

# Academic rules and regulations for the doctoral programme

last amended by Academic Council Decision N°2/2011 of 14 December 2011 \*

## Chapter 1. The Admissions Committee

The Academic Council has created a sub-committee that is in charge of all matters related to the organisation of the doctoral programme.

### 1.1. Composition

The Academic Council appoints members: one per department, usually the Director of Graduate Studies, plus one student representative. The Committee is chaired by the Principal, without vote, or his deputy and is assisted by the Head of the Academic Service.

### 1.2. Meetings

At the end of each academic year the Admissions Committee proposes a schedule of meetings for the next academic year. If decision-making so requires, additional meetings can be arranged.

### 1.3. Tasks

Student admission, passage to second and third year and any other decisions concerning the status of research students will be made upon recommendation of the departments. It can propose to the Academic Council to amend and change the existing rules and regulations. It will base its decision-making on the recommendations of the departments and in respect of the Institute's rules.

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\* All amendments since the original decision (No. 1 of 11 December 1998) are listed on pp. 27 ff. of this document.

## Chapter 2. Admission

The success of the doctoral programme depends upon 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 competitive and comparative, 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.

### 2.1. Publicity

The Institute publishes, in collaboration with the national grant awarding authorities, the brochure "Grants and Fellowships at the European University Institute." Departmental booklets are also published, setting out departmental profiles and programmes and the research activities of the academic staff. These documents also specify the required qualifications of potential candidates. All this information is available on the Institute's Web site.

### 2.2. Application date and timing of the selection procedure

Applications must be sent to the E.U.I. Academic Service before 31 January. The application files are distributed to the departments in mid-February. The short-listing committees meet in Florence in the second half of March. Account being taken of the Easter holiday closure, the interviews are held in Florence early/mid-April. The Admissions Committee takes its final decision by the end of April.

### 2.3. The application file (submitted electronically)

The on-line application file is composed of:

- an application form (content and format approved and modified by the Admissions Committee);  
to which must be attached
  - a *curriculum vitae*;
  - a degree transcript;
  - a research proposal in accordance with departmental requirements.
  - 2 letters of reference, to be submitted to the Institute directly by the referees, preferably by email. A letter of reference from a current full-time or part-time EUI professor will not be accepted as part of the application, except (i) where the application is from a researcher already registered for an EUI degree (i.e. in cases of transfer between the LLM and the PhD programme) or (ii) where the professor in question is a member of an EUI department other than the one to which the candidate is applying, but nevertheless is in a position to comment on the relevant academic qualities of the candidate.

### 2.4. Selection criteria

Selection is the collective responsibility of the academic staff.

According to the High Council's decision: "[those] ... who hold a certificate entitling them to study for a doctorate [...] or hold a university qualification or equivalent diploma" are eligible to apply.

More specifically, the following elements will be examined:

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\*\* High Council decision of 21 November 1975; IUE 18/1/76 (CS 4) Rev. 1.

• **Academic record**

Since no uniform degree structure exists among the various countries, each short-listing committee sets its own minimum level for eligibility for selection. These minimum levels (diplomas, grades and experience) are intended as guidelines to ensure comparability of standards amongst the new intake of students. The guidelines are contained in "Grants and Fellowships at the European University Institute".

Candidates are in all cases expected to have sufficient background in theory and research methodology relevant to their discipline to be in a sound position to commence Doctoral studies on arrival at the Institute.

• **Potential supervision**

Each department carefully considers the potential supervision of 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 para. 4.2 below.

• **Language abilities**

Each candidate should have an adequate knowledge of two official languages of the European Union.

Selection of the candidates is carried out in three steps. The first stage is the selection by the Department of a preliminary short-list of candidates based on the written or electronic information provided in the application file. The second stage is the choice by the national short-listing committee of the candidates to be called for interview. The third stage involves the interview and selection of candidates by Departmental interview committees, on the basis of which each Department draws up a final list of selected candidates which it then submits for the approval of the Admissions Committee. All interviews of short-listed candidates by Departmental interview committees take place at the Institute.

**2.5. The short-listing process**

At the first stage 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 student body, 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 student body.

At the second stage, 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 research student body, preferably from the country concerned or well informed about its academic life. The grant-awarding organisation is invited to participate in the discussions. The Head of Academic Service chairs the meeting. The short-listing is done either by individual country or by group of countries. If the professor representing the department at the national short-listing committee has previously had a close working relationship with one of the candidates being proposed for discussion at the committee or if a candidate is otherwise well-known to the professor, that professor must notify the other members of the committee of this fact. The requirement on the part of the professor to declare prior knowledge of a candidate under consideration also applies to all subsequent stages of the selection process (i.e. the interviews and final departmental selection under para. 2.8).

## 2.6. The Interview

The national short-listing committee decides, taking full account of the departmental recommendations, on the short-lists of qualified candidates for interviewing. The number of short-listed candidates for interview is normally twice the available grants.

## 2.7. Final selection

The Academic Service informs the short-listed candidates that they will be called for interview as quickly as possible (telegram or email) after the decisions of the national short-listing committees are known. Travel expenses and a daily allowance are paid to the short-listed candidate according to Institute rules.

### • *Departmental interview committees*

Each department sets up interview committee(s), which can comprise either the academic staff as a whole, or selected members of the academic staff. The interviews allow for a more in-depth judgement of the candidate, in relation to scholarly knowledge of the field, research interests and experience and language skills.

A student representative is invited to be present as an observer in the committee during the interview. He or she has access to all written documents and is present with a right of voice but not vote in all its deliberations.

### • *Language skills*

The candidate is submitted to language tests in the language(s) most relevant for his/her research on proposal by the department where these languages are other than his/her mother tongue. The results of the test(s) are an integral part of the final decision.

If a special recommendation is made to improve language competence, final admission is conditional upon proof of the required progress being made (special testing in September).

### • *Departmental list of selected candidates*

On the basis of the interviews each department draws up a list of selected candidates with a ranking plus reserve candidates for the final decision by the Admissions Committee. Exceptionally, after due consultation with a representative of the student body and of the national grant-awarding organisation, the Department can propose to the Admissions Committee a candidate for final selection who has not been interviewed. In that case, the Department should make an explicit recommendation to the Admissions Committee as to the qualifications and qualities of the candidates and specifying the reasons he/she was not interviewed.

### • *Selection*

The Admissions Committee admits the candidates on the basis of the lists drawn up by the departments within the limits of the available grants and paying attention to a balanced distribution among departments and disciplines. The Admissions Committee also provides a reserve list in case of withdrawal. The Academic Service informs the candidates. There is no appeal against this decision. No communications are made about the final selection other than in writing (by telegram, letter or email). Selected candidates have to confirm their acceptance in writing as soon as possible and not later than 15 May.

## 2.8. Confidentiality

At all three 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 and student representatives involved.

## Chapter 3. The Doctoral Programme

### 3.1. Programme activities: First year

The first year is dedicated to providing a background for the doctoral work or preparation of the LL.M. thesis. 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 Academic Council; the content is published before the start of the academic year.

### 3.2. Academic Year

The Academic Council establishes an academic calendar, which specifies the start, interruptions and end of the seminar and teaching activities. Research students' 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 4.5).

### 3.3. Registration

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

#### • *September*

September is devoted to intensive language courses, introductory courses (Library, Computer hardware and software and Data retrieval) and first contacts with the departments. Participation in the September programme is an integral part of the first year programme and the Academic Service can make exceptions only after approval by the department.

#### • *October-July*

Each department announces an outline of seminars, courses and other activities before the last week of September; detailed information is provided in the weekly programme. The academic calendar defines the holiday periods.

### 3.4. Supervision

On arrival at the Institute, every researcher should already have been informed of the identity of their provisional advisor or supervisor. The final choice of supervisor is made by the Department on the basis of the mutual agreement of the relevant professor and researcher in accordance with the specific rules as set out by the Department.

See also 4.2. on supervision

### 3.5. June Paper

Before 10 June, in accordance with the dates decided by the departments, researchers in all departments other than the Department of Economics have to submit a June paper. Each department defines the June paper's content according to the requirements of its discipline. The department publishes these requirements.

### 3.6. Structured First year Programme

During the first year the activities of each research student, whether in the Ph.D. or in the LL.M. programme, will be evaluated through presentation of research progress in

seminars, exams, papers or any other form defined by the relevant department. In the case of the Ph.D. programme, the evaluation must be in compliance with the requirements of the Structured First Year Programme. The *general* minimum requirements of the Structured First Year Programme comprise:

- (i) successful completion of at least four courses, with at least two being evaluated, and
- (ii) except in the case of the Department of Economics, submission of a June paper.

Alongside these general minimum requirements, individual departments may set more extensive *specific* requirements.

### **3.7. Admission to second year**

The department will propose to the Admissions Committee its recommendation on admission to the second year (which may be positive, postponed to September, or negative). The Admissions Committee is responsible for deciding on admission to the second year, and will normally not approve admission until all the requirements of the Structured First Year Programme have been met. The relevant departmental recommendation must be communicated by letter from the department to the research student not later than one week before the meeting of the Admissions Committee at which it makes its decision. This letter may include a written report or any other document relevant to the recommendation.

### **3.8. Master of Research and LL.M.**

The Admissions Committee also decides 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 as specified in 3.6 above. 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, that minimum to be specified from time to time by the relevant department.

The degree of LL.M (Master of Comparative, European and International Laws) will be awarded in accordance with the requirements specified by the Law Department and as established in Chapter 6 of these Regulations and in the Structured First Year Doctoral Programme.

### **3.9. Direct admission to the second year**

Exceptionally, direct admission into the second year can be proposed on the basis of academic merits upon a departmental proposal, in accordance with Chapter 2. Researchers who are admitted directly into the second year do not qualify for the degree of Master of Research.

### **3.10. Procedures of appeal**

A research student may introduce a reasoned appeal against an unfavourable (negative) recommendation at the level of the department. The appeal will only be heard and examined on procedural grounds, manifest arbitrariness or on any other relevant non-academic matter. The President will appoint an appeal-committee composed of 5 members at the beginning of every academic year:

- 4 members designated by the President;
- a student representative.

In case one of the members is directly involved in the appeal case this Member resigns and the President designs a replacement.

It has access to all relevant material produced by the research student during the year and can hear anybody it deems fit. The department follows the recommendations of the ad hoc committee.

The committee decides by majority of the body.

The appeal should be made within one week after notification in writing to the head of department. The committee should take a decision before 1 July in the case of the June decision making, or before 15 October in the case of postponement.

### **3.11. Postponement of decision**

The department can recommend postponement of the decision to September where doubts are raised at the level of assessment of the first-year activities. The department clearly states in its recommendation what additional work is required. This work is submitted before 15 September.

The research student's grant will be extended until the end of the month of the final decision.

### **3.12. Second- and third-year programme/activities**

Each department defines the content of activities which will guide the research students in their doctoral research and in drafting the first chapters of the thesis (such as seminar participation and presentation of the results). The supervisor closely follows the work of the research students and observes progress made by comparison with the original plans; the research student'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 (see 3.13 below).

### **3.13. Second-year progress assessment**

In early June each department decides on its recommendations for entrance to the third year. A 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 Admissions Committee on admission to the third year can be: positive, postponed to September, or negative. The Admissions Committee, upon receiving the recommendation from the Department, makes the final decision on the question of admission to the third year.

The departmental recommendation is communicated by letter from the Department to the research student not later than one week before the relevant meeting of the Admissions Committee. This letter includes a written report or any other relevant document in support of the recommendation.

### **3.14. Procedures of appeal**

See under 3.10.

### 3.15. Postponement of decision

The department can recommend postponement of the decision to September where doubts are raised at the level of assessment of the second-year activities. The Admissions Committee takes note of these recommendations unless appealed against. The department clearly states in its recommendation what additional work is required. This work is submitted before 15 September.

The research student's grant will be extended until the end of the month of the final decision.

### 3.16. 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 Studies. The deadline for the submission of these confidential reports is 20 October.

In early November, the Dean of Studies will report on the general state of affairs to the Director of Graduate Studies of each individual department. Wherever problems are noted an informal attempt will be made to initiate a problem-solving process. The confidential reports will be destroyed by the end of the academic year.

### 3.17. Third-year (two thirds) and fourth-year progress assessment (first and final draft). *Fourth-year completion grant*

Researchers entering their fourth year are eligible for a full completion grant of 12 months. This grant is payable in instalments and is subject to conditions which link payment to completion by the end of the fourth year. The full completion grant will be paid to all researchers who submit their first *and* final draft by the 48<sup>th</sup> month of registration.

Researchers who are awarded, and then decide to take up, the completion grant are required to sign a written commitment that they will submit the first and final draft of their thesis within 48 months of registration. In this article, *first full draft* is defined as the first submission of the researcher, comprehending drafts of all elements and papers or chapters of the thesis; *final draft* is defined as the text which the researcher submits as being defensible to the supervisor.

#### ***Two thirds requirement and first instalment***

The first instalment of six months is payable on the basis of evidence that **the researcher has completed at least two thirds of the thesis at the very latest by the beginning of the fourth year. By the end of the 33<sup>rd</sup> month of registration** (normally this will be May), researchers should present evidence to their Department that they have made the requisite progress. In cases where the requisite progress cannot be clearly demonstrated at that stage, the researcher may resubmit evidence of progress **by the end of the 36<sup>th</sup> month of registration** (normally this will be August). In either case, the final decision on approval of the first instalment of payment is made by the Admissions Committee.

#### ***First full draft and second instalment of six months***

The second instalment, which is for six months, is payable only once **the first full draft of the thesis** has been submitted. Before payment can be approved, the relevant supervisor must certify in a memorandum to the Admissions Committee (a) that a full first draft of the thesis has been submitted and (b) the expectation that the final draft of the thesis will be submitted within 48 months of registration.

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.

Eligibility for the second instalment of the fourth-year grant ceases after 48 months of registration. Where a researcher has not completed a full first draft when the first instalment of fourth-year grant comes to an end (i.e. after 42 months of registration), and so is not yet eligible for the second instalment at that stage, the researcher may nevertheless qualify for the second instalment of the fourth-year grant provided that both the full first draft is submitted and the supervisor certifies that the final draft will be submitted before the expiry of 48 months.

#### **Assessment of drafts**

The supervisor is asked to give a qualitative analytical assessment of both the first and the final draft within a month after their submission. More specifically, in assessing the final draft, the supervisor is asked to decide from amongst the following options:

- to accept the draft as a thesis, ready for linguistic correction and defence;
- to accept the draft as a thesis for defence after minor changes;
- to accept the draft as a thesis for defence after major changes feasible within 6 months;
- not to accept the draft as a thesis for defence (see 5.3).

#### **No leave of absence without grant during 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.

### **3.18. Procedures of appeal**

See under 3.10

### **3.19. Timing of Defence**

The public defence of the thesis (as outlined in 5.3 and 5.4) should take place within 9 months of the submission of the final draft. Upon acceptance of a request by the supervisor and the department to the Admissions Committee, the defence can be organized at a later date.

## **Chapter 4. General Regulations**

### **4.1. 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 research.

In order to allow for disciplinary diversity, each department is invited to formulate standards and requirements as to how the scholarly work is 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 will be published by each department and communicated to each new researcher and staff member of the department.

### **4.2. Supervision**

The supervisor provides the intellectual and pedagogical support framework in which the researcher conducts the doctoral work, and advises the research student in setting up a feasible doctoral project within the limits agreed by the Institute, (i.e.3-4 years). 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.

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.

At the end of January of the first year, if either the supervisor or the researcher has misgivings about the supervisory relationship, they should inform the Director of Graduate Studies so that appropriate action can be taken. The head of department will substitute in cases where the supervisor is DoGS.

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.

The department guarantees that each new researcher shall have a current full-time member of the department appointed as their supervisor. If necessary an additional co-supervisor may be appointed, either from another department or from outside the Institute. To guarantee continuity in supervision no supervisor can, in general, be assigned new research students during the last contractual year at the Institute. The Department communicates all changes in supervision to the Academic Service on a monthly basis.

Wherever possible, the final choice of supervisor should be made during the first term of the first year. Where the appointment of a co-supervisor is deemed appropriate, he or she is assigned according to the regulations of each department.

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 (i) the departing professor continuing as sole supervisor, (ii) the departing professor sharing supervisory responsibility with a co-supervisor appointed from the current full-time departmental staff, or (iii) 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.

In case of conflict the Director of Graduate Studies will mediate. The head of department will substitute in case the supervisor is DoGS. 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 choose to consult the Dean of 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 supervisor to have another supervisor appointed, steps should be taken to find a suitable replacement.

Each department prepares a set of specific guidelines in the spirit of the above text, but allowing for the specificities of their discipline. These guidelines are part of a set of departmental publications of which a copy is given to each new researcher and faculty member. The present rules and the departmental guidelines are further supplemented by the general *Code of Practice* on doctoral supervision, which sets out in greater detail a set of Institute-wide standards on key aspects of the supervisory relationship. Again, a copy of this *Code of Practice* is given to each new researcher and faculty member.

#### 4.3. Student Status: The Five Year Maximum of Registration

Student status is automatically granted to all researchers duly registered within the programme from the time they join the Institute until they defend their thesis. Those with student status may participate in all activities (seminar, supervision, etc) in the relevant doctoral programme of the Institute, and benefit from all student facilities (library, computing facilities etc) provided to researchers. The right to submit the thesis (see 5.3 below) is also dependent upon student status.

Student status lasts 60 months, i.e. 5 years from the date of first registration in the doctoral programme. 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. In order that the Admissions Committee 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 5-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.

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 below (4.5 to 4.9):

The **maximum overall period of intermission** for which any combination of these is permitted is **18 months**.

#### 4.4. Residence requirements, Leaves of Absence and Intermissions

Research students must reside in Florence. Students should discuss summer research activities with their supervisor (or the professorial advisor/liaison professor referred to in 4.2 above) before the end of June.

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.

#### 4.5. 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 two months): authorised by the supervisor and head of department;
- b) research missions (more than two months): proposed by the department and approved by the Admissions Committee;
- c) exchange programmes: proposed by the department and approved by the Admissions Committee.

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 where appropriate, should be addressed to the Academic Service which will seek the advice of the department and submit the request to the Admissions Committee. Medical certificates should normally not be dated more than thirty days before the request for intermission is submitted; the certificate should refer to the medical condition that is pertinent to the request. Medical certificates will be treated with the utmost confidentiality.

#### 4.6. Leave of absence without grant (and without suspension of registration period)

These may be granted on the basis of an **external grant or scholarship** which 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 4.7 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, i.e. deadlines for assessing student progress and submission of work remain unchanged.

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

#### 4.7. 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, i.e. an intermission of their studies without grant, with suspension of registration and with retention of their grant entitlement, should first consult their internal supervisor. If the supervisor supports the request then s/he will make a recommendation to the Head of Department, the Dean of Studies and the Admissions Committee. The final decision rests with the Admissions Committee. 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* and *internships* (e.g. 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 (e.g., 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 this case.

- *Intermission on medical grounds*

Intermission may be granted on medical grounds. A reasoned request, including a medical certificate where appropriate, should be addressed to the Academic Service which will seek the advice of the department and submit the request to the Admissions Committee. Medical certificates should normally not be dated more than thirty days before the request for intermission is submitted; the certificate should refer to the medical condition that is pertinent to the request. Medical certificates will be treated with the utmost confidentiality.

- *Intermission on the basis of duty of care*

In cases such as prolonged illness, where researchers have to take 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 Admissions Committee. The privacy of researchers will be treated with the utmost confidentiality.

#### **4.8 Intermission for parental leave (with or without EUI grant, with suspension of registration and with retention of grant entitlement)**

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

Researchers can apply for the funding of their parental leave to either – in order of priority – the schemes of their national authorities or the EUI scheme.

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

Researchers applying for parental leave to the EUI scheme can intermit their studies for a maximum of six months. The financial parameters of the EUI scheme are set by the Budget Committee and the High Council.

#### 4.9. Research assistantships

Within the framework of the Institute, research students can take up either small or large research assistantships. Small jobs paid on an hourly basis up to 150 hours per academic year may be carried out by all categories of research students, including first- and second-year students. **Large research assistantships** 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 possible intermission on grounds of research assistantships are as follows.

##### **With intermission:**

- Where national grant-awarding authorities allow, research students may be offered research assistant tasks within the Institute amounting **to more than ¼ full-time employment** and entailing intermission of registration only in their third year of Ph.D. studies, i.e. between their 24<sup>th</sup> and 36<sup>th</sup> month of registration. More specifically, appointment to such positions involves interruption of grant 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 ¼ full-time employment**. Intermission is possible, but not a requirement.

##### **Without intermission:**

- **Small jobs** paid on an hourly basis of **up to 150 hours per academic year** may be carried out by all categories of research students, including first- and second-year students, without interruption of grant or suspension of registration. **Academic collaboration contracts** and part-time research assistantships of **up to 7/30 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 research students, i.e. 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 ¼ 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 Admissions Committee 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 4.3. and 4.7 concerning the overall maximum period for intermissions, which is normally – intermissions due to parental leave and compulsory military service excluded – 18 months

**Prior consent of supervisor:** In the case of research assistant tasks and academic collaboration contracts that go beyond the benchmark of 150 hours per year, the prior consent of the supervisor is required before the research student may be appointed.

#### **4.10. Registration as “researcher completing a thesis”**

The Institute may register as “researcher completing a thesis” any former research student who is no longer in receipt of an EUI grant, who wants to continue her/his research within the framework of the Institute and who has taken up full-time working duties outside the Institute. In this Article, “former research student” means any research student who has spent two complete years as an Institute research student.

The decision concerning registration as “researcher completing a thesis” is taken by the Admissions Committee on a proposal from the Department concerned. The decision shall apply for one academic year, renewable once.

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.

#### **4.11. 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 completed at least two years of study at the EUI, they are entitled to submit to the department and defend their doctoral thesis in accordance with the rules set out in Article 4.3 above (“Student Status: The Five year Maximum”) and in Chapter 5 below.

## **Chapter 5. The Doctorate**

(approved by the High Council on 10/11 December 1998)

- 5.1.** In accordance with Convention Article 14 (1), the Doctorate of the European University Institute may be conferred on research students who have completed a minimum of two years' study at the Institute and have submitted an original work as mentioned under 4.1 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.

- 5.2.** The work mentioned under 5.1 shall consist of a thesis, which must not previously have been published in full. Should part of the thesis be based on work published by the research student before defence, this shall be mentioned in the thesis manuscript.

At all stages of its production, the thesis shall remain the intellectual property of the research student, without prejudice to provisions of point 5.10.

- 5.3.** Should the thesis supervisor conclude that the doctoral work and thesis progress justifies the setting-up of a jury, s/he shall – after consulting the research student and any co-supervisor – propose the precise composition of the Examining Board for recommendation by the department to the Executive Committee for its establishment.

The research student may bring observations on the composition of the Examining Board to the attention of the department.

The student shall submit the thesis (including a 300-word summary) by depositing it with the departmental assistant, who shall insert it into the submission register. The thesis supervisor and any co-supervisor shall each draw up a reasoned report and send it to the student and to the Head of Department concerned within one month.

Should either the thesis supervisor's or any co-supervisor's reasoned report conclude that the submitted manuscript is after all not ready for defence, the report shall state the nature of important changes the student ought to make. The research student may nevertheless express in writing the wish to defend the thesis as it stands.

Every other Examining Board member shall draft a short report and send it to the department within two months of the manuscript's being sent to Examining Board members. This report should state whether the thesis is deemed defensible as it stands, or what changes would be needed to make it suitable for defence. The thesis supervisor shall inform the research student of these reports; the latter shall decide, in full awareness of the facts, whether to defend the thesis as it stands or instead to make changes; in the latter case, these changes shall be brought to the notice of the Examining Board members.

- 5.4.** The thesis shall be defended before the Examining Board. The Examining Board is made up of four members. The candidate's thesis supervisor shall be a member. The co-supervisor, if any, may also be appointed as a member of the Examining Board.

The Examining Board shall include at least one current full-time Institute professor (which, for these purposes, may be deemed to include "Professorial Fellows" appointed as such in recognition of the fact that, having previously held full-time professorial contracts at the Institute, they remain closely associated with the work of the Institute and are not in full-time employment elsewhere) and one academic from outside the Institute who has never been on its full-time or part-time professorial staff.

The Board is normally made up of two internal members and two external members. All four members should not 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 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 before 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 Board of Examiners. In exceptional circumstances, however, three external members and only one internal member may be appointed. This is permissible only where the spread of expertise necessary for the satisfactory examination of a thesis cannot otherwise be provided.

- 5.5.** 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 diploma issued to the candidate.  
At the start of the third year the researcher shall sign a statement committing him/herself to defend the thesis at the EUI.  
Allocation of the 3<sup>rd</sup> and 4<sup>th</sup> 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.

- 5.6.** The thesis defence shall be public. It shall be given appropriate publicity at least three 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.

- 5.7.** Before the defence, the Examining Board shall choose its own chair among the members apart from the thesis supervisor.

It shall take its decisions by majority of members present; the chair shall have 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 any member of the Institute attending the defence may participate.

- 5.8.** 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 Examining Board shall compile a reasoned report on the thesis and its defence.

Where the reasoned report(s) from the supervisor and co-supervisor referred to in point 5.3, third paragraph, are favourable and the thesis supervisor has not received a prior negative opinion from one or more Examining Board members, the Examining Board shall take one of the following decisions:

- immediate unconditional acceptance
- postponed conditional acceptance

Where the candidate has taken advantage of the possibility offered under point 5.3, fourth paragraph, or where one or more Examining Board members have notified the thesis supervisor of a negative opinion beforehand, 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 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.

- 5.9.** The Doctorate of the European University Institute is ungraded, and this fact shall be clearly stated on the diploma issued to the person concerned.

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

Theses can be published on paper and/or in electronic format. Theses can be published electronically by depositing the full text of the successfully defended Ph.D. or LL.M thesis, either in the version that was defended or in a revised version, in the EUI repository *Cadmus* in the collection 'EUI theses' as a protected PDF file.

Research students are encouraged to use this option.

The copyright remains with the author. The Agreement to publish the e-thesis should be signed.

**5.11.** Should it subsequently appear that the Doctorate of the European University Institute has been secured fraudulently, the Academic Council shall be empowered, on a proposal from the members of the Examining Board supported by a two-thirds majority of Academic Council members who are part of the Institute's academic staff, to withdraw the Doctorate of the European University Institute.

**5.12.** The attendance certificate provided for in Convention Article 14 shall attest to the work done by a research student while at the Institute. It shall be awarded by the Principal on a proposal from the Institute professor under whose supervision the research student has worked.

**5.13.** 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.

**5.14.** 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 5.1.

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 Institute Doctors regarding the wearing of the distinctive garments provided for in the foregoing point.

**5.15.** Amended Decision n. 5/89 is hereby abrogated. However, provisions of its Articles 9, 10, 11 and 12 shall still apply to the proceedings of Examining Boards already created at the time of the entry in force of the present chapter.

## **Chapter 6. LL.M (Master in Comparative, European and International Laws)**

- 6.1. The LL.M. (Master in Comparative, European and International Laws) shall be conferred by the Principal on students who have pursued the one-year course of the Law Department and successfully completed a dissertation showing their capacity for high-level research.
- 6.2. The dissertation must be submitted to the Law Department at the end of the programme year by a date to be decided by the Department.
- 6.3. The examining board for assessment of the dissertation shall be made up of the supervisor and two readers appointed by the Department.
- 6.4. The LL.M. (Master in Comparative, European and International Laws) is ungraded, and this fact shall be clearly stated on the diploma itself.
- 6.5. The dissertation shall remain the intellectual property of the research student.
- 6.6. The annexed specimen shall be an integral part of this decision.
- 6.7. 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 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. researchers 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.

If during the year of LL.M. study the research student successfully applies for transfer to the doctoral programme, transfer to the second year may be conditional on completing contractual commitments undertaken as part of the research assistantship. In addition, s/he may continue collaborating on the externally-funded research project from the start of the second year but the conditions of the research assistant contract will have to be reconsidered and may eventually be modified in view of the fact that national grant funding may be awarded to the student.

## Chapter 7. Visiting Students at the EUI

### 7.1. Definition of *Visiting Student*

- 7.1.1. 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.
- 7.1.2. The student, once registered as a Visiting Student at the EUI, will be a non-degree student.
- 7.1.3. Registration at the European University Institute as a Visiting Student implies affiliation to one of the Institute's departments, for which specific application measures apply (cf. Point 7.3. below).
- 7.1.4. 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 Head of the Archives will decide on access in cases of this kind. Such external students will not be considered "Visiting Students".

### 7.2. Length of a Visiting Student's Stay:

- 7.2.1. The normal duration of a Visiting Student's stay will be from 1 to 6 months.
- 7.2.2. 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 are to be approved by Admissions Committee.

### 7.3. Application Procedure

- 7.3.1. 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.
- 7.3.2. A person wishing to register as a Visiting Student will apply to the European University Institute in one of two ways:
- 7.3.2.1. 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, (and Columbia for the Law Department),
  - EU partner universities in the *Socrates/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.

**7.3.2.2.** 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.

**7.3.3.** 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.

#### **7.4. Admission**

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

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

**7.4.3.** 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.

##### **7.4.4. 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:

**7.4.4.1.** 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.

**7.4.4.2.** 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.

#### **7.5. Visiting Students' Rights**

**7.5.1.** 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"
- taking part in all departmental and Institute activities

- advice on research/supervision by the appointed departmental contact professor
- subscription to the EUI medical insurance scheme (Van Breda)
- N.B. all Visiting Students must have 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
- photocopy cards (180 copies per month)
- assistance from all EUI services in all that concerns student support, e.g. accommodation, welfare advice;
- a "*carta d'identità*" (as obtained by the EUI from the Italian Foreign Ministry in Rome) in longer term cases, i.e. stays of over 6 months, and where the student is eligible for such a card.

- 7.5.2.** 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, e.g. research missions

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

**7.6. 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 research students receive. The information concerning the Visiting Student's matriculation number, dates of registration and department will be distributed to all relevant services at the EUI (Operational Service, Library, Computing Service).

## **Chapter 8. Research Assistants and Admission to the Doctoral Programme**

### **8.1. Introduction**

From time to time it may come about that funding linked to research projects is available for sponsoring persons who, on the one hand, have been recruited directly for work connected with a research project taking place at the EUI but who, on the other, wish to pursue a PhD at the Institute. Such sponsorship differs from that of the normal, national EUI grant programmes in that it is i) externally-funded and thus not subject to the admission conditions imposed by national grant authorities and ii) subject to conditions of employment in that the person recruited must be directly employed by the EUI.

Persons recruited for work on research projects being undertaken at the EUI (including candidates applying for work with a PhD studentship funded through European Research Council (ERC) projects), whose employment status can be classed under the category of 'Research Assistant' (as described in Chapter 12 of the EUI Codex, "Academic Assistants [Research Assistants....]", articles 71-74) and who are not enrolled on another doctoral programme, may apply to the EUI to register on its doctoral programme.

Given that these persons are primarily bound by the conditions of their employment contract, it is understandable that they may, for certain aspects of the doctoral study, find themselves in conflict with the Institute's Academic Rules and Regulations for the Doctoral Programme.

The aim of this chapter is therefore to set out basic regulations for the recruitment and status of these researchers *vis-à-vis* their PhD studies on the one hand and project tasks on the other.

These regulations shall come into effect as of calendar year 2011, for academic year 2011-2012.

### **8.2. "Admission"**

With reference to the selection and admission conditions laid out in Chapter 2 of the EUI Academic Rules and Regulations, all such conditions are equally applicable. In this way, candidates for the doctoral programme may be assessed in the same way, and at the same time, as candidates applying to the EUI under national grant programmes. Candidates will not be considered under the national (or other grant programme) quotas in view of the external funding linked to their position.

PhD positions financed by ERC projects must be advertised during the normal period of recruitment in the year preceding admission.

Before any candidate is admitted, the project director must guarantee that funding (in the form of a salary paid from the project) will be available for at least three years beyond the date of admission to the doctoral programme, subject to the candidate performing satisfactorily throughout the programme.

Considering living costs on the one hand, and time to be devoted to doctoral studies on the other, it is recommended that their funding from the project should be not less than the equivalent of 15/30 full-time employment.

Researchers admitted to the doctoral programme in the framework of externally-funded projects will not be subject to the Institute's tuition fees.

The successful candidate will take up the PhD position at the EUI no later than 1st September following application.

### 8.3. "Doctoral Programme"

With reference to Chapter 3 of the Academic Rules and Regulations, all conditions laid out in the articles therein may be applied in the same way to this category of researcher, noting however that under article 3.17 (Fourth-year grant), the researcher may, in the fourth year, continue to benefit from the same project salary s/he has received during the first three years of the programme, conditional on having completed two thirds of the thesis by the end of the third year and the first full draft by the end of the 42<sup>nd</sup> month of the programme.

Researchers admitted to the doctoral programme in the framework of a research project and financed by that same project are not eligible for the award of the Institute's own fourth-year grant.

### 8.4. "General Regulations"

With reference to Chapter 4, unless mentioned specifically below, all articles of the chapter will apply equally to researchers of this category.

- 8.4.1. "Thesis": the conditions laid out under article 4.1. will apply, with the added note that researchers recruited in the project framework are bound by contract to work on a thesis topic that is linked directly to the 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.
- 8.4.2. "Supervision": the conditions laid out under article 4.2. 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 by (one of) the project director(s).
- 8.4.3. "Leave of Absence without grant": the conditions set out under article 4.6. may be applied but only after having taken into consideration related conditions of the employment contract.
- 8.4.4. "Intermission of studies .....": the conditions set out under article 4.7. may apply but *ditto* as above
- 8.4.5. "Intermission for parental leave .....": the conditions set out under article 4.8. may apply but *ditto* as above insofar as the conditions under the employment contract offer additional benefits to the researcher.
- 8.4.6. "Research Assistantships": article 4.9 of the Academic Rules and Regulations lays down the conditions for research students on the doctoral programme where these are in receipt of a grant through normal, national grant programmes. Given that researchers recruited for doctoral studies under externally-funded projects will benefit from a salary for the duration of their studies at the EUI, considering that employment conditions (as distinct from grant conditions) are an integral part of these projects and that the researcher has been admitted specifically in that

framework, article 4.9. is not applicable to the category of researcher/research assistant being considered in this chapter.

8.4.7. "Registration as "researcher completing a thesis": article 4.10. The conditions may be applied in cases where the researcher no longer benefits from project funding beyond the end of the third year of the doctoral programme.

8.4.8. "Withdrawal from the doctoral programme": the conditions set out under article 4.11. may apply, but only after having taken into consideration the conditions of withdrawal set out in the researcher's employment contract.

**8.5. "The Doctorate":** with reference to Chapter 5, 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.

**8.6.** Any specific matter not covered by, or any dispute that cannot be satisfactorily settled by the above-mentioned regulations may be referred to the EUI Admissions Committee for further investigation and decision.

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, 3<sup>rd</sup> 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 2<sup>nd</sup> and 3<sup>rd</sup> 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 EUI 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.

Certified at Florence, 14 December 2011

For the Academic Council,  
The Principal

Josep BORRELL

**Specimen**

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