Rules of the Erasmus Mundus Joint Doctorate in Sustainable Energy Technologies and Strategies

Approved by the SETS Management Board on March 19th 2013

Sanctioned by:
Comillas Pontifical University
Delft University of Technology
KTH Royal Institute of Technology

Scope of this document

This document is the frame for the development of the Joint Doctorate in Sustainable Energy Technologies and Strategies. It is an agreement among the partner HEIs to define the common obligations and responsibilities that all the participants in the programme must comply with. Special attention has been devoted to the regulation of the joint activities that are the core of the programme and require the coordination of the partner HEIs.

These SETS rules have been developed in compliance with the SETS Joint Doctorate Proposal, the SETS Framework Agreement and the SETS Consortium Agreement signed by the partner HEIs and annexed to this Rules.

The participants in this programme will have to comply with these SETS rules along with the regulations of the partner HEIs.

This document is not a procedure. When it is necessary, specific procedures to define the course of action will be developed separately.

Article 1. Definitions and glossary of terms

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
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<tbody>
<tr>
<td>co-supervisor</td>
<td>person appointed by each home HEI to assist the supervisor in his/her responsibilities</td>
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<tr>
<td>Examination Committee (EC)</td>
<td>committee responsible for the thesis examination</td>
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<td>HEI</td>
<td>Higher Education Institution</td>
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<td>home HEI</td>
<td>HEI awarding the joint degree that proposes a research line and that is the candidate link with the programme</td>
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<tr>
<td>Joint Academic Committee (JAC)</td>
<td>joint committee responsible for the academic evaluation of the candidates and that proposes the HEIs awarding the joint degree the admission to the public examination</td>
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<tr>
<td>Joint Admission Committee (JAD)</td>
<td>joint committee that proposes the HEIs awarding the joint degree the admissions to the programme</td>
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<tr>
<td>Management Board (MB)</td>
<td>joint board responsible for the management and decision making of the programme</td>
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<td>opponent</td>
<td>an expert holding a PhD that scrutinizes the scientific work in the thesis and the publications included therein</td>
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<tr>
<td>professor</td>
<td>in this context refers to a full professor or an associate professors with the right to supervise doctoral candidates (ius promovendi) according to the national legislation of its HEI</td>
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</table>

1 JAC, JAD and MB composition, competences and decision making process are specified in the SETS Erasmus Mundus proposal annexed to the Consortium Agreement.
supervisor: the professor appointed by each home HEI to support and supervise the candidates in their activities

tutor: professor that assists a candidate from another home HEI while hosted at his/her HEI

SETS Joint Doctorate (SETS) stands for Erasmus Mundus Joint Doctorate in Sustainable Energy Technologies and Strategies

Article 2. Programme overview

2.1. The Erasmus Mundus Joint Doctorate in Sustainable Energy Technologies and Strategies (SETS) is a joint doctorate implemented by a consortium of six Higher Education Institutions (HEIs).

HEIs awarding the joint degree:

a. Comillas Pontifical University (Comillas) in Madrid, Spain
b. Delft University of Technology (TUDelft) in Delft, the Netherlands
c. KTH Royal Institute of Technology (KTH) in Stockholm, Sweden

Further partner HEIs

d. The Johns Hopkins University (JHU) in Baltimore, USA
e. Paris Sud 11 University (Paris Sud11) in Paris, France
f. Florence School of Regulation (FSR) in Florence, Italy

2.2. The programme comprises training activities, research activities and mobility. To follow the program, each doctoral candidate is assigned to a research line (RL) with a supervisor and a specific mobility pathway. Tutors are also assigned to support supervisors when doctoral candidates are away from their home HEI.

2.3. Training activities consist of courses at doctoral level that cover research, discipline and generic skills, such in accordance with the requirements of the degree-awarding universities. PhD candidates must earn at least 60 ECTS credits through training activities. They can be taken in the different HEIs of the mobility pathway and they must be completed before the beginning of the fourth academic year. The credits for training activities awarded by each of the HEIs awarding the joint degree are mutually recognised by all of them.

2.4. Research activities include research work per se and the dissemination and publication of the findings. The research activities come to an end when candidates finish their research work and finish writing their dissertation. The JAC is responsible for the joint annual evaluation of the research activities.

2.5. The standard time to perform the doctorate is four academic years. Nevertheless, the thesis can be defended at an earlier date, if all the necessary requirements have been fulfilled.

2.6. The official language of communication of the programme is English.

2.7. The mandatory mobility is approved by the JAC according to the following requirements:

a. all students must spend at least eighteen months at their home HEI;
b. all students must spend at least nine months at another HEI awarding the joint degree;
c. in addition, students spending part of their mobility in the same country where they earned their preceding university degree must spend at least six months at a third HEI.

2.8. The admission to the public examination is decided unanimously by the HEIs awarding the joint degree.
2.9. Candidates that successfully complete the programme are awarded a single Joint Degree by Comillas, KTH and TUDelft.

Article 3. Admission to the programme

3.1. The Joint Admission Committee (JAD) is responsible for the screening and ranking of applications for each year's intake according to the criteria set up by the Management Board. The JAD will also assign the applicants to the various research lines offered within the programme. Final Admission will have to be sanctioned by all the HEIs awarding the joint degree.

3.2. The JAD membership will include one representative from each consortium HEI. The consortium HEIs that do not award the joint degree can delegate their responsibility to another consortium HEI representative.

3.3. The JAD representatives must be associate or full professors.

3.4. Admission requirements:

a. To be eligible for admission to the SETS joint doctorate the applicants must have earned the equivalent of 300 ECTS credits, including at least 60 credits in a master’s degree and on master’s level.

b. Applicants must hold a degree in engineering.

c. Applicants must prove that they have sufficient command of the English language, according to the standards established yearly by the MB.

d. To be selected for an Erasmus Mundus SETS Scholarship, the candidates also need to fulfill the eligibility requirements established by the Erasmus Mundus EMJD fellowships.

3.5. In accordance with the selection criteria, candidate evaluation will be governed by the General Principles of the Code of Conduct for the Recruitment of Researchers.

Article 4. Supervision

4.1. Each candidate will be assigned to a research line with one supervisor and at most two co-supervisors. Prior to this assignment, each research line and the above mentioned supervisor and co-supervisors will have to be sanctioned unanimously by the JAC.

4.2. The role of the supervisor is to support and supervise the candidate's activities. He/she will be the contact person between the candidate and the programme, help design and define the candidate's work plan and supervise the fulfilment of the targets there defined.

4.3. The thesis supervisor must hold a PhD degree. He/she must be a professor at the home HEI of the candidate.

4.4. The role of the co-supervisor is to support the supervisor in his/her activities.

4.5. The thesis co-supervisor(s) must hold a PhD degree.

Article 5. Research work evaluation

5.1. The Joint Academic Committee (JAC) will be responsible for the academic evaluation of the candidates. The JAC will evaluate yearly the candidate activities according to the overall individual plan and approve the next year work plan unanimously.

5.2. The JAC will decide about the continuity in the programme of each doctoral candidate, and about any corrective measures to take to guarantee that the doctoral candidate will complete the doctorate in due course.

5.3. The JAC membership will include one representative from each HEI awarding the joint degree. These representatives can delegate their functions in another professor of his/her same HEI.

5.4. The JAC representatives must be associate or full professors.
Article 6. Thesis manuscript

6.1. The thesis manuscript will be written in English.

6.2. The thesis manuscript will be issued according to the general rules of the candidates home HEI. The document will include at least the following items:
   a. Title page
   b. Contents list
   c. Introduction
   d. State-of-the-art review
   e. Specific sections containing the body of the research work
   f. Conclusions
   g. Future works
   h. Reference List

6.3. The specific sections containing the body of the research work can be a collection of papers written by the candidate. In this case:
   a. These papers must have been published or accepted for publication in academic journals indexed in the Journal Citation Report (JCR).
   b. The papers must be based on the results of the candidate research work.
   c. The candidate must be the main author.
   d. The papers must be a coherent set that focuses on a specific research line.
   e. The whole manuscript must include the required sections that provide the cohesion between the papers in order to achieve a comprehensive manuscript.

6.4. The dissertation will reflect the joint nature of the Erasmus Mundus programme with explicit reference to the partners awarding the joint degree and the consortium composition.

Article 7. Internal examination

7.1. The requirements for the admission to the public examination are the following:
   a. The completion of the training activities, research activities and mandatory mobility
   b. The publication or acceptance for publication of at least two papers in a journal indexed in the JCR
   c. The informative report of the supervisor and co-supervisors
   d. The JAC informative report in the terms described in 7.4
   e. The unanimous positive decision of the HEIs awarding the joint degree

7.2. The process will start after the candidate request

7.3. The supervisor and co-supervisor will inform the JAC and propose the members of the examination committee

7.4. The JAC will compile all the information including any additional report they consider necessary. The JAC will send the HEIs awarding the joint degree its report along with the examination committee proposal.

7.5. Each HEI awarding the joint degree will decide on the admission to the public examination and on the examination committee proposal according to its own rules
7.6. Only after the unanimous approval of the HEIs awarding the joint degree as well as the JAC the candidate will be admitted to the public examination.

7.7. The examination committee members will submit their reports upon request of the JAC before the public examination. Should any problem be detected, the JAC will agree on the appropriate measures.

Article 8. Public examination

8.1. The thesis dissertation will be publicly defended at any HEI awarding the joint degree within the SETS consortium.

8.2. The examination procedure will follow the protocol established in the HEI where the defence takes place. Only if the regulations of all the HEIs awarding the joint degree cannot be simultaneously satisfied, multiple examinations will be demanded.

8.3. The Language of the public examination will be English.

8.4. The public examination will include a candidate’s public presentation and answering the questions posed by the Examination Committee (EC). The opponent as well as the audience attending the public presentation will have the opportunity to pose questions according to the protocol at the HEI where the examination takes place.

8.5. The EC membership will consist of five members under the approval of the JAC:
   a. One full professor appointed by the candidate home HEI as chairman.
   b. One full or associate professor from Comillas.
   c. One full or associate professor from KTH.
   d. One full or associate professor from TU Delft.
   e. One additional doctor expert in the field of the thesis.

8.6. The EC might ask for advice the supervisor and co-supervisors or any other individuals they consider suitable.

8.7. The EC will be responsible for the final evaluation of the thesis according to the three grading systems of the HEIs awarding the joint degree. In order to facilitate this task, the HEIs awarding the joint degree will provide the EC with a grading conversion table.

Article 9. Joint degree diploma

9.1. Each HEI awarding the joint degree will keep a complete academic record of the doctoral candidates.

9.2. The HEIs awarding the joint degree will issue one joint degree diploma.

9.3. The joint degree diploma will be official in Spain, Sweden and the Netherlands.

9.4. The diploma supplement will be issued free of charge. It will include the programme description, the candidate’s training and research activities and his/her mobility pathway.

9.5. Details of diploma appearances and content of the diploma supplement will be decided separately.

Article 10. Additional dispositions

10.1. Additional regulations by consortium HEIs will respect these rules.

10.2. Claims regarding the application of these rules will be addressed to the SETS Joint Management Board. They will be solved jointly and according to the rules of the incumbent partners.
ENDORSEMENT OF THE SETS RULES

ERASMUS MUNDUS JOINT DOCTORATE IN
SUSTAINABLE ENERGY TECHNOLOGIES AND STRATEGIES (SETS)

As Deputy President, I hereby express the intention of KTH ROYAL INSTITUTE OF TECHNOLOGY, Stockholm, Sweden, as partner institution in the consortium, to approve the rules of the Erasmus Mundus Joint Doctorate in Sustainable Energy Technologies and Strategies that have been developed in compliance with the SETS Joint Doctorate Proposal, the SETS Framework Agreement and the SETS Consortium Agreement and in which the common obligations and responsibilities that all the participants in the programme must comply with are defined.

I confirm that KTH ROYAL INSTITUTE OF TECHNOLOGY is committed to complying with the SETS rules and in witness thereof I sign this endorsement letter and the SETS rules document attached in Stockholm on April 8th 2013.

Name, position and signature:

Mrs. Eva Malmström Jonsson
Deputy President

[Signature]

Official stamp