

JOINT SUPERVISION OF DOCTORAL THESES BETWEEN THE UNIVERSIDAD POLITÉCNICA DE MADRID AND UNIVERSITIES ABROAD

*Approved by the International Doctoral School (EID) Steering Committee of the
Universidad Politécnica de Madrid on 30 January 2020*

*Approved by the Consejo de Gobierno of the Universidad
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PREAMBLE

The Universidad Politécnica de Madrid aims to promote and strengthen scientific cooperation with foreign institutions, which may be fostered through the implementation of international co-supervision agreements for doctoral theses. These co-supervision arrangements encourage doctoral candidate mobility and contribute to strengthening collaborative links between the research groups, centres and institutes of UPM and those of other foreign universities.

Furthermore, they contribute to and benefit from the participation of research groups in numerous international initiatives, such as the Marie Skłodowska-Curie Innovative Training Networks actions (MSCA-ITN-EID European Industrial Doctorates, MSCA-ITN-EJD European Joint Doctorates and MSCA-ITN-ETN European Training Networks), among others.

International co-supervision of doctoral theses shall be carried out in accordance with the provisions of Royal Decree 99/2011 of 28 January, regulating official doctoral studies, as amended and currently in force, and shall require the formalization of a co-supervision agreement between the participating universities, based on the principle of reciprocity, to which the doctoral theses deserving such international recognition may be attached.

This procedure amends the procedure approved by the Governing Council of UPM on 20 July 2017.

Accordingly, each institution shall recognize the validity of the doctoral thesis on the basis of a single defence held at one of the participating universities, and the front side of the doctoral diploma shall include the statement: "Thesis under co-supervision with University (counterpart)".

Acronyms:

CD: Doctorate Committee

CAPD: Doctoral Programme Academic Commission

CD-EID: EID Steering Committee

C-AD: Doctoral Area Committee

EID-UPM: International Doctoral School-Universidad Politécnica de Madrid

INSTRUCTIONS FOR APPLYING FOR JOINT SUPERVISION OF DOCTORAL THESES

Preparation of a thesis under the joint supervision system may follow one of two alternative procedures, as shown below.

Article 1. DOCTORAL THESIS JOINT SUPERVISION PROCEDURE WITH A PRIOR JOINT SUPERVISION FRAMEWORK AGREEMENT

1. The Universidad Politécnica de Madrid can set up **joint supervision framework agreements** with prestigious universities abroad within the scientific research fields of our university. The initiative for these agreements may come from the Academic Committee of a Doctoral Programme, a Doctoral Area, School or Faculty, or from a Vice-rector or the Rector themselves.
2. The aim of this procedure is to set up stable relationships for scientific and doctoral exchange between the two universities. It may include several doctoral programmes and, once set up, streamlines the incorporation of doctoral students into the joint supervision system.
3. The procedure consists of two stages. In the first stage (article 1.4) a framework collaboration agreement is made, and in the second stage (article 1.6) the joint doctoral thesis between the UPM and the other signatory institution is assigned to it.
4. Responsibility for the suitability of the joint supervision framework agreements with the other university will be assumed by the **EID Steering Committee**, and will be evaluated according to the following **criteria**:
 - a. **The scientific quality of the university** with which the joint supervision agreement is proposed to be signed, which must be at least equivalent to the level of the UPM. Fulfilment of this criteria means that the position of the foreign university in the subject rankings should be similar or higher to that of the UPM. The subject ranking lists for joint supervision applications (choose one) are as follows:
 - QS (<https://www.topuniversities.com/subject-rankings>)
 - ARWU (<http://www.shanghairanking.com/Shanghairanking-Subject-Rankings/index.html>)
 - b. The existence of an **active international strategic project** that includes **pre-doctoral** exchange and education, in which both the UPM and the university abroad with which the joint supervision is being proposed take part. These projects will be funded by competitive tenders from international bodies, including the European Union.
5. The joint supervision framework agreement will be formalised by signing an agreement following the model attached in Appendix I.
6. Once the joint supervision framework agreement has been signed, the doctoral students, along with their doctoral thesis supervisors, who are affiliated to the doctoral programmes that are the object of the agreement, may apply for joint supervision of the doctoral thesis subject to the already existing joint supervision framework agreement, using the model included in Appendix II.



7. The application procedure for joint supervision of the doctoral thesis under a prior framework agreement is as follows:
 - a. The doctoral student and their doctoral thesis supervisor will send the application (Appendix II), along with a report outlining the pertinence of joint doctoral supervision, to the **CAPD** to which they belong.
 - b. The CAPD will assess the application. If the outcome is favourable, all the documentation will be sent to the relevant C-AD. If not, the doctoral student and their supervisor will be notified.
 - c. **The C-AD will assess whether to approve the joint supervision**, subject to compliance with the established criteria:
 - i. The quality of the **doctoral student's curriculum vitae** and the reasons why joint supervision of the thesis would improve its quality and international impact.
 - ii. The availability of **sources of funding** for a minimum stay of six months at the *ad quem* centre.
 - d. In the event that the joint supervision is approved, it will be sent to the EID-Steering Committee for processing and signing by the Vice-rector with delegated powers in doctoral matters. Otherwise, the C-AD will be notified so that it can notify the CAPD.

Article 2. DOCTORAL THESIS JOINT SUPERVISION PROCEDURE WITHOUT A PRIOR JOINT SUPERVISION FRAMEWORK AGREEMENT

1. The **CAPD** may, via the relevant **Doctoral Area**, propose applications for specific joint supervision agreements with another university (Appendix IV) that it has not entered into a prior framework collaboration agreement with.
2. These applications will be sent to the **EID Steering Committee**, which will examine the documentation provided by the applicants to check if the counterpart university fulfils the following **criteria**:
 - a. **The scientific quality of the university** with which the joint supervision agreement is proposed to be signed, which must be at least equivalent to the level of the UPM. Fulfilment of this criteria means that the position of the foreign university in the subject rankings should be similar or higher to that of the UPM. The subject ranking lists for joint supervision applications (choose one) are as follows:

QS (<https://www.topuniversities.com/subject-rankings>)

ARWU (<http://www.shanghairanking.com/Shanghairanking-Subject-Rankings/index.html>)
 - b. The existence of an **active international strategic project** that includes **pre-doctoral** exchange and education, in which both the UPM and the university abroad with which the joint supervision is being proposed take part. These projects will be funded by competitive tenders from international bodies, including the European Union.
 - c. The existence of prior academic, scientific or technological collaboration between the two universities of at least two years' duration.
3. In the absence of the criteria set out in article 2.2 above, the **EID Steering Committee** will assess the common interests and prior collaborations between the research groups at the two

universities. Prior joint activity will preferably be justified by at least one of the three following **requirements**:

- a. the doctoral thesis supervisor at the UPM having been employed by the institution abroad with which the joint supervision is being considered for a period of more than one year during the past ten years.
- b. the doctoral thesis supervisor at the institution abroad having been employed by the UPM for a period of more than one year during the past ten years.
- c. the prior existence of at least one joint supervision thesis between the supervisors of the two institutions.

In the absence of the above, other requirements are:

- i. at least one research project with international funding in which the groups to which the doctoral thesis supervisors at the participating universities belong took part in the past 5 years.
 - ii. at least five research projects with international funding in which the groups to which the doctoral thesis supervisors at the participating universities belong took part in the last 15 years.
 - iii. at least one joint publication in prestigious journals in the last five years.
 - iv. at least three joint publications in prestigious journals in the last 15 years.
 - v. at least the equivalent of 12 whole months of exchange of research staff, doctoral researchers or professors in the last five years. This includes UPM entrance and exit mobility.
 - vi. at least the equivalent of 24 whole months of exchange of research staff, doctoral researchers or professors between the two institutions in the last 15 years. This includes UPM entrance and exit mobility.
4. If the criteria set out in article 2.2, or any of the requirements in article 2.3, are fulfilled, the **EID - Steering Committee** will notify the **Doctoral Area**, which can approve the thesis being undertaken in joint supervision with the university analysed, in the scientific subjects that are the objects of prior agreements and collaborations. At this time, the proposal for the doctoral student's joint supervision will be assessed, checking the following:
- a. The quality of the **doctoral student's *curriculum vitae*** and the reasons why joint supervision of the thesis would improve its quality and international impact.
 - b. **The availability of sources of funding** for a minimum stay of six months at the *ad quem* centre.
5. Each joint supervision will be formalised by signing a specific agreement for each doctoral student, following the model attached in Appendix IV.

Article 3.

This procedure replaces the one approved by the Consejo de Gobierno of the UPM on 20 July 2017, which will cease to be in force on the day after the approval of the present one.