

ACADEMIC RULES AND REGULATIONS FOR THE DOCTORAL AND MASTER OF RESEARCH PROGRAMMES

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Academic Rules and Regulations for the Doctoral and Master of Research Programmes

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Contents

1.	Introduction	3
2.	Definitions	4
3.	The Entrance Board	9
4.	Application, Selection and Admission for the Doctoral and LL.M. Programmes	10
5.	The Doctoral Programme – First Year	16
6.	The Doctoral Programme – Second Year	18
7.	The Doctoral Programme – Third Year	19
8.	The Doctoral Programme – Fourth Year	22
9.	Award of the Doctorate	24
10.	Doctoral Supervision	33
11.	Student Status and Residence Requirements	35
12.	Leaves, intermissions and postponed deadlines	37
13.	LL.M. (Master in Comparative, European and International Laws)	41
14.	Master of Research In Economics (MRES-ECO)	42
15.	Doctoral Researchers on Project Funded Grants	44
16.	Visiting and Exchange Students	46
17.	Appeals Procedures	49
18.	Previous Amendments to the Academic Rules & Regulations	52

Chapter 1. Introduction

This set of rules is based on a combination of decisions taken over the years since 1972, the year in which the EUI was established through an agreement of the Contracting States of the Institute, the [Convention setting up a European University Institute](#), recognizing three authorities for governing the Institute: 1. The High Council, 2. The Principal, 3. The Academic Council. It is the Academic Council which has been empowered with regulating the Institute's academic life, including research, teaching, the admission of candidates and ultimately the award of the research student's degree.

The Academic Council is assisted in its tasks by several committees, amongst which are the Executive Committee, the Doctoral Programme Committee, the Ethics Committee and – the most relevant in terms of the application of these rules and regulations – the Entrance Board.

Prior to 1993, the Institute's academic regulations existed in the form of separate Academic Council decisions. These were collected and published for the first time in a booklet known as "Extract of Academic Rules and Regulations for Research Students" in August 1990. In 1993, the collection of Academic Council decisions was simplified and summarised by one single decision of Academic Council (1/93, 21 April 1993): *On the academic rules and regulations for research students*, and in 1998 revised further, becoming the *"Academic Rules and Regulations for the Doctoral Programme"* (1/98, 11 December 1998). This decision of 1998, and the form in which the rules were then set out, is the basis for the current set of rules. This newly revised set of rules and regulations aims to sum up clearly and simplify as much as possible all past academic decisions.

A list of *all* decisions of Academic Council may be consulted in the EUI [Codex](#).

While this set of rules and regulations centres on all academic aspects of admission, programmes, progress and graduation, reference must also be made to separate (but linked) institutional codes and regulations that will affect the life of research students at the Institute, notably:

- [The Disciplinary Regulations](#)
- [Policy on Harassment Prevention](#)
- [Code of Ethics in Academic Research](#)
- [Code of Practice: Doctoral Supervision at the EUI](#)

Candidates admitted to the EUI are required to familiarise themselves with the above-mentioned policies and to take particular note of the two Codes of Practice in academic research and doctoral supervision. The researcher's registration at the EUI signifies that s/he has accepted the conditions and guidelines set out in the policies and that s/he commits her/himself to respecting all aspects of research throughout the programme on which s/he has registered. To further inform researchers on aspects of research such as academic responsibility and integrity, the EUI will from time to time provide courses or workshops on research ethics.

Chapter 2. Definitions

Academic Collaborator	Holder of a 3-month, part-time employment contract with the EUI (equivalent to 25% working time – formally stated as 7/30).
Academic Council	One of the bodies governing the EUI. Responsible for the organization of academic life at the Institute and setting academic rules and regulations.
Academic Service	Central administrative unit, under the responsibility of the Director of Academic Service, dealing with matters of administration for researchers.
Academic Year	The Institute's academic year is from 1 September to 31 August of the following year
Admissions Committee	See Entrance Board
Budget Committee	The Budget and Finance Committee of the EUI advises the High Council on all matters of finance. Made up of representatives of the governments of States party to the Convention, it meets twice per year at the Institute.
Candidate	Applicant to one of the Institute's postgraduate programmes. The term may also be applied to a researcher approaching defence of her/his thesis, as described in Chapter 9.
Co-supervisor	A senior academic who serves as second advisor for a dissertation alongside the main supervisor. Co-supervisors for EUI dissertations may be either other EUI faculty members or external to the EUI.
Dean of Graduate Studies	The Dean of Graduate Studies is in charge of steering and coordinating the structured doctoral programme at the EUI. The Dean chairs the Entrance Board and the Doctoral Programme Committee (DPC). He/she also participates in the Executive Committee.
Defence	Discussion of the doctoral thesis before the Examining Board.
Department	The EUI is divided into four academic departments devoted to the following disciplines: Economics, History and Civilisation, Law, Political and Social Sciences.
Director of Studies	Professor appointed by each of the four departments to look after all matters related to the

	course/programme of study, including supervision, seminar attendance, admission to successive years, fulfillment of yearly departmental requirements. Also referred to as Director of Graduate Studies.
Doctoral Programme	Four-year postgraduate programme, as fully described in Chapters 5, 6, 7 and 8.
Doctoral Programme Committee	Sub-committee of Academic Council chaired by the Dean of Graduate Studies, made up of the Dean of Graduate Studies, the four departmental Directors of Graduate Studies and five researcher representatives responsible for the organization of the Institute's doctoral programme, including evaluation of pedagogical and supervision assessments.
Doctorate	Academic degree awarded in the four departmental disciplines as per the terms of Chapter 9. Also referred to as Ph.D.
Entrance Board	Sub-committee of the Academic Council, the tasks, composition and procedures of which are described in Chapter 3. Also referred to more informally as the "Admissions Committee".
Examining Board	The committee of four members that examines a doctoral candidate and decides on the award of the EUI doctorate, as defined in Chapter 9. It is sometimes referred to as the Thesis Jury (or, as in the Convention, the Graduation Board).
Exchange Student	A non-degree-seeking student/researcher registering at the EUI in accordance with a joint EUI-partner institution agreement. See Chapter 16 on "Visiting and Exchange Students".
Executive Committee	Sub-committee of the Academic Council dealing with the day-to-day management of the Institute. It prepares documents for Academic Council and, for example, approves the composition of Examining Boards.
Final draft (of the thesis)	The final draft is the text that the researcher submits to the supervisor with the intention of defending the thesis before an examining board, and that the supervisor has accepted as such.

Fourth-year Grant	A grant or a stipend awarded by the EUI (or in some cases by a national grant-awarding authority) to researchers in the final year of the doctoral programme to assist them with the completion of their thesis. See Chapter 7 (article 7.4) and Chapter 8.
Graduate Programme Appeals Committee	Committee appointed at the beginning of each calendar year to examine appeals submitted by EUI researchers as regards departmental recommendations or decisions of the Entrance Board that may affect them personally. For Appeals Procedures, refer to Chapter 17.
High Council	The High Council is made up of representatives from the Contracting States to the Institute's Convention and is responsible for the main guidance of the EUI. It draws up the rules governing its activities. It adopts the budget and appoints the President and the Secretary General. The Research Council, the Budget and Finance Committee and the Grants Committee have been set up by the High Council to assist it in decision-making.
Intermission	Intermission is a break in the study programme with a temporary suspension of student status. In principle intermissions also imply the temporary suspension of the researcher's grant or stipend and postponement of academic deadlines corresponding to the duration of the period of intermission. Refer to Chapter 12.
Interview	The interview of a candidate is part of the selection process for recruiting candidates to one of the EUI graduate programmes. Refer to Chapter 4.
Leave of Absence	A temporary leave from the programme granted to a researcher by the department (and by the Entrance Board when the absence is more than one month). The researcher maintains her/his grant or stipend and student status in such a case. Leaves of absence are allowed for research missions and student exchanges, and also on medical grounds. Refer to Chapter 12.
LL.M.	Master in Comparative, European and International Laws. The LL.M. is a one-year Master's programme. Refer to Chapter 13.
Master of Research Programmes	One-year postgraduate Master of Research programmes. LL.M Master in Comparative, European and International Laws (LL.M) in the Department of Law. Refer to Chapter 13 and MRES Master of Research in Economics. Refer to Chapter 14.

Parental Leave	Researchers may intermit their studies on the grounds of parenthood imminently before and after the birth of their child. Refer to Chapter 12 and the articles on Intermissions.
Ph.D.	See "Doctorate"
Principal	The President of the EUI. Formally, in the Institute's Convention (in the English version), the President is referred to as the Principal.
Progress	The term refers to academic progress of researchers from one year to the next.
Research Assistant	An assistant to a research project being conducted within the framework of the Institute. Refer to article 12.5.
Researcher	Researcher is the term used to define a research student registered on one of the Institute's postgraduate academic programmes (LLM or Doctoral programme).
Researcher on a Project Funded Grant	A PhD researcher funded by a grant from a research project for 48 months. Refer to Chapter 15
Researcher Representative	A researcher representative, often simply referred to as 'rep', is one the official representatives of the researchers at the European University Institute. There are 16 reps in total, 4 per department, elected annually by the researchers. The responsibility of the reps is to further the academic, welfare and social interests of all the researchers as a whole. Refer to researcher reps webpage .
Residence Requirements	The obligation for researchers to reside in Florence or immediate surroundings during their studies. Refer to Chapter 11.
Selection	The selection of researchers from candidates for the EUI postgraduate programmes. Refer to Chapter 4.
Short-listing Committee	Short-listing committees are the committees set up by the individual departments to screen candidates' application files and to draw up preliminary short-lists of candidates to be invited for interview. Refer to Chapter 4.
Small Jobs	Small jobs that researchers may take up in the Institute during the academic year and are paid on an hourly basis, are subject to a maximum number of hours as defined by the Italian legislation. They may be carried out by all categories of researchers from first to fifth year, without suspension of the

	researcher's grant or student status. Refer to Chapter 12.5
Student Status	This status is granted to all researchers who have registered on one of the EUI degree programmes, from the time they join the Institute until the end of that programme. Those with student status may participate in all activities of the EUI and benefit from all Institute facilities provided to researchers. Refer to Chapter 11.
Submission	Formal submission to the department of written work in the form of papers, chapters of thesis, parts of thesis, and final draft of thesis. In order to qualify as formal submission, such work must be accepted by the supervisor or department as fulfilling the respective requirements.
Supervision	The process of supervising by an Institute professor or by an external co-supervisor as described in Chapter 10 and in the <u>Code of Practice: Doctoral Supervision at the EUI</u>
Supervisor	A professor of the EUI who advises a supervisee and who is responsible for monitoring progress of the researcher, for promoting his or her professional career and for collaborating with the department in administrative decisions concerning the researcher.
Thesis	The dissertation, or thesis, is the written work submitted by a EUI researcher with a view to obtaining the Institute's doctorate (or LL.M. or MRES in Economics) Refer to Chapter 9 (Doctoral Thesis); Chapter 13 (LL.M.) and Chapter 14 (MRES-ECO)
Third-year requirements	Third-year researchers are generally required to complete written work amounting to two-thirds of the doctoral thesis in order to be admitted to the fourth year of the doctoral programme with a completion grant. Refer to Chapter 7.
Visiting Student	The status of Visiting Student may be given by the Institute to a postgraduate student registered in a similar postgraduate programme at another university or institute, when s/he wishes to visit the EUI for a short period of time in order to pursue her/his research. Refer to Chapter 16 – "Visiting and Exchange Students".

Chapter 3. The Entrance Board

3.1 Tasks of the Entrance Board

The Entrance Board decides on the following:

- admission of researchers to all EUI degree programmes,
- passage to the second year,
- passage to the third year,
- passage to the fourth year with grant,
- all aspects regarding the status of researchers, including intermissions, leaves of absence, withdrawal from the programme, extensions to student status.

It will decide on the basis of recommendations submitted to it by the individual departments in full respect of the Institute's rules and regulations.

The Entrance Board may, through the Doctoral Programme Committee, propose to Academic Council that existing rules and regulations be amended.

3.2 Appointment and Composition

At the beginning of each calendar year, the Academic Council will appoint the following members to the Entrance Board: one per department (usually the Director of Graduate Studies), plus one researcher representative. The Committee is chaired by the Dean of Graduate Studies, with voice but no vote. The Director of Academic Service is present, acting as advisor to the committee, with voice but no vote. The Academic Service acts as secretariat for the Board.

3.3 Meetings

At the end of each academic year the Entrance Board proposes a schedule of meetings for the following academic year. If decision-making so requires, additional meetings may be arranged.

3.4 Decision-making procedures

In matters concerning student status and progression of the researcher from one year to the next, the Entrance Board always acts upon the recommendation of the researcher's department. This is to be submitted to the committee in writing and the researcher must also be notified in writing by the department of that recommendation.

3.5 Appeals

Researchers can appeal against the recommendation of the department and/or against a decision taken by the Entrance Board on non-academic grounds to the Graduate Programme Appeals Committee (for all details regarding appeals procedures, see Chapter 17).

Chapter 4. Application, Selection and Admission for the Doctoral and LL.M. Programmes

The success of the postgraduate programme depends on the quality of the selected candidates. They form the basic input and define the limits of the potential results of the programme. The transparency of the recruitment criteria at the outset is a crucial element in successful selection.

In order to render the selection procedure properly fair and competitive, and the application of the selection criteria thoroughly transparent, normally all admissions to the programme should be made once a year during the annual spring campaign.

Exceptionally due to a force majeure requiring provision for researcher-at-risk funding, different admission procedures can be arranged.

4.1 Publicity

A wide array of information material is made available by the Institute in collaboration with the national grant-awarding authorities. Besides hard copy material, all information, including the conditions for the award of grants/stipends and minimum degree requirements for admission according to nationality, is available on the [Institute's web site](#).

4.2 Application date and timing of the selection procedure

Applications must be submitted to the EUI Academic Service by 31 January. The application files are distributed to EUI departments before 8th February. The short-listing/national committees meet in Florence in the last week of February and the first week of March. Account taken of the Easter holiday closure, interviews of short-listed candidates are held in Florence in late March or early April. The Entrance Board takes the final decision on the admission of selected candidates in mid-April.

4.3 Eligibility

In principle, candidates are eligible to apply for a Master's programme if they have obtained a Bachelor's degree or equivalent and for the doctoral programme if they have obtained a Master's degree before registration. Refer to the [national admission requirements](#) listed on the EUI web page.

Candidates should also be fully aware that the criteria for eligibility for grants are determined by national grant authorities. These criteria are set out under [Grant Information for PhD Candidates](#) on the EUI website.

Candidates who are already registered in, and funded by, a doctoral programme may apply to the Institute's Doctoral Programme, in which case the following conditions apply:

- Candidates who are in their first year of a doctoral programme are not subject to any special conditions.
- Candidates who are registered in their second year of doctoral training may – exceptionally – be recruited, subject to the agreement of the supervisor/institution and of the funding institution.
- Candidates who are in any year after the second year of their doctoral training, and who are funded in that programme, cannot be recruited

except if they are supervisees of faculty members who have been recruited by the EUI and with agreement from their university of origin.

In all the above-mentioned cases, candidates selected for admission to the EUI may register but must interrupt the other programme of study. Under no circumstances may a researcher be registered on the EUI doctoral programme and another doctoral programme at the same time, unless a specific joint doctoral degree programme exists between the EUI and that university or institution.

4.4 The application file

At present all applications are to be submitted on-line only. The languages of the application form are restricted to the working languages of the EUI (English, French, German, Italian and Spanish).

The on-line application file is composed of:

- an application form (content and format approved and modified by the Entrance Board);

to which must be attached

- a curriculum vitae;
- degree transcripts;
- a research proposal in accordance with departmental requirements.
- Letters of reference, to be submitted to the Institute directly by the referees, preferably by the on-line reference form. (At present, 2 references for HEC, LAW and SPS departments, 3 for ECO.) A letter of reference from a current full-time or part-time EUI professor will not be accepted as part of the application, except where the application is from a researcher already registered for an EUI degree (i.e. in cases of transfer between an EUI Master's programme and the PhD programme).
- an English international language certificate:

Applicants are required to submit an English international language certificate. Applicants who are English native speakers or have a degree from a university programme taught in English and who have written a thesis in English in such a programme are exempted. The expected level of English proficiency is level C1 of the [Common European Framework of Reference \(CEFR\)](#). The EUI website on [language requirements](#) provides information on tests recognised by the EUI and test scores that are considered as equivalent to level C1. Applicants who submit a certificate with a test score below the threshold may be conditionally admitted but will have to take English language courses during their first year. Sufficient progress in English language skills will be a criterion for admission to the second year. In the Department of Economics, English language courses start at the beginning of the second year and progress will be monitored for admission from the second to the third year. Applicants may apply for exemption from the requirement to submit an English international language certificate. They have to provide reasons why they are unable to take a test. If the department grants an exemption

and the applicant is invited for interview, he or she has to take an equivalent English language test at the EUI in addition to the interview.

- Applicants to the Economics Department must submit the results of the GRE (Graduate Record Examination) test

4.5 Selection criteria

During the selection process the following elements will be examined:

- ***Academic record***

Since no uniform degree structure exists among the various countries, each short-listing committee sets its own minimum academic level for selection respecting the national requirements. These minimum levels (diplomas, grades and experience) serve as guidelines to ensure equivalence of standards amongst the new intake of students and researchers.

In general when applying to the EUI Doctoral Programme, candidates should note that they are expected to have sufficient background in theory and research methodology relevant to their discipline to be in a sound position to commence their Doctoral studies on arrival at the Institute.

- ***Potential supervision***

During the selection process the department carefully examines whether it can provide suitable supervision for the candidate, taking into account the profile of the department and distribution of supervision among its academic staff for the whole of the period concerned. Detailed provisions on the appointment of supervisors are contained in Chapter 10.

- ***Language abilities***

All candidates must have a good knowledge of English. The expected minimum level of English language proficiency is C1 of the [Common European Framework of Reference \(CEFR\)](#).

4.6 The Selection process

The selection of candidates for the Doctoral and Master's Programmes is carried out in four steps.

Step One:

Individual departments screen all candidates' application files and draw up preliminary short-lists.

At the first step the Departments prepare preliminary short-lists of candidates for interview for the consideration of the national short-listing committees. While the final responsibility for the preparation of these preliminary short-lists lies with the departmental academic staff as a whole acting in consultation with a representative of the researchers, the preparation of the overall list must be preceded by a series of specific consultations between the professor(s) concerned with a particular national short-list and a representative of the researchers.

If a professor or the researchers' representative has previously been or is currently involved with a candidate in a personal or professional capacity (as

described in article 4.8), the person involved shall absent her/himself from deliberation.

Step Two:

National short-listing committees select candidates to be invited for interviews.

At the second step, the national short-listing committees meet. These committees are composed of one representative of the academic staff of each department and one representative of the researchers, preferably from the country concerned or who is well informed about its academic life. The grant-awarding authority is invited to participate in the discussion. It has voice but no vote. The Director of Academic Service chairs the meeting. Short-listing of candidates is carried out by individual country or by group of countries. The number of short-listed candidates for interview is normally twice the number of available grants.

If a professor, representative of national grant authority or researchers' representative has previously been or is currently involved with a candidate in a personal or professional capacity (as described in article 4.8), the other participants of the selection committee should be notified. The person involved shall absent her/himself from deliberation and shall cast no vote concerning that particular candidate.

After the short-listing committee meetings, the departments may make immediate offers of admission to candidates who are deemed to be outstanding. Such immediate offers are allowed only where they respect the proper distribution of available national grants amongst the departments, the Institute's selection criteria and the regulations of the national grant authorities.

The Academic Service informs short-listed candidates that they will be called for interview as soon as possible (by e-mail) after the decisions of the national short-listing committees are known. Travel expenses and a daily allowance are paid to short-listed candidates in accordance with [Institute financial rules](#) and are published on the EUI website.

All interviews of short-listed candidates take place at the Institute. Exceptionally, where the candidate is not able to attend for interviews at the EUI (as for example in the case of ill-health, serious family circumstances or intercontinental travel), interviews may be carried out by video link or teleconference.

Step Three:

Departmental interview panels shall interview shortlisted candidates, after which the departments draw up final lists of selected candidates. These lists are then submitted to the Entrance Board for approval.

Each department shall set up interview panels, which may comprise either the academic staff as a whole, or selected members of the academic staff. A researcher representative shall be invited to be present as an observer in the committee during the interview. He or she shall have access to all written documents and shall have a right of voice but no vote in the deliberations.

The purpose of the interview is to enable the department to develop a more accurate judgement of the candidate, with regard to scholarly knowledge, research interests, and experience and language skills.

After the interview of short-listed candidates, the departments may make immediate offers of admission to candidates who are deemed to be outstanding. Again, such immediate offers are allowed only where they respect the proper distribution of available national grants amongst the departments, the Institute's selection criteria and the regulations of the national grant authorities.

English Language placement tests

Spoken and written placement tests in academic English are obligatory for all candidates, including those whose previous degree has been taught in English or who have sent an international English language certificate that meets the minimum requirements of English language proficiency. Only native speakers of English are exempted from the English language placement tests.

Candidates to the Departments of History and Civilisation, Law and Political and Social Sciences will take an English language placement test during the interview week for PhD candidates. Candidates to the Department of Economics will be required to sit a placement test upon their admission to the second year of the doctoral programme.

The results of the English placement tests do not affect the selection process. Results are used to place admitted candidates in English academic skills courses.

Tests in other EUI working languages

Exceptionally, candidates will have to take additional language test(s) in French, German, Italian or Spanish when this is considered necessary for their dissertation project. If skills in other languages are considered necessary, candidates will be asked to submit proof of their competence in these.

Departmental list of proposed candidates

On the basis of the interviews each department shall draw up a list of proposed candidates for admission, with ranking, plus a list of valid reserve candidates, with ranking, for final decision by the Entrance Board. Exceptionally, after due consultation with a representative of the researchers and of the national grant-awarding authority, a department may propose to the Entrance Board a candidate for final selection who has not been interviewed. In this case, the department should make an explicit recommendation to the Entrance Board explaining the qualifications and qualities of the candidate(s) and specifying the reasons why he/she was not interviewed.

Step Four:

Final Selection

The Entrance Board admits proposed researchers on the basis of the lists drawn up by the departments within the limits of the grants available, taking into consideration a proper distribution of proposed researchers among

departments. The Entrance Board also draws up a reserve list in case of a proposed researcher's withdrawal.

The Academic Service shall inform each candidate of the decision of the Entrance Board. No communications are made about the final selection other than in writing (e-mail).

Selected proposed researchers shall confirm acceptance of their offer in writing as soon as possible after being informed. The date by which they must inform Academic Service (normally at the beginning of May) will be communicated to them via e-mail.

4.7 No appeals concerning admissions:

Applicants cannot appeal against a negative decision taken by the selection board, nor will any information be provided about the academic grounds underlying that decision.

4.8 Admissions in case of close relationship:

This policy does not prohibit the EUI from admitting as researchers persons who are in a close personal or professional relationship with members of the EUI community, provided that these candidates comply with the requirements outlined above. Examples of a close personal or professional relationship are: family relationships such as those between spouses or spousal equivalents, parents and children, siblings, in-laws, grandparents and grandchildren; consensual amorous and/or sexual relationships; relationships between persons whose economic interests are closely interrelated. Throughout the period of study at the EUI, there shall be no direct reporting or supervisory relationship between those concerned, nor shall they be involved in any decision relating to the other.

4.9 Confidentiality

At all stages of the selection procedure the confidentiality of the evaluation of candidates, and of documents relevant to their evaluation, must be fully respected by the professors, researchers' representatives and national grant authorities involved.

4.10 Direct admission to the second year

Exceptionally, direct admission into the second year may be proposed on the basis of academic merit upon a departmental proposal. Such researchers must meet requirements equivalent to those for admission into the second year in the respective department. They do not qualify for the degree of Master of Research (see point 5.4).

Chapter 5. The Doctoral Programme - First Year

The EUI offers a four-year Doctoral Programme in Economics, History and Civilisation, Law and Political and Social Science. The Academic Council establishes an [academic calendar](#), which specifies the start, holiday breaks and end of the seminar and teaching activities. Each department announces an outline of seminars, courses and other activities by the last week of September; detailed information is provided on the individual department's web site. Teaching activities usually take place between the end of August and July of the following year. The academic calendar defines the holiday periods. Researchers' presence is required during the period of seminar and teaching activities; exceptional absences of more than one week require written consent granted according to the rules of each department (see also article 12.1. of Chapter 12).

5.1 Registration

Registration takes place during the last week of August. The date shall be announced in the academic calendar.

September Programme:

September is devoted to intensive language courses, introductory courses (Library, Computer hardware and software and Data retrieval) and first contacts with the departments. The Economics Department starts its teaching activities at the end of August. Participation in the September programme is an integral part of the first year programme. Academic Service may grant permission for absence only after approval by the department.

Supervision

On arrival at the Institute, every researcher should already have been informed of the identity of their provisional supervisor, except for the Department of Economics, which assigns the supervisor at the beginning of the second year.

The final choice of supervisor should always be by mutual agreement between researcher, professor and Department. Agreement should be reached before the end of December.

See also Chapter 10 (Doctoral Supervision).

5.2 Structured First-year Programme

The first year is dedicated to laying the foundations for the doctoral work. Each department will establish an appropriate structured programme of taught courses and/or seminars relevant for the discipline(s). These programmes will be proposed by the departments and communicated to the Doctoral Programme Committee which looks after the co-ordination of programmes. They must be published before the start of the academic year.

During the first year the activities of each researcher in the doctoral programmes will be evaluated through presentation of research progress in seminars, exams, papers or any other form defined by the relevant department in its annual handbook. Evaluation must be in compliance with the requirements of the Structured First Year Programme.

The *general* minimum requirements of all Structured First-year Programmes comprise submission of papers and/or the successful completion of exams.

On the basis of these general requirements, each department sets its requirements, which are then published in the annual departmental guides/booklets.

All results of all academic work shall be submitted to the Entrance Board by 20 June.

5.3 Admission to second year

By 20 June, the departments will propose to the Entrance Board their recommendation on admission to the second year. The decision of the Entrance Board may be positive, deferment of the decision to September, or negative. The criterion for admission to the second year is that all the requirements of the Structured First-Year Programme have been met successfully.

The relevant departmental recommendation must be communicated in writing by the Department to the researcher not later than one week before the meeting of the Entrance Board at which the decision is taken. This communication may include a written report or any other document relevant to the recommendation.

Deferral of decision

The department may recommend deferral of any decision to September. In such a case, the department shall clearly state in its recommendation what additional work the researcher is required to carry out over the summer months. This work shall be submitted before 15 September.

The researcher's grant shall be extended until the end of the month in which the final decision concerning admission is taken by the Entrance Board.

Right of Appeal

Researchers may appeal on non-academic grounds against the recommendation of the department, where provided for in these rules and regulations (see Chapter 17).

5.4 Master of Research and LL.M.

The Entrance Board shall decide on the award of the degree of Master of Research and LL.M.

In order to qualify for the degree of Master of Research, a candidate must normally meet all the requirements of the Structured First-Year Programme. Exceptionally, a candidate may be awarded the degree of Master of Research even if that candidate has not fulfilled all the requirements for admission to the second year, provided the candidate has nevertheless met a minimal level of achievement within the Structured First-Year Programme, such a minimum to be specified by the relevant department.

The degree of LL.M. (Master of Comparative, European and International Laws) shall be awarded in accordance with the requirements specified by the Law Department and as established in Chapter 13 of these regulations and in accordance with the Structured First-Year Doctoral Programme.

Chapter 6. The Doctoral Programme – Second Year

6.1 Each department defines the content of activities (including seminar participation and presentation of the results) which will guide the researchers in their doctoral research and in drafting the first set of chapters of the thesis during the second year. The supervisor continues to closely follow the work of the researcher and monitors progress made by comparison with the original plans; the researcher's work-plan is revised where needed and adapted and resubmitted to the supervisor, and if necessary to the department. In addition to these general requirements for monitoring progress, each researcher must, after discussion with and with the agreement of the supervisor, present by the end of October of the second year a *second-year plan*, which may take the form of a revised thesis outline and a timetable of planned progress during the second year.

6.2 Progress assessment and admission to the third year.

In early June each department decides on its recommendations for admission to the third year. The general requirement for admission into the third year is the completion of written work amounting to around one quarter of the thesis. This requirement shall be in addition to other coursework and seminar presentation requirements as may be specified by each of the Departments. The recommendation of the Department to the Entrance Board on admission to the third year can be: positive, deferment of the decision to September, or negative. The Entrance Board, upon receiving the recommendation from the Department, makes the final decision on the question of admission to the third year.

The relevant departmental recommendation must be communicated in writing by the Department to the researcher not later than one week before the meeting of the Entrance Board at which the decision is taken. This communication may include a written report or any other document relevant to the recommendation.

Deferment of decision

The department may recommend deferment of the decision to September. In such a case, the department shall clearly state in its recommendation what additional work the researcher is required to carry out over the summer months. This work shall be submitted before 15 September.

The researcher's grant shall be extended until the end of the month in which the final decision concerning admission is taken by the Entrance Board.

Right of Appeal

Researchers may appeal on non-academic grounds against the recommendation of the department, where provided for in these rules and regulations (see Chapter 17).

Chapter 7. The Doctoral Programme – Third Year

7.1 Third-year progress monitoring – October report

The monitoring of research progress during the third year has several parts. First, in October, each researcher will be asked to reflect and report on research progress in a confidential report to the Dean of Graduate Studies. The deadline for the submission of these confidential reports is 20 October.

The Dean of Graduate Studies will then report to the Doctoral Programme Committee. The report shall strictly respect the anonymity of respondents. Wherever individual problems are noted an informal attempt will be made to initiate a process of mediation. The confidential reports will be destroyed at the end of the academic year.

7.2 Progress assessment and admission to the fourth year and award of the fourth-year EUI completion grant

By the end of the third year, in early June each department decides on its recommendations for admission to the fourth year and award of the fourth-year EUI completion grant for its researchers. The general requirement for admission into the fourth year and award of the EUI completion grant is the submission of written work amounting to two-thirds of the thesis. This requirement shall be in addition to other coursework and seminar presentation requirements as may be specified by each of the Departments.

7.3 Fourth-year EUI completion grant

In principle, all researchers at the end of their third year may apply for a fourth-year EUI completion grant which is payable in two 6-month instalments. The term 6-month instalment refers to the entitlement of a researcher to receive the monthly grant/stipend payment for the first and/or the second six months of registration in the fourth year. The grant is subject to conditions which link payment to thesis completion by the end of the fourth year. The first 6-month instalment of the completion grant will be paid to all researchers satisfying the third-year requirements, i.e. to all those who have successfully completed two-thirds of the thesis by the end of the third year.

Application for the fourth-year EUI completion grant:

By the end of the 33rd month of registration, (normally this will be May), researchers wishing to obtain the completion grant must apply for it by submitting a request to their department, presenting evidence that they have made the requisite progress. In cases where the requisite progress cannot be clearly demonstrated at that stage, the researcher may re-submit evidence of progress by the end of the 36th month of registration (normally this will be by 31st August).

7.4 Departmental recommendations regarding admission to fourth year and award of the EUI completion grant/stipend

Two-thirds requirement and first instalment:

Approval of the first instalment of the fourth-year grant by the Entrance Board in June will be based on a recommendation from the department. The relevant departmental recommendation must be communicated in writing by

the Department to the researcher not later than one week before the meeting of the Entrance Board at which the decision is taken. This communication may include a written report or any other document relevant to the recommendation.

The recommendation of the Department to the Entrance Board on admission to the fourth year can be: positive, deferment of the decision to September, or negative. The Entrance Board, upon receiving the recommendation from the Department, shall make the final decision on the question of admission to the fourth year.

Positive decision

Researchers who are awarded, and then decide to take up the completion grant, will be required to sign a written commitment that they shall submit the final draft of their thesis within 48 months of registration. In this article, final draft is the text that the researcher submits to the supervisor with the intention of defending the thesis before an examining board and that has been accepted as such by the supervisor.

Deferral of decision

The department may recommend deferral of the decision to September. In such a case, the department shall clearly state in its recommendation what additional work the researcher is required to carry out over the summer months. This work shall be submitted before 31st August.

The researcher's grant/stipend shall be extended until the end of the month in which the final decision concerning admission is taken by Entrance Board. For example, where the department recommends postponement of the decision to September, the researcher's grant will be paid until the end of September.

Negative decision

Where a negative decision is approved in June, the researcher is not entitled to any part of the first instalment of the grant but she/he will nevertheless maintain researcher status during the fourth year and may still qualify for the full second instalment of the grant (6 months) by satisfying the end-of-fourth-year requirement of submitting the final draft that is, the text that the researcher submits to the supervisor with the intention of defending the thesis before an examining board, and that the supervisor has accepted as such. (See also Chapter 8).

Where a negative decision is approved in September, the researcher is entitled to keep the grant she/he has received for September but no other part of the first instalment. She/he maintains fourth-year researcher status and may still qualify for the full second instalment of the grant (6 months) by satisfying the end-of-fourth-year requirement of submitting the final draft, that is, the text that the researcher submits to the supervisor with the intention of defending the thesis before an examining board, and that the supervisor has accepted as such.

Right of Appeal

Researchers may appeal on non-academic grounds against the recommendation of the department, where provided for in these rules and regulations (see Chapter 17).

7.5 Completion Grant in case of Intermission

The Entrance Board will normally take its decision on the award of the first instalment of the grant in June and, in the second instance, in September. This schedule may vary where a researcher has previously had an intermission.

Researchers who have had an intermission must in any case write to their department in the month of May preceding their fourth year informing the department of their intentions for taking up the fourth-year grant.

Chapter 8. The Doctoral Programme - Fourth Year

8.1 Completion and Commitment

The fourth year is, for all researchers, dedicated to the completion of the thesis. The aim is to submit to the supervisor the final draft of the thesis, *i.e.* the text that the researcher submits with the intention of defending the thesis before an examining board, and that the supervisor has accepted as such. The final draft should be submitted within 48 months of initial registration.

8.2 The award of the second instalment of the completion grant

The second instalment of the completion grant, which is for six months,¹ is payable once the supervisor and the researcher have agreed towards the end of the first instalment of the grant (*i.e.* between the 41st and 42nd month of registration – normally between the end of January and end of February) that a final draft of the thesis will be completed and submitted by the 48th month of registration. To this end, the supervisor and researcher will certify to the department and Entrance Board that the thesis is on track for completion by the end of the fourth year of registration. This will normally be carried out by mid-February. The department will inform the Academic Service in good time for the second instalment of the grant to be paid out, thus ensuring that there is no interruption in the researcher's grant payments.

If by mid-year it is impossible to certify that the thesis is on track for completion by the end of the fourth year, such certification may be postponed to a later stage. As long as the certification occurs within the fourth year (*i.e.* within 48 months), the second instalment will be awarded. Of course, payment of the grant will be delayed in such a case.

Eligibility for the second instalment of the grant ceases after 48 months of registration.

In cases where the supervisor and researcher cannot reach agreement on a joint certification to the department and Entrance Board within this period of 48 months, the department shall appoint a second reader. If the original decision is confirmed, the researcher loses the right to the second instalment of the grant but is entitled to appeal on non-academic grounds.

For the right to appeal, see Chapter 17.

8.3 Defence during the fourth year and completion grant

The purpose of the second instalment is to supply researchers with continuing financial support while preparing the final version of the thesis and making arrangements for the defence. Even where the defence takes place within the four-year period, the researcher will continue to qualify for the remainder of the fourth-year grant in order to facilitate the transition from researcher to employment status (but payment of the grant will be discontinued from the date the researcher takes up full-time employment).

¹ The second six-month instalment refers to the entitlement of a researcher to receive the monthly grant payment for the second six months of registration in the fourth year.

8.4 Assessment of the final draft:

After receiving a final draft from the researcher, the supervisor or any co-supervisor shall notify the department within a month whether the thesis:

- can be sent to the Examining Board as submitted
- needs to be revised before submission
- needs minor or major language corrections

If the supervisor or any co-supervisor state that the draft submitted is not complete or should be rejected, the researcher will retain the right to resubmit a complete and/or revised version until the end of their fifth year of registration (see also Art. 9.6 and 9.11).

8.5. No leave of absence without grant during fourth year:

For researchers in receipt of the completion grant, the residence requirements as stipulated in Chapter 11 also apply fully throughout the fourth year. No leave of absence without grant (with suspension of registration period and retention of grant entitlement) will be granted during the period of entitlement to and receipt of the fourth-year completion grant, except where the leave does not impede in any way the submission of the final draft of the thesis within 48 months of registration.

Chapter 9. Award of the Doctorate

9.1 The Doctoral (Ph.D.) Thesis

The doctoral dissertation, or thesis, should be a work of independent research. It should reveal the ability to formulate a problem or research question, analyse and interpret information, demonstrate knowledge of the literature relating to the subject, describe the methods and procedures used, report the results, and display the researcher's ability to discuss fully and coherently the meaning of the outcome of his/her research.

In order to allow for disciplinary diversity, each department is invited to formulate standards and requirements as to how the scholarly work is to be conducted in their discipline, and how this should be reflected in the dissertation and format, with a maximum limit for the number of words. These requirements shall be published by each department and communicated to each new researcher and staff member of the department.

9.2 The work mentioned under 9.1 shall consist of a thesis which will contain the researcher's own account of her/his investigations. This must not previously have been published in full.

Should part of the thesis be based on work already published by the researcher (or jointly with others) before defence, this fact shall be referred to in the thesis manuscript. In this case, the work may be included only if it forms an integral part of the thesis and so makes a relevant contribution to its main theme and is in the same format as the rest of the thesis. The part played by the candidate in any work done jointly with the supervisor(s) and/or fellow researchers must be clearly stated by the researcher and certified by the supervisor.

Alternatively, a series of papers, with an introduction, critical discussion and conclusion, may be submitted instead of a conventional thesis provided that such a format is permitted by the guidelines issued by the researcher's department and that the thesis conforms to those guidelines. A thesis that contains only joint papers is not acceptable. Also, the linking material must be solely the work of the researcher. The part played by the candidate in any work done jointly with the supervisor(s) and/or fellow researchers must be clearly stated by the researcher and certified by the supervisor.

At all stages of its production, the thesis shall remain the intellectual property of the researcher, without prejudice to the provisions of point 9.13.

9.3 Conferral of the Doctorate

In accordance with Convention Article 14 (1), the Doctorate of the European University Institute may be conferred on researchers who have completed a minimum of two years' study at the Institute and have submitted a work of independent research as mentioned under 9.1 which is the result of research they have pursued at the Institute and has been approved by the Institute.

It shall be awarded in the following forms:

- Doctor of History and Civilization of the European University Institute;
- Doctor of Economics of the European University Institute;

- Doctor of Laws of the European University Institute;
- Doctor of Political and Social Science of the European University Institute.

For use in Member States, the title of Doctor of the European University Institute shall be abbreviated in accordance with the usage in the country concerned for the discipline in question.

9.4 Submission of Thesis

The researcher shall submit the thesis (including a 300-word summary) by depositing it with the departmental assistant.

The submitted thesis shall be submitted together with an originality report produced by an anti-plagiarism software application. The supervisor (and co-supervisor if there is any) shall receive an originality report on the whole text of the thesis and shall take this report into account in the evaluation on the submission. An originality report is not to be considered as sufficient proof that the submitted thesis does not contain plagiarised text. Avoiding plagiarism and other forms of academic misconduct in the authorship of the thesis remains the sole responsibility of the researcher. If the supervisor (or co-supervisor) suspects plagiarism, he or she may ask for an investigation. Academic misconduct, procedures for investigation and sanctions are described in sections II and III of the [Code of Ethics in Academic Research](#).

9.5 Examination Board Reports and Scheduling of Defence

When the thesis supervisor concludes that the doctoral work and thesis progress justifies the establishment of an Examining Board, he/she shall, after consulting the researcher and any co-supervisor, propose the composition of the Examining Board to the Department. The researcher may bring observations on the composition of the Examining Board to the attention of the supervisor and Department. The Executive Committee decides on establishing the Examining Board on recommendation by the Department.

When a researcher submits a full draft of the thesis, the supervisor and any co-supervisor shall inform the researcher within a month whether they accept it as ready for defence.

If the supervisor and any co-supervisor conclude that the thesis needs further revisions before it can be sent to the Examining Board, they shall agree on a date for resubmission with the researcher. If major revisions are requested, this date shall not be later than six months after the initial submission to the supervisor, except when serious personal circumstances impede carrying out this work – in this case a reasoned request for extension of the six-month limit for revisions shall be submitted to the supervisor and department and be decided by the Dean of Graduate Studies. The date when the supervisor and any co-supervisor have accepted the thesis as ready for defence shall count as the thesis submission date.

After the submission date, the Department shall send the manuscript without further delay to the other members of the Examining Board. Each member of the Examining Board, including supervisor and any co-supervisor shall independently draft a report and send it to the Department within no more than two months after receiving the manuscript. These reports shall state whether the thesis is considered defensible as submitted, or which changes would be needed to make it suitable for defence. The members of the

Examining Board and the researcher will not receive each other's reports before all reports have been submitted. When all reports have been submitted, the Department shall forward them to the researcher. If all members of the Examining Board conclude that the thesis can be defended as submitted, the Department shall prepare the final printed version of the dissertation in collaboration with the researcher and schedule the defence as soon as possible. Before the defence, the printed thesis shall be displayed in the EUI library for two weeks.

The Department shall schedule the defence no later than nine months after the delivery of the jury reports, except where an extension for resubmission has been granted to the researcher or where unforeseen delays have occurred due to the late delivery of the reports or the unavailability of members of the Examining Board. The Department shall in such cases make a reasoned request for extension of the nine-month limit for scheduling the defence to the Dean of Graduate Studies.

9.6 Revisions of the Thesis

9.6.1 Revisions of a Full Draft before Submission

If the supervisor or any co-supervisor request major revisions before submission, the researcher can express in writing her or his desire to defend the thesis against the judgment of the supervisor or co-supervisor. The date when the researcher sends this statement will count as the submission date and the thesis will be sent to the Examining Board. The members of the Examining Board will be notified that the supervisor or any co-supervisor have not accepted the present version as ready for defence but will not be informed about the content of the report/s.

If the researcher has accepted to carry out major revisions but the supervisor or any co-supervisor conclude that the thesis is not ready for defence and no extenuating personal or professional circumstances that might have prevented the researcher from carrying out the revisions have been approved and the researcher still wants to defend, the thesis will be sent to the Examining Board as resubmitted. The members of the Examining Board will be notified that the supervisor or any co-supervisor have not accepted the present version as ready for defence but will not be informed about the content of the report/s.

If the supervisor or any co-supervisor conclude that a full draft of a thesis submitted to them needs major revisions that cannot be completed before the end of the fifth year of registration and the researcher still wants to defend, the thesis will be sent to the Examining Board at the end of the fifth year of registration as then submitted by the researcher. The members of the Examining Board will be notified that the supervisor or any co-supervisor have not accepted the present version as ready for defence but will not be informed about the content of the report/s.

9.6.2 Revisions after Submission

If the report of any of the members of the Examining Board concludes that the thesis needs to be further revised before defence, the researcher shall carry out such revisions as soon as possible after receiving the reports and

shall explain in a letter to the Examining Board in detail which changes have been made.

If major revisions are requested by one or several members of the Examining Board, the researcher shall carry these out and report on the changes made within no more than six months after receiving the reports except when serious extenuating personal or professional circumstances impede carrying out this work – in this case a reasoned request for extension of the six-month limit for revisions shall be submitted to supervisor and Department and be decided by the Dean of Graduate Studies.

The six-month limit for major revisions does not affect the nine months limit for scheduling the defence. If an extension of the six-month limit has been granted, the department may request an equivalent extension of the nine-month limit for scheduling the defence in accordance with the fifth paragraph of Art. 9.5.

If major revisions had been requested, the members of the Examining Board shall be asked after resubmission whether the defence can go forward. If the majority of the voting members of the Examining Board (not counting the supervisor and, where applicable, co-supervisor) agree that the resubmitted thesis can be defended, the further schedule for the defence shall apply as laid out in art. 9.5 above. If the majority of the voting members express in writing the view that the thesis cannot be defended as resubmitted, the researcher will no longer be able to defend his/her thesis at the EUI.

9.7 Examining Board

The thesis shall be defended before the Examining Board. The candidate's thesis supervisor shall be a member with voice but no vote. The co-supervisor, if any, may also be appointed as a member of the Examining Board.

In addition to the supervisor, the Examining Board shall include one current full-time Institute professor and two academics from outside the Institute.

Hence, the Board is normally made up of two internal members and two external members. The four members should not all be nationals of the same state or be currently employed in the same state.

Internal Members

Internal members are deemed to include (i) current full-time professors of the EUI, (ii) former full-time professors of the EUI, provided their permanent contract has overlapped with the period in which the candidate was in receipt of grant to the extent of at least six months (iii) current or former part-time professors of the EUI, provided that their period of contract (which need not be consecutive) has overlapped with the period in which the candidate was in receipt of grant to the extent of at least six months.

External members

External members cannot include persons who are eligible to act as internal members as set out above. Former full-time or part-time professors are eligible as external members provided (i) they are not eligible as internal members, and (ii) their most recent contract ended at least three years prior to the date on which the jury is scheduled to meet. If appointed to the

Examining Board, an external co-supervisor shall be treated as an external member. At least one of the external members must be a current University professor. No more than one external member may be appointed from the same institution. All external members must be of high academic standing in the area with which the thesis is concerned.

No more than two internal members may be appointed to the Examining Board. In exceptional circumstances, three external members and only one internal member, namely the supervisor, may be appointed. This is permissible only where the spread of expertise necessary for the satisfactory examination of a thesis cannot otherwise be provided.

9.8 Presence of Members of the Examining Board

Under normal circumstances, the candidate and all four members of the Examining Board are required to be present at the public thesis defence at the EUI. The absence of members is not condoned except in cases of force majeure. In such cases, the minimum required presence is one external and one internal member.

9.9 Public Defence

The thesis defence shall be public. It shall be given appropriate publicity at least two weeks before the date set. The candidate's thesis manuscript, deposited in two copies in the Institute's Library, may be freely consulted during this period by any member of the Institute.

9.10 Procedures of the Examining Board

Before the defence, the Examining Board shall choose its own chair by consensus. The thesis supervisor or co-supervisor (where applicable) is precluded from being chair and has no vote.

It shall take its decisions by majority of voting members participating. The Chair has a casting vote.

The defence shall last a maximum of two hours, and include:

- presentation of the thesis by the candidate lasting approximately 20 minutes;
- comments and questions by members of the Examining Board, which must be confined to the candidate's research topic;
- a general discussion, in which all those attending the defence may participate unless otherwise decided by the chair.

9.11 Deliberation

Following the defence, the Examining Board shall deliberate *in camera*. It shall decide on the basis of the thesis submitted to it and the way the candidate has defended it.

The chair of the Examining Board shall compile a reasoned report on the thesis and its defence. The chair may delegate this task to another member of the Examining Board. If the report is not drafted and agreed during the deliberation, it shall be adopted within no more than three months after the defence.

Where the reports by the members of the Examining Board are favourable, the Examining Board shall take one of the following decisions:

- immediate unconditional acceptance
- postponed conditional acceptance

Where in accordance with the regulations of Art. 9.6 the thesis has not been accepted as ready for defence by the supervisor and any co-supervisor or where one or more Examining Board members have expressed a negative opinion in their reports, the Examining Board shall take one of the following decisions:

- immediate unconditional acceptance
- postponed conditional acceptance
- rejection.

In the case of postponed conditional acceptance, the Examining Board shall indicate to the candidate the points where changes should be made. The revised thesis should be resubmitted within 6 months of the date of receiving the reasoned report. The Examining Board shall appoint one of their own to whom the changes will be submitted for approval. This member shall attest in writing that the changes have met with his or her approval. The date of conferment of the Doctorate shall be the date of this attestation.

9.12 Grading

The Doctorate of the European University Institute is ungraded, and this fact shall be clearly stated on the degree certificate issued to the person concerned.

9.13 Publication of Thesis

In accordance with Convention Article 14 (1), theses approved by an Examining Board must be published.

Theses can be published on paper or in electronic format with an external publisher or in the open access electronic EUI repository. In the latter case, the copyright remains with the author. If the author decides not to agree to publication of the thesis in the EUI repository but fails to publish it with an external publisher within four years after the defence or has no firm indication of proximate publication, the EUI will automatically acquire the right to publish thesis in the EUI repository. These conditions shall be accepted by the author of the thesis in a signed agreement.

The version of the Thesis published in the EUI repository shall be the final accepted version. If minor corrections are requested by the Examining Board, the author shall carry these out immediately and shall submit the final corrected version to the department in which the thesis was supervised, together with a report on the corrections, within one month after the defence. In case of postponed conditional acceptance of the thesis and approval of revisions after the defence according to Art. 9.11, the author shall submit the final approved version of the dissertation to the department within one month after approval.

9.14 Co-operation with other Institutions

The Doctorate of the European University Institute may be prepared in cooperation with another university institution. In such cases, one member of that institution shall be appointed external co-supervisor. The cooperation shall be mentioned on the degree certificate issued to the candidate.

At the start of the third year the researcher shall sign a statement committing herself / himself to defend the thesis at the EUI. Allocation of the 3rd and 4th year of funding is conditional upon the signing of the above statement.

The defence shall take place at the EUI, unless a derogation is granted by the President with the consent of the Executive Committee.

9.15 Revoking the Doctorate.

9.15.1 When, after the award of the doctorate, allegations of academic misconduct are brought forward, the Academic Council shall be empowered, after a process of due investigation, of the framework which is outlined below, to revoke the Doctorate of the European University Institute.

9.15.2 **Academic misconduct.** Academic misconduct is defined extensively in the EUI Code of Ethics in Academic Research that regulates also sanctions for academic misconduct in work carried out or submitted by doctoral researchers before the defence of their thesis. Academic misconduct in dissertations defended at the EUI includes in particular, but is not limited to, the following offences:

Plagiarism: The deliberate copying of ideas, text, data or other work (or any combination thereof) without due permission and acknowledgement.

Piracy: The deliberate exploitation of ideas from others without proper acknowledgement

Abuse of Intellectual Property Rights: Failure to observe legal norms regarding copyright and the moral rights of authors.

Abuse of Research Resources: Failure to observe the terms and conditions of institutionally licensed research resources.

Defamation: Failure to observe relevant legal norms governing libel and slander.

Misinterpretation: The deliberate attempt to represent falsely or unfairly the ideas or work of others, whether or not for personal gain or enhancement.

Personation: The situation where someone other than the person who has submitted any academic work has prepared (parts of) the work;

Fabrication and Fraud: The falsification or invention of qualifications, data, information or citations in any formal academic exercise.

9.15.3 **Allegations.** Allegations of academic misconduct concerning a doctorate awarded by the EUI should be presented to the Principal who may delegate the task of preliminary investigation to the Dean of Graduate Studies. The EUI is committed to ensuring that any

allegation is investigated fully, thoroughly and quickly. The EUI also recognises that it has to protect its doctors from mischievous, frivolous and malicious allegations, and from allegations which are without substance. Before any allegation is formally investigated, it will therefore be subject to preliminary screening by the Dean of Graduate Studies.

- 9.15.4 **Investigation.** In cases where a preliminary screening leads to the conclusion that a full investigation is needed, the Principal shall appoint -- after consulting of the Department where the doctorate has been supervised -- two external expert academic scholars to conduct the investigation. Those asked to undertake such an investigation are under the obligation to ensure that their enquiries are sufficiently full as to allow them to reach well-founded conclusions on the matters they are considering, and that they pursue the investigation disinterestedly.
- 9.15.5 **Natural Justice.** The investigation shall be carried out in accordance with the principle of natural justice, which shall be taken to mean that any person against whom an allegation of misconduct in obtaining the doctorate is investigated, as described under 9.15.3, shall be given full details of the allegation, in writing, and shall be afforded every reasonable opportunity to respond to the allegation(s) and to produce evidence in his or her defence.
- 9.15.6 **Confidentiality.** So far as is reasonably practicable, the investigation under 9.15.3. shall be carried out in accordance with the principle of confidentiality so as to protect the interests of all parties involved.
- 9.15.7 **Reporting.** The results of the investigation shall be reported to the Ethics Committee of the EUI. The Ethics Committee will ask the members of the Examining Board that awarded the doctorate for their comments, either individually and/or collectively and will set up a hearing of the doctor involved.
- 9.15.8 **Hearing.** At this hearing the Ethics Committee has the opportunity to interview the doctor involved and others whose views the Committee wishes to hear. The doctor involved has the opportunity to defend his or her case and in doing so may seek advice and assistance from any person of her or his choosing, and may be accompanied by that person at the hearing. Legal representation is permitted.
- 9.15.9 **Recommendation.** Upon conclusion of the hearing, the Ethics Committee shall decide whether to recommend to Academic Council that the doctorate should be revoked. Such a decision shall be taken either unanimously or by majority. In case of a deviating minority view and vote, a full account of the differences between the majority and minority will be given to Academic Council.
- 9.15.10 **Decision.** The Academic Council shall discuss the recommendation of the Ethics Committee in restricted session. The decision to revoke the doctorate requires the support of a two-thirds majority of the Academic Council members of the Institute that are present and entitled to vote.

9.16. Attendance Certificate

In accordance with Article 14 of the EUI Convention, each researcher who has been registered at the EUI on one of the degree programmes is entitled to receive an Attendance Certificate. The certificate shall attest to the work carried out by the researcher whilst at the Institute, specifying seminars attended, work submitted and, where appropriate, other relevant research activities. The certificate shall be issued by the Academic Service at the researcher's request.

9.17. Conferring Ceremony

The distinctive garments that Institute doctors shall be entitled to wear at academic ceremonies shall consist of a gown and shoulder piece.

The gown, with closed, centrally slashed sleeves, shall be black.

The shoulder piece shall be worn on the left. It shall consist of a large two-coloured ribbon in the Institute's colours (dark blue and turquoise), consisting of a front part and a back part. The front part shall bear the Institute's emblem, in golden thread.

9.18. Honorary Doctorate

The Honorary Doctorate of the European University Institute may be conferred by the Academic Council on eminent persons, particularly those whose actions have been important in an area of particular interest to the development of Europe, especially its culture, history, law, economics and institutions.

It shall be conferred in the forms provided for in point 9.3.

The Academic Council shall take its decision, on a reasoned proposal from the Executive Committee, by two-thirds majority of votes.

Honorary doctors of the Institute shall enjoy the same rights and prerogatives as regular Institute Doctors.

Chapter 10. Doctoral Supervision

For a full account of the Institute-wide standards on key aspects of the supervisory relationship, see the [Code of Practice on doctoral supervision](#)

10.1 The Supervisor

The supervisor provides the intellectual and pedagogical support framework in which the researcher conducts the doctoral work, and advises the researcher in setting up a feasible doctoral project within the limits agreed by the Institute. The supervisor provides verbal or written comments and evaluates the researcher's work in a timely manner. He or she monitors progress as documented in the periodical reports supplied by the researcher.

10.2 Frequency of meetings

The researchers should communicate on a regular basis with their supervisor, in accordance with an agreed schedule and in the light of departmental requirements. During term time, meetings should take place at least once a month, and either the supervisor or the researcher should normally be able to make an appointment at short notice.

10.3 Choice of supervisor

Wherever possible, the final choice of supervisor should be made during the first term of the first year, with the exception of the Department of Economics, which decides on the researcher's supervisor at the beginning of the second year.

The department guarantees that each researcher shall have a member of the Institute's teaching staff as his or her supervisor. Normally the supervisor is a full-time member of the department. When appropriate, the department may assign, with the consent of the researcher, a part-time professor, a professor of another department, a RSCAS professor, the RSCAS Director, an STG professor, the STG Director, the Dean of Post-Doctoral Studies, or the President of the Institute as supervisor. It will always ensure that effective supervision can be guaranteed and that a co-supervisor or a professorial advisor ('liaison professor', see article 10.5) is assigned from amongst its current full-time members.

To guarantee continuity in supervision no supervisor can, in general, be assigned new research students during the last, or if the department so decides, *the last two*, contractual years at the Institute.

10.4 Appointment of co-supervisor

If necessary a co-supervisor may be appointed, who can be either another professor of the Institute or a competent senior academic from outside the Institute. If the appointment of a co-supervisor is deemed appropriate, he or she is assigned according to the regulations of each department.

10.5 Continuity of supervision after departure of the supervisor

Where the original supervisor leaves the Institute prior to the researcher completing the thesis, arrangements are made to ensure that the researcher continues to receive adequate supervision. The departing professor submits a report on the state of progress of the researcher's thesis at least four months before the termination of his/her contract with the Institute. On the

basis of this report, and after full consultation with all interested parties, the department decides on the appropriate future supervision arrangements. These may take the form of:

- the departing professor continuing as sole supervisor,
- the departing professor sharing supervisory responsibility with a co-supervisor appointed from the current full-time departmental staff, or
- the replacement of the departing professor as sole supervisor by a current full-time departmental professor.

Where the first option is chosen, an additional professorial advisor will nonetheless be appointed from the current full-time staff to provide extra assistance and guidance to the researcher and to provide effective liaison between the researcher and the department. The appointment of an additional professorial advisor or 'liaison professor' from the current full-time staff is also appropriate where the sole supervisor, although still a full-time member of staff, is expected to be absent from the Institute for an extended period. In either case, the appointment of an additional advisor is intended to ensure that the researcher retains a direct link with the current department throughout the entire period of his or her studentship.

10.6 Misgivings and Conflict

If either the supervisor or the researcher has misgivings about the supervisory relationship, or in case of conflict, they should inform the Director of Studies so that appropriate action can be taken. The head of department will substitute in cases where the supervisor is the Director of Studies.

Where any of the interested parties are of the view that a non-departmental perspective might be helpful in resolving a supervisory dispute, they may consult the Dean of Graduate Studies on a confidential basis.

If, after due consultation and discussion, the various parties concerned conclude that it would be to the benefit of the researcher to have another supervisor appointed, steps should be taken to find a suitable replacement.

10.7 Assessment of Supervision

During the third term of each academic year, a supervision assessment is organised by means of a written questionnaire respecting the anonymity of respondents. Participation in this assessment is compulsory for all researchers, and is a condition for their admission to the next year of the doctoral programme.

10.8 Communication to Academic Service by the Department

The Department communicates all changes in supervision to the Academic Service within one month of the decision.

10.9 Departmental Specificities

Each department prepares a set of specific guidelines in the spirit of the above articles, but allowing for the specificities of their discipline. These guidelines are part of a set of departmental publications a copy of which is given to each new researcher and faculty member and made available on the web.

Chapter 11. Student Status and Residence Requirements

11.1 Student Status

Student status is automatically granted to all researchers duly registered on one of the EUI degree programmes from the time they join the Institute until the end of that programme. Those with student status may participate in all activities of the Institute and benefit from all facilities provided to researchers.

All researchers are required to abide by the [EUI Disciplinary Regulations](#) and the [EUI Code of Ethics in Academic Research](#). Researchers are required to take note of these codes of conduct on research ethics.

11.2 Maximum length of Registration for the Doctoral Programme

For all doctoral programmes, student status can last up to 60 months.

Some types of absence from the Institute and/or involvement in activities other than thesis-related research do not count towards the calculation of the sixty months/five years. These exemptions fall under the categories outlined in the next Chapter (articles 12.1 to 12.5).

The **maximum overall period of intermission** (temporary suspension of student status) for which any combination is permitted is **18 months**. This excludes medical, duty of care and parental leaves and obligatory military service. (See articles 12.3 and 12.4 in Chapter 12).

11.3 Extension of student status

No extension of student status beyond the normal five-year limit, and therefore no submission of a thesis after five years, is allowed except on the basis of extenuating circumstances of a personal or a professional nature which have interfered with a record of good progress and have caused unforeseen delay. Evidence of such circumstances should be presented in a timely manner to the Entrance Board. In order that the Board may make a decision in such cases whether to grant an extension, and, if so, for what period of time, before the end of the five-year period there must be placed before the Committee:

- (i) evidence of any such extenuating circumstances,
- (ii) evidence of the current state of progress of the thesis, and
- (iii) a detailed plan for completion and submission within a specified period of time.

If a final draft has been submitted before the end of the 60th month of registration (or of an extension period) but has not been assessed by the supervisor within that period, student status will be extended until an assessment has been made.

11.4 Right to submission of thesis

The right to submit the thesis is dependent on student status, that is to say, only doctoral researchers who have duly registered may submit.

A dissertation draft submitted before the end of the 60th month of registration shall be assessed in accordance with articles 9.4, 9.5 and 9.6. If the assessment concludes that the submitted draft cannot be defended, the candidate shall be notified of this decision. The candidate has the right to

appeal against this decision on non-academic grounds (see chapter 17).

11.5 Residence requirements

Researchers must reside in Florence or its immediate surroundings.

Leaves of absence (with grant) and intermissions (without grant and with suspension of registration) are only permitted in limited circumstances, and normally not during the first year of registration. Leaves of absence and intermissions fall into different categories, and have varying consequences for the researcher.

For full details on rules regarding leaves of absence, see Chapter 12

11.6 Registration as “researcher completing a thesis”

The Institute may register as “researcher completing a thesis” any researcher who is no longer in receipt of an EUI or national grant, who has taken up employment outside the Institute, but who wishes to continue her/his research within the framework of the Institute, under the guidance of an EUI supervisor. Eligibility is restricted to researchers who have successfully completed at least two full years of the doctoral programme at the Institute and who are still within the five-year limit of the programme (i.e. within the 60 months limit of enrolment).

The decision concerning registration as “researcher completing a thesis” is taken by the Entrance Board on a proposal from the Department concerned following submission of a request by the researcher. The decision shall apply for one academic year and may be renewed.

The Institute card issued to the person involved states that she/he is a “researcher completing a thesis”. The Principal of the Institute will decide what kind of material and research facilities will be offered to persons registered as “researcher completing a thesis”, such as access to supervision, use of the Library and an IT account.

11.7 Withdrawal from the doctoral programme

Researchers who withdraw from the programme without a leave of absence (for example, in order to take up employment) may not apply for re-admission at a later stage and will not be entitled to any further grants. However, provided they have successfully completed at least two years of study at the EUI, they are entitled to submit and defend their doctoral thesis in accordance with the rules set out in this chapter.

Chapter 12. Leaves, Intermissions and Postponed Deadlines

In limited circumstances, leaves of absence and intermission of studies may be allowed although in principle not during the first year of registration.

12.1 Leave of absence with grant

Leave of absence with retention of grant can be given in the following cases:

- ***Leaves of absence for missions and student exchanges***

Leave of absence for missions and student exchanges, provided that they contribute significantly to the completion of the thesis, may be granted from the second year onwards on the following bases:

- a) research missions (less than one month): authorised by the supervisor and head of department;
- b) research missions (more than one month): proposed by the department and approved by the Entrance Board;
- c) exchange programmes: proposed by the department and approved by the Entrance Board.

Arrangements for first-year researchers may be made where explicitly required by the departmental programme.

- ***Leaves of absence on medical grounds***

Leave of absence with grant may be granted on medical grounds. A reasoned request, including a medical certificate and/or medical report where appropriate, should be addressed to the Academic Service which will seek the advice of the department and submit the request to the Entrance Board. Medical certificates should normally not be dated more than thirty days before the request for intermission is submitted. The certificate should specify the period of absence that is pertinent to the request. Medical certificates and reports shall be treated with the utmost confidentiality.

Researchers benefiting from this type of leave of absence may also request to intermit their student status for the duration of the leave, noting however that the financial arrangements for the continued payment of the grant/stipend are dependent on the terms of the individual grant authorities.

12.2 Leave of absence without grant (and without suspension of registration period)

These may be granted on the basis of an **external grant or scholarship** that allows the researcher to continue working on his/her thesis project substantially uninterrupted, thereby contributing significantly to the completion of the thesis. Unlike internships under 12.3 below, the external funding involves no significant diversion of time or effort on the part of the researcher. In these cases researchers are not entitled to suspend their registration/student status, in that deadlines for assessing researcher progress and submission of work remain unchanged.

No leaves of absence will be permitted for non-thesis-related work or career purposes (for example, where the employment in question cannot be shown to contribute significantly to the completion of the thesis).

12.3 Intermission of studies without grant, with suspension of registration period and with retention of grant entitlement

Researchers wishing to apply for a period of temporary withdrawal, namely an intermission of their studies without grant, with suspension of registration and with retention of their grant entitlement, should first consult their supervisor. If the supervisor supports the request then s/he will make a recommendation to the Department, and the Entrance Board. The final decision rests with the Entrance Board. Researchers can request to intermit their studies, suspend their registration and grant, but retain their grant entitlement in the following cases:

- ***Leave of absence for stages and internships***

Leaves of absence for stages (traineeships) and internships (for example, European Commission, Court of Justice, European Parliament, Council of Ministers, ECB, World Bank) may be granted. In order to qualify under this category, these should also contribute significantly to the completion of the thesis (for example, by providing valuable access to materials and other data relevant to the thesis). Where, however, as in the examples listed above, these involve a significant diversion of the time and effort of the researcher to the benefit of the host institution during the period of the stage itself, this is recognized in the form of suspension of the 5 year registration period and the retention of full grant eligibility on return to the EUI. Leave of absence for stages and internships are not available to researchers in their fourth or fifth years of registration.

- ***Leave of absence for compulsory military service***

In recognition of the compulsory nature of this form of interruption, suspension of the 5-year registration period and retention of full grant eligibility on return to the EUI is also permitted in such a case.

- ***Intermission on medical grounds***

Intermission may be granted on medical grounds. A reasoned request, including a medical certificate and or medical report where appropriate, should be addressed to the Academic Service which will seek the advice of the department and submit the request to the Entrance Board. Medical certificates should normally not be dated more than thirty days before the request for intermission is submitted. The certificate should specify the period of intermission that is pertinent to the request. Medical certificates and reports shall be treated with the utmost confidentiality.

- ***Intermission on the basis of duty of care***

In cases such as prolonged illness, where researchers provide full-time care of their partners, children or relatives of the first degree, intermission may be granted. Within a month of the commencement of absence, a reasoned request should be addressed to the Academic Service which will seek the advice of the department and submit the request to the Entrance Board. The privacy of researchers will be treated with the utmost confidentiality.

12.4 Intermission for parental leave / maternity leave (with or without EUI grant, with suspension of registration and with retention of grant entitlement)

Researchers may intermit their studies on grounds of parenthood imminently before and after the birth of their child. A request should be addressed to the Academic Service which will submit the request to the Entrance Board. The privacy of researchers will be treated with the utmost confidentiality.

Researchers can apply for the funding of their parental /maternity leave to either – in order of priority – the schemes of their national authorities or the EUI parental allowance scheme. The EUI parental allowance scheme applies to researchers in the first four years of registration. The financial parameters of the EUI scheme are set by the Budget Committee and the High Council.

Researchers applying for parental or maternity leave may intermit their studies for a maximum of six months.

Researchers applying for parental or maternity leave to the scheme of their national authorities can intermit their studies in accordance with the rules of their national authorities.

12.5 Intermissions related to Research Assistantships at the EUI

Within the framework of the Institute, research students normally in receipt of a national, project funded or EUI grant/stipend may take up either small jobs or research assistantships.

Small jobs, that researchers may take up in the Institute during the academic year and are paid on an hourly basis up to a maximum number of hours defined by the Italian legislation, may be carried out by all categories of researchers, including first- and second-year researchers. It should be noted that these small jobs do not fall under the category of research assistantships.

Research assistantships (as defined in the next paragraph) may be carried out by (a) researchers who are in their third year of registration, (b) fourth-year researchers who have submitted the final draft of their thesis, and (c) fourth- and fifth-year researchers who are not in receipt of an EUI grant.

More specifically, the rules concerning intermission on grounds of research assistantships are as follows.

- ***With intermission:***

- Where national grant-awarding authorities allow, researchers may be offered research assistant tasks within the Institute amounting **to more than 7/30 (25%) full-time employment** (roughly the equivalent of 5 to 6 working days per month) and entailing intermission of registration only in their third year of Ph.D. studies, *i.e.* between their 24th and 36th month of registration. More specifically, appointment to such positions involves interruption of grant/stipend and retention of full grant eligibility on return as well as suspension of the registration period.
- Research students, who have been registered for more than 36 and less than 60 months and who are not in receipt of an EUI grant, may be offered and take up research assistantships within the Institute amounting **to more than 7/30 (25%) full-time employment**. Intermission is possible, but not a requirement.

- ***Without intermission:***

- **Small jobs** that researchers may take up in the Institute during the academic year and are paid on an hourly basis up to a maximum number of hours defined by the Italian legislation, may be carried out by all categories of researchers, including first- and second-year researchers, without interruption of grant or suspension of registration. Researchers must check their departmental guide on the maximum hours they are allowed to work.
- **Academic collaboration contracts** and part-time research assistantships of **up to 7/30 (25%) full-time employment** may be carried out by researchers who have entered their third year of registration.
- On the condition that the final draft of the thesis has been submitted and has been accepted for defence, fourth-year researchers, *namely* those who have been registered for more than 36 and less than 48 months, may be offered and take up research assistant tasks within the Institute amounting **to more than 7/30 (25%) full-time employment**.

Maximum period of intermission: In the case of research assistant tasks involving interruption of grant and suspension of registration, the permission of the Entrance Board must be sought in advance. The total period of such intermission permitted to a researcher prior to the submission of his or her thesis shall not exceed **12 months**. Researchers should take into account the stipulations of articles 11.2, 12.2, 12.3 and 12.4. as regards the overall maximum period for intermissions, which is normally 18 months, excluding intermissions due to medical, duty of care and parental leaves or compulsory military service.

Prior consent of supervisor: In the case of research assistant tasks and academic collaboration contracts, prior consent of the supervisor is required before a researcher may be contracted. As to small jobs, it constitutes good practice that the researcher consults his or her supervisor before accepting a contract.

12.6 Extension of submission deadlines:

Researcher Representatives:

Extension of submission deadlines for written work by one month for researcher representatives is foreseen at the end of the second, third or fourth year, following the end of the representative's mandate.

EUI-Community Service Activities:

Extension of submission deadlines for written work by one month is foreseen for researchers who have participated in an EUI-community service activity for each full year of service. This may be applied to the academic deadlines in the first, second, third or fourth year.

Chapter 13. LL.M. (Master in Comparative, European and International Laws)

- 13.1 The LL.M. (Master in Comparative, European and International Laws) shall be conferred by the President on research students who have pursued the one-year course of the Department of Law and successfully completed a dissertation showing their capacity for high-level research.
- 13.2 The dissertation must be submitted to the Department of Law at the end of the programme year by a date to be decided by the Department.
- 13.3 The examining board for assessment of the dissertation shall be made up of the supervisor and two readers appointed by the Department.
- 13.4 The LL.M. (Master in Comparative, European and International Laws) is ungraded, and this fact shall be clearly stated on the degree certificate itself.
- 13.5 The dissertation shall remain the intellectual property of the research student.
- 13.6 The annexed specimen shall be an integral part of this decision.
- 13.7 Candidates admitted to the LL.M. programme without grant may exceptionally take up part-time research assistant tasks within the framework of externally-funded research projects awarded to EUI faculty members provided the assistantship does not exceed 15/30 (50%) full-time employment.

Appointment does not give the research student the right to temporarily suspend her/his registration on the LL.M. programme.

Prior consent of the supervisor and the department's Director of Graduate Studies is required before the LL.M. student may be appointed to the assistantship.

LL.M. research students appointed to such an assistantship are bound by contract to work on a thesis topic that is linked directly to the externally-funded research project being undertaken at the EUI. In the light of this, changes to the thesis title, or to the thesis project are allowed, but the thesis itself must be incorporated into the design of the research project and form one of its outputs.

Chapter 14. Master of Research In Economics (MRES ECO)

- 14.1** The Master of Research in Economics (Master of Economics) shall be conferred by the Principal to students who have pursued the one-year course of the Department of Economics and successfully completed all the requirements.
- 14.2** Applications for the Master of Economics programme must be submitted to the EUI Academic Service by 31 January. Later applications from self-funded candidates only may be submitted until the end of April. Complete information on the application, eligibility and degree requirements, funding and fees, selection criteria and timing of the selection procedure shall be published on the EUI Website. The EUI shall ensure the publicity for the call of applications.
- Exceptionally due to a force majeure requiring provision for postgraduate student-at-risk funding, different admission procedures can be arranged.
- 14.3** The programme is course-based. It is taught by the Economics faculty, Max Weber postdoctoral fellows and advanced PhD researchers of the EUI, as well as visiting and guest professors.
- 14.4** The Department of Economics will publish the Course Curriculum before the beginning of each academic year.
- 14.5** There is a thesis requirement. This research is undertaken with the guidance of a supervisor. The Deadline for submission of the thesis is end of June of every year. Evaluations of the thesis committee will be sent to researchers by 15 July. The thesis will either be passed as submitted or a revision will be requested. Resubmissions of the thesis, in response to the written evaluations and discussions with the committee members should be submitted by 1 August. A final grade of pass or fail on the thesis will be determined no later than 31 August.
- 14.6** Students in the Master of Economics programme may apply to the EUI Doctoral programme following the standard application procedure. For those successfully admitted to the Doctoral programme, they shall be enrolled in the first year following a track that takes into consideration the course work that was previously fulfilled. Consequently, they shall not obtain a second Master of Research degree in economics since this was already conferred on them by the EUI in their previous Master of Research degree programme.
- 14.7** The Master of Economics is ungraded, and this fact shall be clearly stated on the degree certificate itself.
- 14.8** Leaves of absence and intermissions during registration in the Master of Economics programme:
- 14.8.1** No leaves of absence without suspension of registration period and funding (if applicable) for traineeships or other career purposes, shall be allowed.

14.8.2 Intermision of studies with suspension of registration period and with retention of funding entitlements (if applicable) shall be allowed on grounds of health, duty of care and or parenthood.

A reasoned request, including a medical certificate and or medical report, where appropriate, should be addressed to the Academic Service which will seek the advice of the department and submit the request to the Entrance Board. Medical certificates should normally not be dated more than thirty days before the request for intermission is submitted. The certificate should specify the period of intermission that is pertinent to the request. Medical certificates and reports shall be treated with the utmost confidentiality.

When an intermission is granted by the Entrance Board, this will result in the extension of registration in the study programme for an equivalent period of time to the intermission. The student in question will recover the missed coursework in the following academic year during the regular timeline of the standard programme. No additional tuition fees shall be charged to cover the extended study time.

14.9 Small Jobs and Research Assistantships:

Students may take up a small job in the Institute during the academic year and will be paid on an hourly basis. They are subject to a maximum number of hours as defined by the Italian legislation. The formal approval of the supervisor and the Department is required.

Students admitted to the Master of Economics programme without funding may exceptionally take up research assistant tasks at the EUI provided this is formally approved by the supervisor and the Department.

Chapter 15. Doctoral Researchers on Project Funded Grants

15.1 Introduction

PhD researchers may be admitted with different kinds of grants/funding schemes. All conditions for researchers on national grants laid out in the present Academic Rules and Regulation apply in the same way to researchers on project funded grants unless there is an explicit rule applying specifically to them.

Researchers on project funded doctoral grants are supervised by an EUI full time professor in one of the EUI's academic departments. If the project director is not a member of an EUI academic department, he or she may be appointed as co-supervisor. Admissions of researchers funded by such grants are not subject to the admission conditions required by national grant authorities.

Normally, the availability of such project funded grants will be advertised at the same time as the national grants and researchers who apply for these project- funded grants will be selected at the same time and under the same conditions as those applying for a national grant. If the availability of project funded grants requires a different timing of announcements and interviews, the department will ensure that the selection procedure for such candidates is comparable to that for other PhD candidates and that they join the regular PhD programme at the latest on 1 September of the year in which they have been selected.

If they successfully meet the requirements, project funded researchers will receive a grant for 48 months. This grant must be financed entirely from the research project or from other sources generated by the project director sponsoring the grant. The level of these grants shall be agreed between the project director concerned and the Academic Service. The level of the grant shall not be lower than the EUI completion grant/stipend and not be higher than one third above the EUI completion grant. The beneficiaries of the project funded grants shall receive the same allowances as the recipients of the EUI completion grant.

The standard model of payment should be a doctoral grant. If the conditions set by the funding agency require an employment contract, then such contract shall result in equivalent net remuneration and benefits.

The project funded grants finance exclusively research in relation to a PhD dissertation. For additional tasks undertaken by these researchers, either in the project through which they are funded or in other contexts, the rules of chapter 12.5 apply in the same way as to researchers on national grants.

15.2 Admission

With reference to the selection and admission of researchers in Chapter 4 of these regulations, the same conditions, procedures, standards of assessment shall apply to researchers on project funded grants. Preselected candidates will be interviewed on separate panels by faculty members of the department where the project is hosted. Candidates

applying for a project funded grant are not excluded from being considered for a national grant if they are eligible.

Exceptionally, researchers previously recruited for their research projects by supervisors who join the EUI as new faculty may be directly admitted into the second year under the conditions set out in chapter 4.10.

Researchers admitted to the doctoral programme on project funded grants will not be subject to the Institute's tuition fees.

Researchers will take up the PhD position at the EUI no later than 1st September of the academic year following the one in which they have been selected.

15.3 Doctoral Programme

With reference to Chapters 5, 6, 7 and 8 of the Academic Rules and Regulations (*The Doctoral Programme*, First, Second, Third and Fourth Year respectively) all conditions laid out in the articles therein shall be applied in the same way to researchers on project funded grants.

15.4 Doctoral Supervision

The conditions laid out under Chapter 10 apply, with the added note that, given the specific conditions of the research project, the researcher recruited in this framework must, throughout her/his doctoral research at the Institute, be supervised or co-supervised by (one of) the project director(s). A change of supervisor will only be possible if the project director agrees and if full funding from the project remains guaranteed for the remaining time until the end of the fourth year of registration.

15.5 Doctoral Thesis

All provisions of Chapter 9 shall apply to researchers on project funded grants, except that researchers recruited on a project funded grant are bound to work on a thesis topic that is linked directly to the research project being undertaken at the EUI. Changes to the thesis title or to the thesis project are allowed but the thesis itself must remain incorporated into the design of the research project and form one of its outputs.

15.6 The Doctorate: with reference to Chapter 9, all articles are applicable, with the added note that, notwithstanding the fact that a doctoral thesis prepared in such a framework is geared towards a specific research project and forms part of the output of that project, the thesis itself is assessed for the award of the doctoral degree according to the criteria generally applicable to doctoral theses of the EUI, and throughout all stages of its preparation, remains the intellectual property of the researcher.

15.7 Disputes arising within the context of the project funded PhD grants which cannot be satisfactorily settled by the above-mentioned regulations may be referred to the EUI Entrance Board.

Chapter 16. Visiting and Exchange Students

16.1 Definition of *Visiting Student*

The status of "Visiting Student" may be given by the Institute to a postgraduate student registered in a similar postgraduate programme at another university or institute, when s/he wishes to visit the EUI for a short period of time in order to pursue her/his research.

The student, once registered as a Visiting Student at the EUI, will be a non-degree student.

The Visiting Student shall be affiliated to one of the Institute's departments, for which specific application measures apply (see point 16.3. below).

Exchange students are visiting students registering at the EUI in the framework of a bilateral or co-operation agreement with other universities/institutes {see 16.3.(i)}.

External students whose sole purpose for visiting the EUI is access to the EUI Library or to the Historical Archives of the EU must submit their requests directly to the Library or Archives. The Librarian or the Director of the Archives will decide on access in cases of this kind. Such external students will not be considered "Visiting Students".

16.2 Length of a Visiting Student's Stay:

The normal duration of a Visiting Student's stay will be from 1 to 6 months.

The stay may be longer, up to 10 months, but in no case may it exceed a full academic session. Longer visits of more than 6 months shall be approved by Entrance Board.

16.3 Application Procedure

Specific deadlines have been laid down for the submission of exchange students' applications in certain co-operation/bilateral agreements. Where these deadlines are not stated, the general rule to be observed is that the student must submit her/his application to the European University Institute at least three working months before the planned date of arrival. The months of July and August, being part of the summer recess, are not to be included as far as this calculation is concerned.

A person wishing to register as a Visiting Student will apply to the European University Institute in one of two ways:

(i) Where formal student exchange or co-operation agreements exist

(i.e. where the EUI has a bilateral agreement with another university or institute, such as:

- the US Universities of Berkeley, Wisconsin, New York, (Columbia, Austin, Fordham for the department of Law and Cornell for SPS),
- EU partner universities in the Erasmus scheme,
- universities/institutes/foundations with which the EUI has a particular co-operation agreement (e.g. Australian Fellowship Foundation, Fulbright Commission),

the student is to apply to the EUI target department via her/his International Student Office and the EUI Academic Service.

Visiting (Exchange) student applicants from partner universities/institutes will send to the EUI by the said deadline a set of application documents made up of:

- a standard Exchange programme application form;
- a CV;
- a work-plan with a short description of research interests;
- a letter of reference from a professor at the partner university.

- (ii) Where the student's request does not fall under a European University Institute (or departmental) student exchange programme, her/his application will be dealt with by the department of interest.

The candidate must forward to the head of the target department a set of application documents, consisting of:

- a CV
- a statement of intent, mentioning research interests
- proof of last degree obtained
- a letter of reference from a professor at her/his home university.

The applicant will state in her/his application whether s/he has applied to the European University Institute before, either as a research student candidate or as a visiting student candidate.

16.4 Admission

Admission of the student to the Institute is, in both the above-mentioned cases, by decision of the department.

Where the student requests a long-term visit of over 6 months, his/her admission is subject to the approval of Entrance Board, following recommendation by the department.

A Visiting student admitted to a department will be assigned a contact professor (advisor/supervisor) and this will be stated in her/his letter of admission.

Notification of Admission

Applicants admitted as visiting students to the European University Institute will receive a written invitation from the Institute. This will be in the form of an admission letter sent either by the Academic Service or by the department:

Where the student is registered in a partner university's exchange programme with the EUI, the admission letter will be sent by Academic Service, after approval of the student's application by the relative EUI department.

Where the student applies directly to the department and is then admitted, s/he will receive a letter of admission directly from the department. A copy of the letter, together with a copy of the student's file, and the rights to which s/he will be entitled, is to be sent to the Academic Service.

16.5 Visiting Students' Rights

The department admitting the candidate as a visiting student will decide which of the following rights s/he is entitled to:

- an Institute matriculation card, stating "Visiting Student"
- participation in all departmental and Institute activities
- advice on research/supervision by the appointed departmental contact professor
- subscription to the EUI medical insurance scheme

N.B. all Visiting Students must possess adequate health and accident insurance cover for the full duration of their stay.

- access to the Library:
 - with borrowing rights
 - without borrowing rights
- use of computing services with E-mail account (if over one month)
- use of the Institute canteen with 40% discount
- a pigeon-hole
- assistance from all EUI services that concern student support, e.g. accommodation, welfare advice;

Visiting Students are **not** entitled to receive from the EUI:

- a maintenance grant
- an allowance for family, travel or insurance
- financial assistance of any kind, for example, parental allowance, research missions.

unless there are specific conditions to the contrary laid down in the co-operation agreements between the EUI and its partner institutions.

16.6 Registration

All visiting students are to register at Academic Service immediately upon arrival.

Academic Service will issue the visiting student with a student card, matriculation number and all material which regular EUI researchers receive.

The information concerning the visiting student's matriculation number, dates of registration and department are distributed electronically to all relevant services of the EUI.

Visiting Students registered at the Institute are required to abide by these Academic Rules and Regulations, the EUI Disciplinary Regulations and the EUI Code of Ethics in Academic Research.

Chapter 17. Appeals Procedures

17.1 Right

EUI researchers have the right to appeal in the circumstances defined in the Rules and Regulations against decisions that affect them personally. This chapter gives an outline of the procedure to be followed when a researcher wishes to appeal.

17.2 Object of Appeal

So far as these Rules and Regulations are concerned, researchers can appeal either against departmental recommendations to the Entrance Board or against decisions of the Entrance Board itself. Whenever researchers appeal against Departmental recommendations their appeal will be referred directly to the Graduate Programme Appeals Committee (see article 17.8 below).

The Graduate Programme Appeals Committee will not deal with issues covered by the [Disciplinary Regulations](#) and the Disciplinary Appeals Committee

17.3 Academic Judgement

The appeal procedure may **not** be used to challenge academic judgement. The fact that a researcher believes that she or he may deserve a better result cannot in itself constitute a ground for appeal.

17.4 Non-Academic Grounds

A researcher may only bring an appeal on non-academic grounds, on one or more of the following grounds:

17.4.1 Substantial information directly relevant to the quality of the performance under academic judgement was not available, for good reason, to the relevant decision-maker, be they supervisor, second reader, or examiner, when exercising their judgement;

17.4.2 There is evidence of prejudice or lack of due diligence on the part of any of the relevant decision-makers when exercising academic judgement;

17.4.3 The decision taken was disproportionate;

17.4.4 Procedures laid down in the Academic Rules and Regulations or in the departmental guides for doctoral researchers have not been followed in taking the decision;

17.4.5 Personal grounds beyond the researcher's control. (See article 17.6)

17.5 Timing

1. Notice of intention to appeal must be submitted within 7 days of notification of the decision (including the date of notification).
2. Grounds of appeal must be submitted in writing within 14 days of notification of the decision (including the date of notification).

17.6 Form of Appeal

Notice and grounds of appeal must be in writing. The appeal should be reasoned, which means it should (a) clearly spell out the individual grounds

of appeal under paragraph 17.4 relied upon and any special circumstances on which it is based, and (b) specify the outcome the appellant seeks. Special circumstances may include any non-academic factors beyond the researcher's control which have adversely affected their performance, such as, for example, personal illness or the illness of a close relative or partner and the duty of care that may entail. The written submission must contain not only all relevant submissions on the basis on which the appeal is being made, but also include all supporting documentation the appellant wishes to be taken into account. In principle it is not possible to introduce new arguments or documentation into the appeal at a later date.

The appeal should be submitted to both the departmental Director of Graduate Studies and the Academic Service, acting as secretariat of both the Entrance Board and the Graduate Programme Appeals Committee.

17.7 Departmental reconsideration

Whenever an appeal is against a departmental recommendation, the department concerned is invited to consider the appeal and reconsider its decision.

Whenever the department reaches the conclusion that the appeal is justified and should be accepted, it shall inform the appellant of the revised decision. The appellant may accept the revised decision or, if she/he is not satisfied with the outcome, decide to pursue the appeal through the Appeals Committee.

When the department, after due consideration, concludes that the appeal is not justified, it should immediately inform Academic Service of its position and the reasons that underpin it. The appeal shall then be referred to the Appeals Committee.

17.8 Graduate Programme Appeals Committee

At the beginning of each calendar year, the President of the EUI shall appoint a Graduate Programme Appeals Committee that is composed of five members. Four faculty members, one per department, are designated by the President, the other, a researcher, by the Researchers' Representatives.

In case one of the members is directly involved in an appeal case, this member shall stand aside and the President shall appoint a replacement for the case at hand.

The quorum of the Graduate Programme Appeals Committee is four members.

Academic Service acts as secretariat of the Graduate Programme Appeals Committee.

At the first sitting, the Committee will appoint its Chair who will have a casting vote in the event of a tied decision (in addition to her/his voting right).

17.9 Hearing

Where an appeal is to be heard by the Appeals Committee, the appellant will be given reasonable notice of the date of the hearing and will be entitled to attend and to be accompanied by one other current member of

the EUI community (namely, a person who is an affiliated member of the Institute, the active registration of whom may be verified through production of a valid EUI identity card). The appellant may present her/his case in person or may nominate another member of the EUI community to do so on their behalf. The Appeals Committee has access to all relevant material produced by the researcher during the Academic Year, and may hear from any person it deems fit.

After hearing the appellant and/or the appellant's nominee, the Appeals Committee shall deliberate in closed session and formulate its decision.

The Dean of Graduate studies can be heard.

17.10 Decision options

On hearing an appeal, there are three options available to the Appeals Committee. It has the authority to:

1. Confirm the original decision, in which case no further action is taken in respect of the appeal and the case is concluded (this option will apply where the Appeals committee agrees with the decision or considers that the original decision taken was within the margin of discretion of a reasonable original decision-maker);
2. Instruct the relevant Department and/or the Entrance Board to reconvene in order to reconsider the appellant's case, adopting any requirements specified by the Appeals Committee;
3. Vary the original decision.

Chapter 18. Previous Amendments to the Academic Rules and Regulations

Original Decision No. 1/1998, "Academic Rules and Regulations for the Doctoral Programme" of 11 December 1998

List of Amendments:

- Addition of Chapter 6: LL.M (5 Nov 1999)
- Addition of Chapter 7: Visiting Students at the EUI (16 Feb 2000)
- Amendment to Arts. 2.2, 3.8 and 3.13 (20 March 2002)
- Amendment to Art. 5.5 (16 October 2002)
- Amendments of 10 June 2003:
 - New Article (Master of Research) inserted as Article 3.8;
 - Art. 3.6 (amended); former Art. 3.7 renumbered as Art. 3.9; former Art. 3.8 renumbered as Art. 3.10; former Art 3.9 amended and renumbered as 3.7; former Arts. 3.10-3.14 renumbered as 3.11–3.15 (former Art. 3.12 amended to respect new numbering)
- Amendments of 17 September 2003:
 - Existing Article 4.4, entitled Completion Grants, replaced by new Article 4.4., entitled Fourth Year Grant and other Completion grants;
 - Article 5.4 (The Examining Board) amended.
- Amendments of 19 November 2003:
 - Articles 3.4, 4.2 (Supervision) and 4.5 (Residence requirements) amended.
- Amendments of 21 April 2004:
 - Chapter 2 – Admissions – amended.
- Amendments of 23 June 2004:
 - Chapter 3, Articles 3.11 and 3.12 (second- and third year programme/activities; second-year progress assessment) and 3.15 (third-year progress assessment);
 - Chapter 4, Article 4.6 (research assistantships)
 - Chapter 5 (The Doctorate), Article 5.4 (Composition of the Examining Board)
- Amendments of 15 December 2004:
 - Chapter 3, Articles 3.5 (June paper) and 3.6 (Structured First-year Programme)

- Amendments of 16 March 2005:
 - Chapter 4, Articles 4.3 (student status), 4.4 (Fourth-year grant), 4.5 (Residence requirements and Leaves of Absence) and 4.6 (Research assistantships)
- Amendments of 21 September 2005:
 - Chapter 2, Articles 2.2 (Application date and timing of selection procedure) and 2.3 (The application file) amended; Art. 2.4 deleted and subsequent articles renumbered accordingly
- Amendment of 21 June 2006:
 - Chapter 5 (The Doctorate), Article 5.5, 3rd paragraph amended
- Amendment of 20 September 2006:
 - Chapter 4 (General regulations), Article 4.7 – withdrawal from the doctoral programme – added
- Amendment of 13 December 2006:
 - Chapter 5 (The Doctorate), Article 5.10 – publication of theses –, article amended.
- Amendment of 14 March 2007:
 - Chapter 4, Article 4 (Supervision) – insertion of a new paragraph between the second and third paragraphs of Art. 4.2, making participation in the annual Supervision Assessment Survey compulsory.
- Amendments of 19 November 2008:
 - Chapter 3, Article 3.4. (*Supervision*) - amendment (final choice of supervisor);
 - Chapter 3, Article 3.8 (*Master of Research*) – amendment to article heading (*Master of Research and LL.M*) and to second paragraph (merging the LL.M. and Master of Research programmes in the Law Department);
 - Chapter 3, Article 3.15. (*Third-year progress assessment*) – replaced by additional new Article 3.15 - *Third-year progress monitoring—October report*.
 - Chapter 3, former Article 3.15. (*Third-year progress assessment*) – amended and renumbered as: Article 3.16. - *Third-year (two thirds) and fourth-year progress assessment (first and final draft)*.
 - Chapter 3, addition of new article (*Procedures of Appeal*), inserted as Article 3.17;
 - Chapter 3, addition of new article (*Timing of Defence*), inserted as Article 3.18;
 - Chapter 4, Article 4.3. (*Student Status: The Five year Maximum*): amendments to second and third paragraphs; introduction of fourth paragraph (on the maximum overall period of intermission).

- Chapter 4, former Article 4.4. (*Fourth Year Grant*): amended and incorporated into Article 3.16. -*Third-year (two thirds) and fourth-year progress assessment (first and final draft)*.
- Chapter 4, Article 4.5. (*Residence requirements and Leaves of Absence*)
 - first two paragraphs amended, becoming Article 4.4. - *Residence requirements, Leaves of Absence and Intermissions*
 - The rest of Article 4.5. [indents (i), (ii) and (iii)] is divided and amended, becoming:
 - Article 4.5. - *Leave of absence with grant*.
 - Article 4.6. - *Leave of absence without grant (and without suspension of registration period)*.
 - Article 4.7. - *Intermission of studies without grant, with suspension of registration period and with retention of grant entitlement*.
 - Article 4.8. - *Intermission for parental leave (with or without EU grant, with suspension of registration and with retention of grant entitlement)*.
- Chapter 4, Article 4.6. (*Research assistantships*): amended and renumbered as Article 4.9. – *Research Assistantships*.
- Chapter 4. Article 4.7. (*Withdrawal from the Doctoral Programme*): renumbered as Article 4.11 - *Withdrawal from the Doctoral Programme*.
- Chapter 4, addition of new article: 4.10 - *Registration as “researcher completing a thesis”*
- Amendments of 21 October 2009:
 - Chapter 3, Art. 8, amended
 - to reflect the correct full title for the LL.M. degree;
 - to allow award of Master of Research degree in certain cases to researchers not admitted to second year;
 - Chapter 3, Art. 9 – ‘Procedures of appeal’ becomes Art. 3.10; new Art. 3.9 created on ‘Direct admission to second year’;
 - Chapter 3, Art. 10 ff. renumbered consecutively through to last article of Ch.3.
 - Chapter 6. Amendments to the Chapter heading, to Art. 6.1. and 6.4; former Art. 6.6 deleted to be replaced by former (and now revised) art. 6.7.
 - the SPECIMEN LL.M. degree certificate amended to reflect the new nomenclature of the degree.”
- Amendments of 14 December 2011:
 - Chapter 6, amended with the addition of Article 6.7. - *Part-time research assistant tasks for researchers registered on the LL.M. Programme*;
 - Chapter 8 added – *Research Assistants and Admission to the Doctoral Programme*.

- Amendments of 19 September 2012:

The original document entitled "*Academic Rules and Regulations for the Doctoral Programme*" is replaced by a revised document entitled "*Academic Rules and Regulations for the Doctoral and Master's Programmes*", now composed of 18 Chapters (including this list of amendments).

 - List of Contents, Chapters 1 and 2: the revised document first provides a list of the chapters, a historical context of the rules and regulations for the academic programmes (Chapter 1) and a set of key definitions (Chapter 2);
 - Chapter 3 - The Entrance Board:

The chapter explains the composition and working of what has, until now, been commonly referred to as the Admissions Committee which will now adopt the proper name of Entrance Board. The dates for the nomination of members of the Entrance Board (and also of the Appeals Committee) are moved to early January of every year (rather than at the beginning of the academic year).
 - Chapter 4 - Application, Selection and Admission for the Doctoral and LL.M. programmes:

The following modifications have been introduced:

 - Under 4.2. Fixed dates/deadlines have been set for administrative procedures regarding the application date and timing of the selection procedure;
 - Under 4.3. Eligibility of candidates to apply – paragraph inserted regarding doctoral candidates who are already registered elsewhere on a doctoral programme;
 - Under 4.4. In the application file, candidates may enclose the results of TOEFL or IELTS English language abilities test for non-native speakers (and/or for those whose previous degrees were not entirely taught in English);
 - Under 4.5. Selection criteria:
 - selection criteria: to respect the national requirements.
 - stricter language abilities criteria set for selection.
 - Under 4.6. Selection process: Procedures to be followed in the case of relationship with a candidate / interviewee;
 - Under 4.7. Admissions in the case of a close relationship
 - Chapter 5 - The Doctoral Programme – First Year
 - Under 5.1. (under Supervision). Agreement on the final choice of a supervisor in the departments of HEC, LAW and SPS is to be reached before the end of December.
 - Chapters 7 and 8 - The Doctoral Programme – Third Year and Fourth Year:

Revised chapters set out a simpler and more systematic scheme for the award of the EUI fourth-year grant.

- Chapter 9 - Award of the Doctorate:
 - Under 9.2. Award of a doctorate (definition of a thesis)
 - Under 9.7 / 9.8 / 9.10. Examining Board (composition, presence, procedures):
 - Supervisor has voice but no vote on the board;
 - In cases of force majeure, the minimum presence requirement during the defence is two members (one external and one internal);
 - The Chair has a casting vote;
 - Under 9.15. (New article): Procedures concerning the possibility of revoking a doctorate in the case of 'academic misconduct';
- Chapter 11 - Student Status and Residence Requirements
 - Under 11.5. Residence requirement for all EUI researchers now reads: 'Researchers must reside in Florence or its immediate surroundings'.
 - Under 11.6. Under Registration as "researcher completing a thesis": the new requirement is for the researcher, who has physically left the Institute, to be followed by an EUI supervisor during that period of registration as 'researcher completing a thesis'.
- Chapter 12 - Leaves of Absence and Intermission
 - Under 12.1. Leave of absence with grant: (under Leaves of absence for missions and student exchanges): Research missions of less than one month (and not two months as before) may be authorised by the supervisor and head of department. For longer periods (of more than one month), the leave is to be approved by the Entrance Board.
- Chapter 14 - Master of European Economics (New Chapter)
- Chapter 15 – Research Assistants and Admission to the Doctoral Programme:
 - Under 15.2. (Admission): text added to clarify that the same admission criteria apply both to admission into first year of researchers recruited for an EUI-based research project and to direct admission into second year of researchers previously recruited for their research projects by supervisors joining the EUI as new faculty;
 - Under 15.3. Second paragraph now reads: "Researchers admitted to the doctoral programme in the framework of a research project and financed by that same project are not entitled to receive the Institute's fourth-year grant."
- Chapter 17 - Appeals Procedures (Revised into a new chapter)

- **Amendments of 20 March 2013:**
- Chapter 2 – Definitions:
 - Inserted a definition for 'co-supervisor'.
 - The Appeals Committee has been renamed as the 'Graduate Programme Appeals Committee'.
 - Added a sentence in the definition of 'Submission': "In order to qualify as formal submission, such work must be accepted by the supervisor or department as fulfilling the respective requirements".
 - Inserted a definition for 'supervisor'.
- Chapter 4 – Application, Selection and Admission for the Doctoral and LL.M. Programmes.
 - Under 4.4. paragraph 3: the text "Applicants who wish to submit a certificate" has been replaced with "Applicants are invited to submit a certificate".
 - Under 4.6. The text on "language assessment tests" has been modified, giving more detail and clarification on the two types of languages test, placement and assessment.
- Chapter 7 – The Doctoral Programme – Third Year:
 - Under 7.4 – paragraph 3, this text has been added: "In this article, final draft is the text that the researcher submits to the supervisor with the intention of defending the thesis before an examining board and that has been accepted as ready for defence by the supervisor."
 - Articles 7.6 and 7.7: Researcher Representative Grant and Extension for EUI-Community Service Activities:
These two articles have been modified and moved to Chapter 12 under a new article 12.6 – Extension of submission deadlines.
- Chapter 8: The Doctoral Programme – Fourth Year:
Under 8.4 - Assessment of the final draft: The text "The supervisor is asked to..." has been replaced with "The supervisor has to...".
- Chapter 9 – Award of the Doctorate:
The following articles, concerning conditions for defence, tasks of supervisors and co-supervisors, publication of thesis, have been modified:
 - Under 9.6 – Supervisor's Report
The following text has been inserted:
"In case of a request for major revisions, these have to be carried out within no more than six months, except when serious personal circumstances impede carrying out this work. The researcher may nevertheless express in writing the wish to defend the thesis as it stands and the defence will take place accordingly."
 - A new paragraph has been added at the end of the article:
"The defence will normally only be scheduled if a majority of the jury members (not counting the supervisor and, where applicable, co-supervisor) agrees that the defence can go forward. If a majority of the jury members asks for major revisions, the candidate must report to the

jury the revisions carried out. Such revisions have to be carried out within no more than six months, except when serious personal circumstances impede carrying out this work. The jury members may either agree to delegate the task of assessing the revisions to the main supervisor, or reserve for themselves the right to reassess the resubmitted version. If they require further revisions, the candidate can decide (normally advised by the supervisor) whether he or she wants to make further revisions or defend the resubmitted version."

- Under 9.7 – Examining Board:
A new paragraph has been added at the end of the article:
"No more than two internal members may be appointed to the Examining Board, In exceptional circumstances, three external members and only one internal member, namely the supervisor, may be appointed. This is permissible only where the spread of expertise necessary for the satisfactory examination of a thesis cannot otherwise be provided."
- Under 9.10 – Procedures of the Examining Board:
The text has been modified to define the restrictions in jury tasks of the supervisor and the co-supervisor, where applicable: (no chair and no vote).
- Under 9.11 – Deliberation:
A paragraph has been added (second paragraph) specifying the procedure for the defence report:
"The chair of the Examining Board shall compile a reasoned report on the thesis and its defence. If the Examining Board decides that a comprehensive report is needed, the chair may delegate this task to another member of the Examining Board who will circulate a draft report to the other members of the Examining Board within no more than three months after the defence."
- Under 9.13 – Publication of Thesis:
The second paragraph has been modified and a third paragraph added:
Second paragraph: "Theses can be published on paper or in electronic format with an external publisher or in the open access electronic EUI repository. In the latter case, the copyright remains with the author. If the author decides not to agree to publication of the thesis in the EUI repository but fails to publish it with an external publisher within four years after the defence or has no firm indication of proximate publication, the EUI will automatically acquire the right to publish thesis in the EUI repository. These conditions shall be accepted by the author of the thesis in a signed agreement".
Third paragraph: "The version of the dissertation published in the EUI repository shall be the final accepted version. If minor corrections are requested by the Examining Board, the author shall carry these out immediately and shall submit the final corrected version to the department in which the thesis was supervised, together with a report on the corrections within one month after the defence. In case of postponed conditional acceptance of the thesis and approval of revisions after the defence according to Art. 9.11, the author shall submit the final approved version of the dissertation to the department within one month after approval."

- Under 9.15. - Revoking the Doctorate
 - Article 9.15.2:- Academic misconduct:
Imported more extensive definitions of forms of academic conduct that apply to submitted or defended dissertations from the Code of Ethics in Academic Research.
 - Under 9.15.3 - Allegations:
In the first sentence, the Dean of Graduate Studies has been replaced with the Principal.
 - Under 9.15.4 (the previous article number 9.15.3 (repeated) has been replaced with 9.15.4): - Investigation:
The text has been modified to state that ".....the *Principal* shall appoint" thereby replacing the Dean of Graduate Studies.
 - Articles 9.15.5 to 9.15.9 renumbered accordingly (now 9.15.5. to 9.15.10).
- Chapter 10 – Doctoral Supervision:
Under 10.4. – Appointment of Co-supervisor:
The following modification has been applied to text in the first sentence of the article: ".....a co-supervisor may be appointed, who can be either another professor of the Institute or a competent senior academic from outside the Institute".
- Chapter 11. - Student Status:
 - Under 11.3. – Extension of Student Status:
A new paragraph has been inserted at the end of the article:
"If a final draft has been submitted before the end of the 60th month of registration (or of an extension period) but has not been assessed by the supervisor within that period student status will be extended until an assessment has been made."
 - Under 11.4. - Right to Submission of Thesis:
A paragraph has been added to the article:
"A dissertation draft submitted before the end of the 60th month of registration shall be assessed in accordance with articles 9.4, 9.5 and 9.6. If the assessment concludes that the submitted draft cannot be defended, the candidate shall be notified of this decision. The candidate has the right to appeal against this decision on non-academic grounds (see chapter 17)."
- Chapter 12. - The title of the chapter has been modified to: "Leaves, Intermissions and Postponed Deadlines":
 - A new article has been added: article 12.6. - Extension of submission deadlines
(moving and modifying articles 7.6. and 7.7 of the previous rules and regulations):

"Researcher Representatives:

Extension of submission deadlines for written work by one month for researcher representatives is foreseen at the end of the second, third or fourth year, following the end of the representative's mandate.

EUI-Community Service Activities:

Extension of submission deadlines for written work by one month is foreseen for researchers who have participated in an EUI-community service activity for each full year of service. This may be applied to the academic deadlines in the first, second, third or fourth year."

- Chapter 17 – Appeals Procedures:
 - Under 17.2 - Object of Appeal:
The text regarding the "Appeals Committee" has been substituted with the "Graduate Programme Appeals Committee" (thus clarifying that appeals against sanctions for academic misconduct are to be dealt with by the Disciplinary Appeals Committee).
- **Amendments of 19 June 2013:**
- Chapter 4 - Application, Selection and Admission for the Doctoral and LL.M. programmes:

The following modifications have been introduced:

- Under 4.4. In the application file:
 - English Language certificates now required for all applicants; in-house English language assessment tests no longer required;
 - Mandatory English academic writing courses in first year (second year in Economics)
 - Submission of GRE results for all applicants recommended
- Under 4.5.(Selection criteria):
 - The text under "Language abilities" has been modified to indicate that level C1 of the Common European Framework of reference is the expected (not required) minimum level of English proficiency.
- Under 4,6 (The Selection process):
 - (under "step three"), the section on English language assessment tests has been removed
 - (under "Tests in other EUI working languages"), the previous paragraph has been substituted with another to indicate a) when additional language tests in other languages are considered necessary and b) that in the case of languages not taught at EUI, candidates will be asked to submit proof of competence in these
- Chapter 9 - Award of the Doctorate
 - Under 9.4. Submission of Thesis:
The requirement has been introduced for checking final submissions of theses for plagiarism using an anti-plagiarism software application.

- **Amendments of 16 April 2014:**

- Under chapter 2: definitions:
The definition of Research Assistant was revised to; "An assistant to a research project being conducted within the framework of the Institute. Refer to article 12.5."
- A definition of a Researcher on a Project Funded Grant was added as following:
A PhD researcher funded by a grant from a research project for 48 months. Refer to Chapter 15
- Under chapter 4: Application, Selection and Admission for the Doctoral and LL.M. Programmes
 - Under item 4.9 Direct admission to the second year: The addition of a clarification of the requirements for direct admission to the second year as following:
"Such researchers must meet requirements equivalent to those for admission into the second year in the respective department."
- Under Chapter 12: Leaves, Intermissions and Postponed Deadlines
Item 12.5 Intermissions related to Research Assistantships at the EUI
The text of this section was revised to clearly state the difference between 'small jobs' and 'research assistantship' and how the conditions for employment and leaves of absences (with intermissions or without intermissions) apply to all doctoral researchers regardless of their sources of funding.
- Under Chapter 14: Master of European Economics (M.A.)
An N.B. was added to state that: *"The Master of European Economics Programme ends on 31 August 2014. Chapter 14 will be removed from the Academic Rules and Regulations as of 1 September 2014."* For the sake of continuity, the numbering of subsequent chapters will be retained.
- Chapter 15: on Research Assistants and Admission to the Doctoral Programme
The chapter is completely replaced by a revised chapter, titled: "Doctoral Researchers on Project Funded Grants"

- **Amendments of 10 December 2014 – with effect from 1 January 2015**

- Under Chapter 2: Definitions:
 - Added a definition for final draft of the thesis.
 - Deleted the reference to Master of European Economics (MA) in the definition of the Masters Programme.
- Under Chapter 8: The Doctoral Programme – Fourth Year
 - Under Article 8.1. on Completion and Commitment: added, "and that the supervisor has accepted as such" to the description of the final draft of the thesis.

- Under Article 8.4: Assessment of the final draft: Replaced all existing text as follows:

"After receiving a final draft from the researcher, the supervisor or any co-supervisor shall notify the department within a month whether the thesis
- can be sent to the Examining Board as submitted
-needs to be revised before submission
-needs minor or major language corrections
If the supervisor or any co-supervisor state that the draft submitted is not complete or should be rejected, the researcher will retain the right to resubmit a complete and/or revised version until the end of their fifth year of registration (see also Art. 9.6 and 9.11)."
- Chapter 9: Award of the Doctorate:
 - Under Article 9.4: Submission of Thesis, in the first paragraph, deleted "who shall insert it into the submission register."
 - Articles 9.5 and 9.6: The previously existing content of Articles (9.5 on Timing of Defence) and (9.6 on Supervisor's Report) and the titles of the articles have been replaced by new provisions.
 The new provision of Article 9.5 is entitled; "Examination Board Reports and Scheduling of Defence."
 The new provision of Article 9.6 is entitled; "Revisions of the Thesis."
 - Under Article 9.9 changed the period for publicity of the thesis before the Public Defence to two weeks instead of three.
 - Under Article 9.11: Deliberation.
 Replaced the text of the third and fourth paragraphs as follows:

"Where the reports by the members of the Examining Board are favourable, the Examining Board shall take one of the following decisions:
- immediate unconditional acceptance
- postponed conditional acceptance
Where in accordance with the regulations of Art. 9.6 the thesis has not been accepted as ready for defence by the supervisor and any co-supervisor or where one or more Examining Board members have expressed a negative opinion in their reports, the Examining Board shall take one of the following decisions:
- immediate unconditional acceptance
- postponed conditional acceptance
- rejection."
- **Amendments of 15 June 2016**
- Chapter 4: Application, Selection and Admission for the Doctoral and LL.M. Programmes
 - Under Article no. 4.4: The submission of the GRE test results is a requirement only for applicants to the Economics Department.
 Deleted the last paragraph:
"Additionally, applicants are advised, but not required, to submit the results of a GRE (Graduate Record Examination) test."

Replaced it with the following paragraph:

"Applicants to the Economics Department must submit the results of the GRE (Graduate Record Examination) test."

- Under Article no. 4.7: moving the already existing non-possibility of appeal against a negative decision of selection to the PhD programme into a separate article to clarify that the non-possibility of appeal applies to all the steps of the selection procedure.

Adding this article on non-possibility of appeal under 4.7, results in changing the numbers of the articles on (4.7) Admissions in case of close relationship; (4.8.) Confidentiality; and (4.9) Direct admission to the second year; to become 4.8; 4.9; and 4.10 respectively.

- Chapter 10: Doctoral Supervision

- Under Article 10.3: Broadening the options for the choice of supervisor.

Deleted the text of the second paragraph: "The department guarantees that each new researcher shall have a current full-time member of the department appointed as their supervisor."

The revised text states the following:

"The department guarantees that each researcher shall have a member of the Institute's teaching staff as his or her supervisor. Normally the supervisor is a full-time member of the department. When appropriate, the department may assign, with the consent of the researcher, a part-time professor, a professor of another department, a RSCAS professor, the RSCAS Director, the Director of the Max Weber Programme, or the President of the Institute as supervisor. It will always ensure that effective supervision can be guaranteed and that a co-supervisor or a professorial advisor ('liaison professor', see article 10.5) is assigned from amongst its current full-time members.

To guarantee continuity in supervision no supervisor can, in general, be assigned new research students during the last, or if the department so decides, *the last two*, contractual years at the Institute."

- Chapter 13: LL.M. (Master in Comparative, European and International Laws)

- Under Article 13.7: deleted the 5th paragraph about LLM candidates selected on an RA contract (already redundant since the revisions of 14 December 2014)

- **Amendments of 18 January 2017**

- Chapter 2: Definitions

- Small Jobs:

Change the reference to maximum hours of small jobs so as not to include an exact number in the definition.

- Chapter 12: Leaves, Intermissions and Postponed Deadlines

- Under Article 12.5 Intermissions related to Research Assistantships at the EUI

- Change the references to maximum hours of small jobs so as not to include any exact number.

Added the following paragraph:

- "Researchers must consult with the relevant departmental annual Guide to check the respective ceiling of hours per academic year allowed as small jobs."

Change the requirement of consent by supervisor more clearly to distinguish between small jobs and other types of contracts. Contracting a researcher as research assistant or academic collaborator requires that prior consent of the supervisor has been obtained, while in the case of small jobs consulting the supervisor falls to the researcher himself or herself.

- **Amendments of 15 December 2021**

- Change in the Title of the Document to specify that the 'Master's programmes' refer to Master of Research.

Academic Rules and Regulations for the Doctoral and Master of Research Programmes

- Chapter 1: Introduction: Take away the wrong reference to year 2012 from the document.
- Chapter 2: Definitions:
 - *Dean of Graduate Studies*: Change the definition of the Dean of Graduate Studies to take away Ethics Committee and Research Council.
 - *Fourth year Grant*: add the term stipend to grant in order to allow the variation of the funding schemes in the PHD and MRES-LLM programmes. The term stipend refers to a fixed regular sum paid as a salary or as expenses (it covers funding schemes that vary between scholarships/grants/or salaries). This association of the term stipend and grant is implemented in the revisions throughout the text of the ARR.
 - *Master's*: Change in the definition to specify it is a Master of Research that includes LLM and MRES-ECO
 - *Researchers*: Change the definition to specify that this category refers to doctoral and LLM researchers. This category does not include the MRES Economics students, who are enrolled in a pre-PHD programme. (This is based on the input of the ECO Department).
 - *Thesis*: Add reference to MRES in Economics and chapter 14
- Chapter 4:

- Under 4.2: *Application date and timing of the selection procedure*: expand the timeline for the interview to include late March and not only early April to reflect actual practice in view of the variations of the academic calendars.
- Under 4.4: *The Application File*: take away a degree certificate to specify the plural terms (degree certificates)
- Under 4.6:
Selection Process: Application date and timing of the selection procedure. Specify that each department draws up a list of proposed “candidates” and not “researchers” for admission. i.e. replace the word researchers with candidates.

Step Four: take away reference to communication by letter. i.e. communication in writing is by *email*.

- Chapter 5: The Doctoral Programme- First Year
 - Under 5.3: *Admission to second year*: replace the term postponement with the term deferment, since the Entrance Board uses the term postponement when a decision is postponed because the researcher has a longer timeline due to a previous or current intermission. Whereas deferment implies that, the researcher was asked to resubmit their work for a second assessment. This term is updated throughout the document to reflect the current practice.
- Chapter 6: The Doctoral Programme – Second Year
 - Under 6.2: *Progress assessment and admission to the third year*. Updating the term postponement with deferral to reflect the current practice.
- Chapter 7: The Doctoral Programme – Third Year
 - Under 7.4: Departmental recommendations regarding admission to fourth year and award of the EUI completion grant/stipend. Updating the term postponement with deferral to reflect the current practice.
- Chapter 10: Doctoral Supervision.
 - Under 10.3 *Choice of supervisor*. Add STG professors and Director to list of possible supervisors and replace the reference to Max Weber Director with Dean of Post-Doctoral Studies.
- Chapter 11: Student Status and Residence Requirements.
 - Under 11.2 *Maximum length of registration for the Doctoral Programme*. Replace the term maternity leaves with parental leaves and include reference to medical and duty of care leaves to reflect the current practice of the Entrance Board.

- Under 11.6. Registration as “researcher competing a thesis.” Specify that the five-year limit of the programme is the same as 60 months limit of enrolment.
- Chapter 12: Leaves, Intermissions and Postponed Deadlines.
 - Under 12.4: Intermission for parental leave / maternity leave (with or without EUI grant, with suspension of registration and with retention of grant entitlement). Replace the term maternity allowances with parental allowances (to cover also second parents).
 - Under 12.5: Intermissions related to Research Assistantships at the EUI. Replace maternity leaves with parental leaves.
- Chapter 14: reinstating the chapter on Master of Research in Economics (MRES ECO) taking away reference ‘European.’
- Chapter 16: Visiting and Exchange Students.
 - Under 16.5: Visiting Students’ Rights.

Take away reference to *Vanbreda* from “subscription to the EUI medical insurance scheme.”

Take away reference to ‘maternity’ and replace it with ‘parental’ allowance.

- **Amendments of 16 March 2022**
- Chapter 4: Application, Selection and Admission for the Doctoral and LL.M. Programmes

Under the Introductory text of the chapter, added:

"Exceptionally due to a force majeure requiring provision for researcher-at-risk funding, different admission procedures can be arranged."

- Chapter 14: Master of Research In Economics (MRES-ECO)

Under 14.2: Add the following sentence: "Exceptionally due to a force majeure requiring provision for postgraduate student-at-risk funding, different admission procedures can be arranged."

Certified at Florence, 16 March 2022

**For the Academic Council,
The President**

Renaud Dehousse

EUROPEAN UNIVERSITY INSTITUTE
FLORENCE

LL.M.: Master in Comparative, European and International Laws

M.

Born on at

was registered in the Department of Law of the European University Institute for the academic year 20xx/xx. He/she actively participated in the research seminars organized by the department, and completed on the basis of his/her research a dissertation entitled:

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which was approved by an examining board composed as follows:

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Done at Florence,

The Principal
of the European University Institute

The Institute's Regulations specify that the Master in Comparative, European and International Laws shall be ungraded



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March 2022

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