

APPENDIX I

FRAMEWORK AGREEMENT FOR THE JOINT SUPERVISION OF DOCTORAL THESIS

COOPERATION AGREEMENT BETWEEN THE UNIVERSIDAD POLITÉCNICA DE MADRID AND THE
..... UNIVERSITY FOR DOCTORAL THESES UNDER THE JOINT
SUPERVISION SYSTEM

on..... 202.....

BY AND BETWEEN

PARTY OF THE FIRST PART, Mr/Ms [Rector or legal representative's name], in their capacity as legal representative and Rector of [institution name], a higher education institution recognised by [appointment ruling or agreement], with legal address at [full address of the institution's domicile],

PARTY OF THE SECOND PART, Mr. Luis Gómez Fernández, Vice Rector for Research and Doctorate Studies of the Universidad Politécnica de Madrid (Tax ID Number: Q2818015F), hereinafter UPM, with address at Calle Ramiro de Maeztu 7, Madrid (hereinafter UPM), in its name and on its behalf, under the delegation granted by the Rector Chancellor of the UPM on 22 January 2025.

PURPOSES

It is the common purpose of both institutions to promote and develop scientific cooperation within the framework of the joint supervision of doctoral theses, which involves the mobility of the doctoral students between the respective institutions and collaboration between researchers carrying out complementary or joint lines of research. Doctoral thesis joint supervision involves carrying out research work under the supervision, monitoring and scientific guidance of a Tutor/Supervisor appointed by each of the universities taking part. The purpose of this Framework Collaboration Agreement is to set out the terms under which the doctoral students activities are carried out under the joint supervision system and their recognition by both institutions. In accordance with this common interest, the two parties

AGREE

To formalise this joint supervision framework agreement between the two universities, which refers to writing doctoral theses in the following scientific subjects:.....

.....

Both universities have developed joint scientific collaboration and exchange activities prior to this agreement. The doctoral programmes linked to these activities, and those the students preparing their doctoral theses under the joint supervision system are signed up to, are as follows:

At UPM:

Doctoral programme in.....

Doctoral programme in.....

And at [the other University]:

Doctoral programme in.....

Doctoral programme in.....

The students on these programmes who want to prepare a thesis under the joint supervision system must fulfil the following academic requirements and administrative rules:

Article 1 – Application of national legislation and institutional rules

The provisions of this agreement may not contravene national legislation or institutional rules relating to doctoral studies and obtaining the doctor's degree in either of the two countries. All the parties undertake to act in accordance with the current rules and regulations in both institutions and to resolve any conflict that may arise from the interpretation of these rules by mutual agreement.

The doctoral student must comply with all the requirements provided for in each of the institutions regarding access to and admission onto the doctoral programmes, their progress and assessment.

Article 2 – Reciprocity

Joint supervision for the thesis will be governed by the general terms set out in this Agreement and assuming the principle of reciprocity, under which each institution will recognise the validity of the doctoral thesis from a single defence of it. The two signatory universities undertake to award the doctor's degree according to the procedure set out in their own rules and applicable legislation, including the note "Doctoral thesis under joint supervision with the University [name of the other university]" on the back of the degree certificate.

Article 3 – Doctoral thesis Supervisors

When participants on the doctoral programmes apply to do a thesis under the joint supervision system, they will propose supervisors in each university. Both supervisors will be responsible for guiding and supervising work on the thesis until its completion, in awareness of the current regulations of their respective universities, and mutually supporting each other in their duties as supervisors. Every six months, the doctoral student must report to their supervisors about the activities carried out in each university.

If either of the doctoral thesis supervisors ceases to be so, they will be replaced by another doctoral thesis supervisor from their university, in line with its regulations. Any change of this type must be notified to the other university and the doctoral student in due time and form. If this notification is not made, or is not approved, carrying out the thesis under the joint supervision system will automatically terminate. In this case, it is guaranteed that the doctoral student can complete their doctorate in the institution to which the other supervisor belongs.

Article 4 – Exchange of information

The two universities will exchange all the information and documentation needed to co-supervise the doctoral thesis and for its preparation and defence in accordance with the legislation and regulations in each of the countries and institutions, via the two supervisors.

Article 5 – Enrolment and public prices

While carrying out the research work for thesis under joint supervision, the doctoral student will be enrolled at both universities. However, they will only pay the relevant public prices at the one they come from and will be exempt from paying those at the other university.

Article 6 – Duration of the doctoral studies, activities and organisation of the periods working in each university

The duration of the doctoral studies will be a maximum of four full-time academic years, which may be extended for a maximum period of another one year, as long as the regulations in both institutions allow it, and starting from the doctoral student's first admission to the doctoral programme. In general, commitment to the joint supervision doctoral thesis will be on a full-time basis. However, a longer part-time study may be agreed if the regulations at both institutions allow it, and it is suitably justified. The doctoral student and their supervisors will agree how the working time at the two institutions will be organised between them, taking into account the needs arising from the research and the circumstances of the doctoral student

During the period the thesis is being prepared, the doctoral student must spend a minimum of 6 months at each institution carrying out research work. This may be a single period or several shorter stays.

Article 7 – Thesis defence

The thesis defence will be carried out in one of the two universities undertaking this agreement. This decision will be made by agreement between the doctoral student and their two Tutors/Supervisors.

Article 8 – Language

The two Supervisors will agree with the doctoral student on the language(s) the thesis and its abstract(s) are to be written and read in. If required, an extensive written summary of the thesis (approximately 1,000-1,500 words) in the authorised language in the other institution will be included.

By mutual agreement between the signatory universities, the thesis defence may be presented by video conference, provided this is allowed by the current regulations at each university.

Article 9 – Examination committee and funding

The composition of the thesis examination committee (thesis jury) in charge of assessing the doctoral thesis will be decided by mutual agreement between the parties, according to the regulations at the two institutions. A maximum of one doctor from each university undertaking the agreement can form part of the examination committee, and they must be specialists in the doctoral thesis subject matter. Regarding the funding of the expenses arising from the defence of the doctoral thesis prepared under the joint supervision system regulated by this agreement, and in particular those for the travel, board and lodgings of the examination committee members, this will be carried out in accordance with the regulations in force in this regard in the University where the defence takes place. Each university will

fund the travel expenses of its doctoral thesis supervisor to the other university.

Article 10 – Doctoral thesis grading

The grade awarded to the thesis by the examination committee will be issued in accordance with the system established in the country the defence is made in. Furthermore, the examination committee may also record the grade awarded in accordance with the current system in the country of the other university.

Article 11 – Doctor's Degree

Once the doctoral thesis has been approved, the two universities undertake to issue the relevant doctor's degree certificate, with the note “Doctoral thesis under joint supervision with the University [name of the second university]”, in accordance with the current rules regulating the issue of official university degrees in each country. The grade obtained in the university where the doctoral thesis was defended will be transferred to the degree certificate issued by the other university. The certificates and/or their supplements issued by both universities will explicitly mention that the doctoral thesis was carried under the joint supervision system.

Article 12 – Intellectual property rights

The publication, exploitation and data privacy rights for the doctoral thesis prepared by the doctoral student are subject to the current regulations in each one of the Universities. The publication of the results obtained jointly will be done with the compliance of, and in the form agreed by, the doctoral student and the doctoral thesis supervisors. Where necessary, provisions relating to the protection of intellectual property rights will be subject to a specific appendix in this agreement.

Article 13 – Data protection

The parties undertake to comply with all the provisions of Organic Law 3/2018, of 4 December, on Personal Data Protection and the Guarantee of Digital Rights, in relation to the personal data they have access to during the term of this agreement.

Article 14 – Entry into force and completion

This agreement will enter into force on the day it is signed by all the parties and will be initially valid for a minimum of five years, which may be extended. It will also be considered to be tacitly extended while there are doctoral theses in progress, as set out in this framework agreement.

The parties agree to resolve any dispute arising from the interpretation of this agreement amicably. If this is not possible, the matter will be submitted to an arbitration board. This board will be comprised of a member appointed by each university and a third member chosen by mutual agreement.

Universidad Politécnica de Madrid

Other university

Vice Rector for Research and Doctorate Studies
Luis Gómez Fernández

Rector (or similar post)
Name

APPENDIX II: form for the JOINT SUPERVISION THESIS APPLICATION

Where a prior framework agreement for joint supervision exists between the
universities

DOCTORAL AREA	
DOCTORAL PROGRAMME	
DOCTORAL STUDENT'S DETAILS	
Name and Surnames	
Admission date	
Contact (e-mail)	
DOCTORAL THESIS SUPERVISOR'S DETAILS	
Name and Surnames	
Admission date	
Contact (e-mail)	
Framework agreement with the University	
Framework agreement date	

Having been admitted onto a doctoral programme at the Universidad Politécnica de Madrid, the student featured in this application **APPLIES** to do their doctoral thesis under the joint supervision system with the aforementioned university, with which there is a framework collaboration agreement for doing so.

This application is sent to the aforementioned **Doctoral Area Committee** at the EID-UPM for approval, together with a report from the doctoral thesis supervisor on the pertinence of doctoral joint supervision, which is sent to the **CAPD**, outlining:

- 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.
- The availability of **sources of funding** for a minimum stay of six months at the *ad quem* centre.

The **CAPD** reviews it and takes the decision to provide the **Doctoral Area Committee** with a favourable report which, in turn, has approved the aforementioned doctoral thesis being carried out under the joint supervision system.

And to finalise the agreement, it is sent to the **EID-Steering Committee** Secretary for processing and signing by the **Vice-rector** responsible for doctorates.

In Madrid, on 20.....



Signed: The Doctoral student <i>Compliance of the CAPD - UPM</i>	Signed: The Doctoral Thesis Supervisor - UPM <i>Compliance of the Doctoral Area Committee</i>
Signed: Doctoral Programme Coordinator	Signed: Doctoral Area Director <i>Compliance of the CAPD – other university</i>
Signed: Thesis supervisor – other university <i>Compliance of the EID-UPM</i>	Signed: Doctoral Programme Officer <i>Approval for Joint Supervision</i>
Signed: The EID Secretary - UPM	Signed: Luis Gómez Fernández, Vice-rector

APPENDIX III: form for the
JOINT SUPERVISION THESIS APPLICATION
 Without a prior Joint Supervision Framework Agreement

DOCTORAL AREA	
C-AD application (date)	
DOCTORAL PROGRAMME	
CAPD application (date)	
DOCTORAL STUDENT'S DETAILS	
Name and Surnames	
Admission date	
Contact (e-mail)	
DOCTORAL THESIS SUPERVISOR'S DETAILS	
Name and Surnames	
Admission date	
Contact (e-mail)	
Counterpart UNIVERSITY	
Country	
Doctoral programme officer	
University doctoral officer	

It is hereby **REQUESTED** to carry out the aforementioned student's doctoral thesis under the joint supervision system with the aforementioned university. A report is attached outlining compliance with the provisions of the *Direct Procedure for Joint Supervision*:

- A) Compliance with quality and international criteria by the counterpart university:
- *Position of the destination University:*
 - *Reference to the international strategic project:*
- B) In the event that these criteria are not met, the requirements for prior collaboration met out of those outlined in the procedure. Documentation should be provided accrediting the following, among others:
- *Research projects with international funding*
 - *Three publications identified by DOI*
 - *Prior international mobility of the research staff*
 - *Prior contract of the UPM supervisor with the institution abroad*
 - *Current contract of the supervisor at the institution abroad, if they had a prior stay at UPM*
 - *Title of the prior co-supervised thesis*

Furthermore, a report is attached from the doctoral thesis supervisor on the pertinence of joint supervision of the thesis, outlining the following:

- 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.
- The availability of **sources of funding** for a minimum stay of six months at the *ad quem* centre.



POLITÉCNICA

This application has been approved by the **CAPD** and subsequently by the relevant **Doctoral Area Committee**, and their reasoned certification of the pertinent resolution is attached.

It is sent to the **EID Steering Committee** for approval so that, where appropriate, the pertinent specific cooperation agreement between the two universities can then be signed (Appendix IV).

In Madrid, on 20.....

Signed: The Doctoral student <i>Approval from CAPD - UPM</i>	Signed: The Doctoral Thesis Supervisor - UPM <i>Approval from the Doctoral Area Committee</i>
Signed: Doctoral Programme Coordinator	Signed: Doctoral Area Director <i>Compliance of the CAPD – other university</i>
Signed: <i>Thesis supervisor – other university</i>	Signed: Doctoral Programme Officer

Documents attached:

- CAPD resolution on the application. Date.....
- C-AD resolution on the application. Date.....
- Report on compliance with the suitability criteria from the counterpart university
- Report on the requirements for prior collaboration
- Report from the doctoral thesis supervisor: suitability of the supervision, doctoral student's CV and funding for the stay
- Cooperation agreement between the two universities (Appendix IV)

APPENDIX IV

COOPERATION AGREEMENT BETWEEN THE UNIVERSIDAD POLITÉCNICA DE MADRID AND UNIVERSITY TO CARRY OUT A DOCTORAL THESIS UNDER JOINT SUPERVISION

On..... 20.....

BY AND BETWEEN

PARTY OF THE FIRST PART, Mr/Ms [*Rector or legal representative's name*], in their capacity as legal representative and Rector of [*institution name*], a higher education institution recognised by [*appointment ruling or agreement*], with legal address at [*full address of the institution's domicile*],

PARTY OF THE SECOND PART, Mr. Luis Gómez Fernández, Vice Rector for Research and Doctorate Studies of the Universidad Politécnica de Madrid (Tax ID Number: Q2818015F), hereinafter UPM, with address at Calle Ramiro de Maeztu 7, Madrid (hereinafter UPM), in its name and on its behalf, under the delegation granted by the Rector Chancellor of the UPM on 22 January 2025.

PURPOSES

It is the common purpose of both institutions to promote and develop scientific cooperation within the framework of the joint supervision of doctoral theses, which involves the mobility of the doctoral students between the respective institutions and collaboration between researchers carrying out complementary or joint lines of research. Doctoral thesis joint supervision involves carrying out research work under the supervision, monitoring and scientific guidance of a Tutor/Supervisor appointed by each of the universities taking part. The purpose of this Framework Collaboration Agreement is to set out the terms under which the doctoral students activities are carried out under the joint supervision system and their recognition by both institutions.

In accordance with this common interest, the two parties

AGREE

To formalise this specific agreement for joint supervision of the doctoral thesis of the student Mr/Ms., entitled within the UPM Doctoral Programme inand the Doctoral Programme [the Doctoral Programme of the other University] in accordance with the following academic requirements and administrative rules:

Article 1 – Application of national legislation and institutional rules

The provisions of this agreement may not contravene national legislation or institutional rules relating to doctoral studies and obtaining the doctor's degree in either of the two countries. All the parties undertake to act in accordance with the current rules and regulations in both institutions and to resolve any conflict that may arise from the interpretation of these rules by mutual agreement.

The doctoral student must comply with all the requirements provided for in each of the institutions regarding access to and admission onto the doctoral programmes, their progress and assessment.

Article 2 – Reciprocity

Joint supervision for the thesis will be governed by the general terms set out in this Agreement and assuming the principle of reciprocity, under which each institution will recognise the validity of the doctoral thesis from a single defence of it. The two signatory universities undertake to award the doctor's degree according to the procedure set out in their own rules and applicable legislation, including the note "Doctoral thesis under joint supervision with the University [name of the other university]" on the back of the degree certificate.

Article 3 – Doctoral thesis Supervisors

The research work by the doctoral student will be jointly supervised by: Professor [Supervisor's name], [Other university] and

Professor [Supervisor's name], UPM

Both supervisors will be responsible for directing and supervising work on the thesis until it is completed, paying attention to the current regulations in their respective universities, and mutually supporting each other in their duties as supervisors. The doctoral student must report to their supervisors about the activities carried out in each university every six months.

If either of the doctoral thesis supervisors ceases to be so, they will be replaced by another doctoral thesis supervisor from their university in line with its rules. Any change of this type must be notified to the other university and the doctoral student in due time and form. If this notification is not made, or is not approved, this joint supervision agreement will automatically terminate. In this case, it is guaranteed that the doctoral student can complete their doctorate in the institution the other supervisor belongs to. The changes occurring, with agreement from both institutions, will be attached to this agreement.

Article 4 – Exchange of information

The two universities will exchange all the information and documentation needed to co-direct the doctoral thesis and for its preparation and defence in accordance with the legislation and regulations in each of the countries and institutions, via the two supervisors.

For administrative procedures, those responsible at each university for the doctoral thesis will be:

Mr/Ms [Officer's name], [Other university]

Mr/Ms [Name of the doctoral programme Coordinator at UPM], UPM.

Article 5 – Enrolment and public prices

While carrying out the research work for the joint supervision thesis, the doctoral student will be enrolled at both universities. However, they will only pay the relevant public prices at [name of the university] and will be exempt from those at

[Name of the other university].

Article 6 – Duration of the doctoral studies, activities and organisation of the periods working in each university

The duration of the doctoral studies will be a maximum of four full-time academic years, which may be extended for a maximum period of another one year, as long as the regulations in both institutions allow it, and starting from the doctoral student's first admission to the doctoral programme. In general, commitment to the joint supervision doctoral thesis will be on a full-time basis. However, a longer part-time study may be agreed if the regulations at both institutions allow it, and it is suitably justified.

The doctoral student and their supervisors will agree how the working time at the two institutions will be shared out, taking into account the needs arising from the research and the circumstances of the doctoral student. The following are initially agreed:

Activities:

.....

Stays:.....

During the period the thesis is being prepared, the doctoral student must stay for a minimum of 6 months at each institution carrying out research work. This may be a single period or several. Any changes made to the educational activities and stays, with the agreement of both

Institutions, will be attached to this agreement.

Article 7 – Thesis defence

The thesis defence will be carried out at [university], as agreed between the doctoral student and their Tutors/Supervisors.

Article 8 – Language

The doctoral thesis and its abstract will be written in [language(s)] and the defence will be carried out in [language(s)], as agreed between the doctoral student and their two supervisors, taking the requirements of the university where the thesis is going to be presented into account.

If necessary, an extensive written summary of the thesis (approximately 1,000-1,500 words) will be included in the authorised language at the other institution.

By mutual agreement between the signatory universities, the thesis defence may be presented by video conference, provided this is allowed by the current regulations at each university.

Article 9 – Examination committee and funding

The composition of the examination committee in charge of assessing the thesis will be decided by mutual agreement between the parties, taking the regulations at the two institutions into account. A maximum of one doctor from each university signing the agreement may form part of the examination committee, and they must be specialists in the thesis subject matter.

Regarding funding the expenses arising from the thesis defence prepared under the joint supervision system regulated by this agreement, and in particular those for the travel, board and lodgings of the examination committee members, this will be carried out in accordance with the regulations in force in this respect in the University where the defence takes place. Each university will fund the travel expenses of its doctoral thesis supervisor to the other university.

Article 10 – Doctoral thesis grading

The grade awarded to the thesis by the examination committee will be issued in accordance with the system established in the country the defence is made in. Furthermore, the examination committee may also record the grade awarded in accordance with the current system in the country of the other university.

Article 11 – Doctor's Degree

Once the doctoral thesis has been approved, the two universities undertake to issue the relevant doctor's degree, with the note “Doctoral thesis under joint supervision with the University [name of the second university]” in accordance with the current rules regulating the issue of official university degrees in each country.

The grade obtained in the university where the thesis was defended will be transferred to the degree issued by the other university.

The certificates and/or supplements to the degree issued by both universities will explicitly mention that the thesis was done under the joint supervision system.

Article 12 – Intellectual property rights

The publication, exploitation and data privacy rights for the doctoral thesis prepared by the doctoral student are subject to the current regulations in each one of the Universities. The publication of the results obtained jointly will be done with the compliance of, and in the form agreed by, the doctoral student and the doctoral thesis supervisors. Where necessary, provisions relating to the protection of intellectual property rights will be subject to a specific appendix in this agreement.

Article 13 – Data privacy

The parties undertake to comply with all the provisions of Organic Law 3/2018, of 4 December, on Personal Data Protection and the Guarantee of Digital Rights, in relation to the personal data they have access to during the term of this agreement.



This agreement will come into force on the day it is signed by all the parties and will be valid until the end of the academic year the thesis is presented in.

To form this committee, each university will appoint one member of the committee and will chose a third member by mutual agreement.

Signed: The Doctoral thesis supervisor - UPM	Signed: <i>Thesis supervisor – other university</i>	Signed: The Doctoral student
--	---	------------------------------



POLITÉCNICA

<i>Compliance of the CAPD - UPM</i>	<i>Compliance of the CAPD – other university</i>
Signed: Doctoral Programme Coordinator UPM	Signed: Doctoral Programme Officer
<i>Compliance of the EID-UPM</i>	<i>Compliance of the Doctoral Area Committee</i>
Signed: The EID Secretary - UPM	Signed: Doctoral Area Director
<i>Approval for Joint Supervision</i>	<i>Rector (or equivalent post)</i>
Signed: Luis Gómez Fernández, Vice-rector	Signed: Rector other university

Joint supervision document for the doctoral thesis of the student Mr/Ms.
for the thesis entitled “.....(title).....”
between the Universidad Politécnica de Madrid and the University of.....