopted by the Doctoral Policy Council and applicable to all doctoral schools.

The procedures specific to each doctoral school are specified in its internal regulations. Each doctoral school is required to publicise any criteria specific to the doctoral school that a doctoral student must meet in order to be authorised to defend and specify these in its internal regulations. These specific criteria must be compatible with the "San Francisco Declaration on Research Assessment" signed by Université Paris-Saclay and in particular its Articles 4 and 5.

### ARTICLE 10-9-3

The doctoral student's work is examined beforehand by at least two **reviewers** appointed by the President of Université Paris-Saclay, who are **qualified to direct research** or **equivalent**, on the proposal of the doctoral school director, after advice from the thesis director.

The frameworks of equivalence for the habilitation to direct research are set by the research commission of the academic council and can be viewed on Université Paris-Saclay's website under the heading "HDR".

Reviewers are external to the research unit where the thesis was prepared, the doctoral school, Université Paris-Saclay and the doctoral project. They must not have authored any publications with the doctoral student. They must not have been members of the doctoral student's individual monitoring committee. They have the necessary independence and freedom of judgement (see Article 12). A doctoral school may add further conditions in its internal regulations.

### ARTICLE 10-9-4



The first legal deposit of the thesis takes place before the thesis is sent to the reviewers.

Reviewers are informed of the circulation conditions chosen for the thesis. These conditions may be:

- Circulation on the national theses portal, [www.theses.fr](http://www.theses.fr);
- Circulation on the national theses portal, [www.theses.fr](http://www.theses.fr) after an embargo period of a duration fixed by the author within the limit of 5 years;
- Confidentiality of the thesis for a period of time determined by the President of Université Paris-Saclay;

The request for confidential classification of the thesis and, if necessary, a defence behind closed doors, must be made to the President of Université Paris-Saclay before the thesis is sent to the reviewers or to any other person. The defence can only take place behind closed doors if the thesis is confidential.

Where applicable, if the thesis is confidential, the reviewers sign a confidentiality agreement before receiving the thesis.

#### ARTICLE 10-9-5

In accordance with Article 18 of the Decree of 26 May 2016, the thesis director, along with any other person who participated in the direction of the thesis, co-director or co-supervisor, does not take part in the decision.

Barring exceptions or special cases, team members providing scientific direction for the doctoral project and supervision of the doctoral student are present, sit with the alongside the panel during the defence and speak during the debates with the panel.

They are not **examiners, reviewers** or **presidents** on this panel, **do not take part in the decision** and **do not sign the minutes of the defence**.

Their participation in the scientific direction of the doctoral project and the supervision of the doctoral student is mentioned legibly on the cover of the thesis, on the national theses portal [www.theses.fr](http://www.theses.fr) and in any communication related to the defence.

At least half of the members of the panel who take part in the decision of the defence panel are **external** to the research unit where the thesis was prepared, the doctoral school, Université Paris-Saclay and the doctoral project; they must not have authored any publications with the doctoral student. They have the necessary independence and freedom of judgement (see Article 12). A doctoral school may add further conditions in its internal regulations.



Half of the members of the panel who take part in the decision of the defence panel are **university professors or equivalent** (see 11-5-7).

The number of members of the panel is between four and eight. The number of members of the panel who take part in the decision is at least three.

Where applicable, if the thesis was confidential, the members of the panel sign a confidentiality agreement before receiving the thesis.

#### ARTICLE 10-9-6

The President of the Panel is a university professor or equivalent.

#### ARTICLE 10-9-7

The status of university professor or equivalent for a doctoral defence panel at Université Paris-Saclay is defined on the basis of

- the Decree of 15 June 1992 establishing the list of civil servants equivalent to university professors and lecturers for the appointment of members of the National Council of Universities,
- the Decree of 10 February 2011 on the equivalence grid of titles, works and functions of academic staff set out in Articles 22 and 43 of Decree No. 84-431 of 6 June 1984 setting out the common statutory provisions applicable to academic staff and laying down the special status of the body of university professors and the body of lecturers, which allows for the comparison of international titles,
- Decree No. 2019-1131 of 5 November 2019, creating Université Paris-Saclay and approving its statutes and agreements with the CEA and ONERA.

In particular, under the institution's statutes, CEA and ONERA personnel, who may be included in the college A of professors and similar personnel for the elections of the bodies of Université Paris-Saclay or for the elections of another university or another institution authorised to award the national doctoral diploma, are equivalent to university professors for the doctoral defence panels at Université Paris-Saclay.

Professors and researchers emeritus do not fall within the quota of 50% of university professors or equivalent and cannot be President of the thesis defence panel.

Professors and researchers who are seconded outside their original body do not fall within the quota of 50% of university professors or equivalent and cannot be President of the PhD defence panel, except when these are seconded to a body whose members are equivalent to university professors.



When the Decree of 10 February 2011 concerning the equivalence grid of titles, works and functions does not provide all the elements necessary to judge the equivalence between a job held in a foreign country and a position as a university professor, the request for the panel's authorisation must be accompanied by an argument and a CV of the person proposed to participate in the panel for the defence of a doctorate as a university professor or equivalent.

## Article 10-10: Research ethics and scientific integrity

Université Paris-Saclay promotes the production of the research work of doctoral students that complies with the requirements of scientific integrity and research ethics.

Doctoral students have access to training in the principles and requirements of research ethics and scientific integrity.

They agree to comply with these throughout the duration of their doctorate. Université Paris-Saclay, doctoral school directors, thesis directors, research unit directors and all persons supervising or participating in the work of a doctoral student are committed to encouraging and supporting this commitment.

After the defence and in case of admission, the doctor **takes an oath**, individually, agreeing to comply with the principles and requirements of scientific integrity in their future professional career, whatever the sector or field of activity. The doctoral oath of scientific integrity is as follows:

*Texte en français: « En présence de mes pairs. Parvenu(e) à l'issue de mon doctorat en [spécialité], et ayant ainsi pratiqué, dans ma quête du savoir, l'exercice d'une recherche scientifique exigeante, en cultivant la rigueur intellectuelle, la réflexivité éthique et dans le respect des principes de l'intégrité scientifique, je m'engage, pour ce qui dépendra de moi, dans la suite de ma carrière professionnelle quel qu'en soit le secteur ou le domaine d'activité, à maintenir une conduite intègre dans mon rapport au savoir, mes méthodes et mes résultats ».*

*Text in English: "In the presence of my peers. With the completion of my doctorate in [field], in my quest for knowledge, I have carried out demanding research, demonstrated intellectual rigour, ethical reflection, and respect for the principles of research integrity. As I pursue my professional career, whatever my chosen field, I pledge, to the greatest of my ability, to continue to maintain integrity in my relationship to knowledge, to my methods and to my results."*

## Article 10-11: Diploma supplement and skills portfolio

A diploma supplement presenting the content of the training and the skills acquired will also be issued in accordance with Article D123-13 of the Education Code.



The diploma supplement provides additional information about the doctoral programme that is not included in the diploma.

The diploma supplement also attests to the activities and experiences of the doctoral student that contribute to the development of the skills listed in the reference framework of skills of the Decree of 22 February 2019 defining the competencies of doctoral graduates and registering the doctorate in the national professional certification directory.

To this end, doctoral students fill out a portfolio of skills during their thesis, available in the information system used for their registration and defence. This Portfolio is presented to the monitoring committee.

## **Article 10-12: Professional development of PhD graduates**

Working closely with the Graduate School(s), the doctoral policy council establishes a policy concerning the PhD Alumni of Université Paris-Saclay.

When preparing their defence file, doctoral students are asked to enter the publications resulting from their research work, their immediate professional development and an e-mail address that will be consulted regularly and will be valid for at least five years after the defence, in Université Paris-Saclay's doctoral information system.

Doctors will remain in contact with the doctoral school for a minimum of five years and will update their personal space in the information system with the e-mail address and telephone number where they can be contacted for five years after the defence in order to ensure the mandatory monitoring of the professional development of the doctoral school's doctors.

The Maison du Doctorat is responsible for conducting ministerial surveys on the professional development of doctoral graduates, using the results for Université Paris-Saclay and relaying the results of these surveys to the Graduate School(s), students and doctoral students who have responded to the surveys.

## **ARTICLE 11 | MEDIATION, CONFLICT RESOLUTION, APPEAL, SANCTIONS**

### **ARTICLE 10-11-1**



The doctoral policy council establishes a general conflict resolution procedure applicable to all doctoral schools.

Each doctoral school is required to publish any conflict resolution procedures that are specific to it and specify them in its internal regulations.

In the event that this mechanism fails or in the event of a conflict which also involves the doctoral school director, recourse is made to the President of Université Paris-Saclay, who takes advice and sets up a conflict resolution mechanism outside the doctoral school. This is based on the assembly of directors of doctoral schools.

#### ARTICLE 10-11-2

Each procedure (registration, defence, etc.) specifies the terms and conditions and possible avenues of appeal relating to the decisions to which the procedure relates.

#### ARTICLE 10-11-3

Disciplinary power is exercised in the first instance by the academic council of the institution constituted as a disciplinary section. The review of proceedings may be assigned to the disciplinary section of another institution if necessary.

## ARTICLE 12 | PERSONAL CONNECTIONS AND CONFLICTS OF INTEREST

A situation of interference between various interests of such a nature as to **influence or appear to influence the independent, impartial and objective exercise of a function** constitutes a **conflict of interest**. The notion of a personal connection is broader and covers all professional, financial, institutional, family, intellectual or moral links between two people.

Université Paris-Saclay has appointed an ethics officer. The ethics officer is responsible for providing information and advice on compliance with the ethical principles of the civil service code. These principles are: impartiality, integrity and morality, neutrality, and respect for the principle of secularism.



Each person must immediately stop or anticipate situations of conflict of interest in which they find themselves or could find themselves and inform the doctoral school, which will take the necessary measures, in particular assigning responsibility to another person or informing the ethics officer.

Any person who is aware of a conflict of interest situation in the context of doctoral training must inform the doctoral school to which they belong and may also seek advice or report the facts to the ethics officer.

The questionnaires in Articles 12-1 and 12-2 are self-assessment questionnaires that aim to answer frequently asked questions about potential conflicts of interest that may be encountered by panel and commission members at the main stages of doctoral training (admission, individual monitoring committee and defence) or in the context of thesis supervision.

The list of situations considered is not exhaustive and, among the situations listed, exceptions and special cases may be encountered: the **ethics officer** may be asked for advice on the situations listed in these questionnaires or on other situations.

## Article 12-1

If you are a member of a **panel or a doctoral programme admission commission**, a member of an **individual monitoring committee** or an **external member of a defence panel**, except in special cases or when advised otherwise by the ethics officer, you must ask the doctoral school to replace you in situations marked with a ☐. It is recommended that the doctoral school be consulted in situations marked with a ☐.

### Professional and supervisory connections

- ☐ I have or have had conflicting or damaged professional or supervisory relationships
- with a candidate for admission to a doctoral programme or their thesis director or a member of the proposed supervision team, for a commission member or admissions panel,
  - with the doctoral student or their thesis director or a member of the supervision team, for an individual monitoring committee member or an external member of the defence panel,
- ☐ am in a professional relationship that may limit or appear to limit my freedom of judgement and independence from the doctoral student's thesis director or any of the members of their supervision team.



☐ This person is a guarantor or a member of my HDR Panel, a member of a selection committee for a position for which I am applying or to support a project I am defending,

☐ This person is director of my laboratory, component, department,

☐ I myself have been a supervisor in the past, during internships, projects etc. of a doctoral candidate (for an admissions committee) or of the doctoral student (individual monitoring committee, external member of defence panel),

☐ I am currently involved in a collaborative research project that also involves the doctoral student or their thesis director or a member of the supervision team

☐ It has been less than five years since I was before the monitoring committee.

### Intellectual connections

☐ I have co-authored publications with the doctoral student, if applicable, with the candidate for admission to the doctoral programme,

☐ I was the thesis director of the thesis director or a member of their supervision team,

☐ have co-authored publications with their thesis director or with a member of the supervision team (assessment particularly with regard to different practices according to disciplines and the length of time since the last co-publication),

☐ I have co-organised scientific and intellectual events with the doctoral student or with their thesis director or with a member of the supervision team (symposia, conferences, seminars, etc.).

### Personal connections:

☐ Have or have had conflicting or damaged personal relationships with,

☐ Have a close family relationship with,

☐ Have previously taken assertive public positions on the subject of,

☐ Have or have had in a recent period an intimate and/or emotional relationship with,



- a candidate for admission to a doctoral programme or their thesis director or a member of the proposed supervision team, for a commission member of admissions panel,
- the doctoral student or their thesis director or a member of the supervision team, for an individual monitoring committee member or an external member of the defence panel,

## Article 12-2

If you direct, co-direct or co-supervise a doctoral student, or if you plan to direct, co-direct or co-supervise a doctoral student, except in special cases or if the ethics advisor advises otherwise, you must ask the doctoral school to replace you or consult the school in order to find a solution.

### Professional and supervisory connections

☐ have or have had a conflicting or damaged professional or supervisory relationship with the candidate for admission to the doctoral programme or the prospective thesis director or a member of the prospective supervision team,

### Personal connections:

☐ I have or have had conflicting or damaged personal relationships with,

☐ I have a close family relationship with,

☐ I have or have had in a recent period an intimate and/or emotional relationship with,

- the candidate for admission to the doctoral programme,
- the doctoral student,

## MAIN REFERENCES

### Doctorate, doctoral training and research

- Articles L612-7, D123-13, L612-1, L613-1 of the Education Code; Articles L412-1 and L412-2 of the Research Code;



- Decree of 22 February 2019 defining the competencies of doctoral graduates and registering the doctorate in the National Professional Certification Directory;
- Decree of 25 May 2016 laying down the national framework for training and the procedures leading to the issue of the national doctoral diploma, pursuant to Article L612-7 of the Education Code; FAQ of 2016 - Doctoral training renewed by the Decree of 25 May 2016
- Decree of 23 November 1988 concerning the habilitation to direct research;
- European Charter for Research and Code of Conduct for the Recruitment of Researchers;
- Decree No. 2021-1572 of 3 December 2021 on compliance with scientific integrity requirements.

### **Additional information on registration and re-registration**

- Articles R719-48, R719-49, R719-50 of the Education Code concerning registration fees;
- Decree of 19 April 2019, on registration fees in public higher education institutions under the authority of the minister responsible for higher education;
- Decree No. 2018-564 of 30 June 2018 on the contribution provided for in Article L. 841-5 of the Education Code (CVEC); FAQ on the contribution of student and campus life
- Circular letter concerning the exemption from tuition fees for students defending a doctoral thesis before 31 December of the year following their last registration and payment of the CVEC,
- Decree No. 2018-372 of 18 May 2018 on the temporary suspension of studies in public institutions providing initial higher education training;
- Circular No. 2019-030 of 10-4-2019 on the implementation of the temporary suspension of studies known as the gap period in public institutions (NOR: ESRS1903785C)

### **Additional information on defences and diplomas**

- Recognition of students' involvement in community, social or professional life (Articles D611-7 to D611-9)
- Circular of 1 March 2000 on the organisation of examinations (NOR: MENS0000500C)
- Circular No. 2019-134 of 25-9-2019 on the procedures for the development and delivery of national diplomas and certain state degrees by higher education institutions under the Ministry of Higher Education, Research and Innovation (NOR: ESRS1927147C)
- Decree No. 2006-1436 of 24 November 2006 for the application of Article 2 of Law No. 93-1419 of 31 December 1993 relating to the National Printing House (NOR: ECOT0651069D)



## Private and public doctoral contracts and research residency agreements

- Decree No. 2009-464 of 23 April 2009 concerning contractual doctoral students in public higher education or research institutions (NOR: ESRH0908292D)
- Decree of 29 August 2016 setting the amount of remuneration for contractual doctoral students under public law (NOR: MENH1619655A)
- L. 412-3 of the Research Code concerning private law doctoral contracts
- Decree No. 2021-1233 of 25 September 2021 on the private law doctoral contract provided for in Article L. 412-3 of the Research Code
- Circular of 20 October 2006 concerning the reduction of the donations for doctoral and post-doctoral students.
- Doctoral students and foreign researchers hosted for a research stay (Article L434-1 of the Research Code)
- Circular of 4 May 2022 on the implementation of the research stay as provided for in Article L. 434-1 of the Research Code (NOR: ESRS2207381C)

## Assessment

- HCERES reference framework for the evaluation of doctoral programmes, wave C evaluation 2022-2023
- **2019** - HCERES evaluation reports of the ComUE Université Paris-Saclay and the doctoral schools (Wave E and D for the three co-accredited doctoral schools)
- **2014** - AERES evaluation reports of the doctoral school projects of the future ComUE Université Paris-Saclay

## Université Paris-Saclay

- Decree No. 2019-1131 of 5 November 2019, creating Université Paris-Saclay and approving its statutes and agreements with the CEA and ONERA.
- [Decree of 27 July](#) 2020 accrediting Université Paris-Saclay and the Undergraduate University School of Paris-Saclay (EU1CPS) with a view to awarding national diplomas;
- Internal regulations of Université Paris-Saclay;

