

LLSH DOCTORAL SCHOOL N°50
Languages, Literature & Humanities

PhD supervision vademecum

Updated on October 29, 2021

The doctoral school rules and regulations provide additional details on particular cases (e.g. enrollment in the case of a gap period, parental leave) if necessary.

0. Preamble: general information

The ministerial decree of May 25, 2016 setting the national framework for PhD training and the conditions resulting in the PhD being awarded aims to ensure that the time spent on the thesis is not entirely devoted to it, but includes a doctoral training program that should increase the employability of PhD students outside the university. As a general rule, you should be familiar with this decree in broad terms.

Supervisor, co-supervisor, thesis advisor

To supervise a thesis (as "supervisor" or "co-supervisor"), you must hold the Accreditation to Direct Research (HDR). If you do not hold an HDR, you can nevertheless co-supervise a thesis up to 50% (as a "thesis advisor"), with an HDR supervisor, who will be responsible for the PhD student and ensure that the thesis runs smoothly and that the doctoral training is carried out.

However, in exceptional circumstances, it is possible to submit a "one-time approval request" to the doctoral school board and the CED ALLSHS Doctoral Exemptions Commission (CD3) to obtain a one-time, non-renewable authorization. This dispensation will be examined, for example, if the applicant must defend an HDR (accreditation to direct research) within the next two years.

A PhD student may also be supervised by two HDR thesis supervisors. Co-supervision is a way of pooling the expertise of two research units and enabling the PhD student to receive material and financial support from both units he/she is affiliated with. Although a co-supervision agreement must be signed by both research supervisors concerned, only one administrative enrollment is required. There is a single defense and it takes place in the university in which the PhD student is enrolled.

Duration of the thesis

The duration of the thesis, set by the ministerial decree of May 2016 (article 14), is 3 years for full-time PhD students, 6 years for part-time students. Annual extensions may be granted by the doctoral school management team, depending on the opinions of the supervisor, the CSI (Individual follow-up committee) and the doctoral school management team. The application is discussed by the CD3 (Doctoral Exemptions Commission), on the recommendation of the doctoral school management team. In the event of an unfavorable opinion from the doctoral school, the PhD student can request a second opinion from the UGA Research Commission. The final decision is taken by the President of the UGA.

To follow this rule (some theses are still defended in the 7th or 8th year, but the HCERES has asked us to give up this practice), while adapting it to the Humanities context, you must establish a plan and a volume of work in collaboration with the PhD student that will allow the defense of the thesis within a reasonable time frame (ideally in the fourth year for PhD students benefiting from specific funding, in the sixth year for the others).

As a rule, you follow the PhD student throughout the duration of the PhD and you make sure that he/she validates the 120 compulsory training hours on ADUM, shared between disciplinary training courses, transversal training and professional integration. In case of difficulties or conflicts, the doctoral school helps find a solution to carry the thesis through to defense.

Please refer to the ADUM catalog of training courses offered by the CED or the doctoral school. The doctoral school also validates "non-catalog" training courses. This can be, for example, the PhD student's investment in the life of the laboratory (communication, organization of symposiums or study days, etc.) or of the doctoral school (survey, investment in the promotion of the PhD and career development, etc.), or specialized scientific training courses not offered by the doctoral school or CED.

https://www.adum.fr/script/formations_UDG.pl?site=CDUDG

Supervision rates

In order to ensure that thesis supervisors are fully available, the maximum supervision rate is set at **6 PhD students, with a maximum volume of 500%**, for the entire UGA Humanities sector.

In the case of co-supervision, international joint supervision or exceptional circumstances, an exceptional exemption may be submitted to the doctoral school, along with a reasoned argument.

1. Recruitment and enrollment of PhD students

Definition of a thesis project

Anyone wishing to begin a PhD must submit to the prospective supervisor a substantial research project (approximately 10 pages, excluding bibliography), a résumé, a cover letter, and their master's grade transcript (or equivalent diploma where required). Applications with a GPA of less than 12/20 for the master's degree and a grade of less than 14 for the dissertation will not be accepted (see the doctoral school rules and regulations, <http://ecoledoctorale-llsh.univ-grenoble-alpes.fr/>, texts and regulations). It is your responsibility first to examine the project and help the applicants write it so that it meets academic expectations at this level of studies. The project must be in your field of research and it must be ratified by the relevant research unit director.

It is important that you ensure the admissibility of the project, that the applicant obtained cum laude honors in his/her master's degree, and that you read the research thesis; you must also ensure that the future PhD student has the financial resources required to carry out this work. The doctoral school board has set a funding threshold corresponding to the French RSA (Active solidarity income) benefit, i.e. 565 euros/month. A thesis that is funded by odd jobs is statistically less likely to be defended than a thesis that is funded or carried out at the same time as a salaried job (permanent contract).

It is also important to assess the feasibility of the project in, ideally, 3 years (full-time) or 6 years (part-time), taking into account the time needed for training courses and the preparation of communications and publications.

Reminder: a thesis supervisor or co-supervisor is HDR (accredited to direct research); a thesis advisor is a lecturer without an HDR accreditation.

Application for a thesis ("academic enrollment")

Once the project has been examined and approved within the relevant research unit, the PhD student must open an ADUM account and send the application to the doctoral school, including the training agreement and the PhD charter signed by all parties. The detailed procedure is available on the doctoral school website.

The doctoral school management team, in view of the project, the elements in the application and the various opinions, gives or withholds its approval, possibly requesting modifications if the project is not sufficiently fleshed out or framed, and enquires about the material conditions during the thesis in the case of a non-funded thesis.

The doctoral school board has established the following rules for the recruitment of PhD students, which can be found in the doctoral school rules and regulations, on the following website <http://ecoledoctorale-llsh.univ-grenoble-alpes.fr/>

In addition to an overall GPA of 12 and a grade of 14 in the dissertation, the criteria for admission to the PhD program in the LLSH doctoral school are as follows:

- French master's degree including a research paper in the same disciplinary field
- In the case of a French master's degree that includes a research thesis in another discipline: enrollment may be conditional, with, for example, the obligation to attend additional training courses (theoretical or methodological). In this case, these courses must be included in the training agreement (ADUM).
- In the case of a master's degree from a foreign university, a request for an "exemption from a French master's degree" must be sent to the doctoral school; the request is examined by the ALLSHS doctoral school Doctoral Exemptions Commission (CD3); enrollment may be conditional, as stated previously.
- The doctoral school board can be asked to give an opinion on an applicant.

PhD students who wish to do so may, with the agreement of their thesis supervisor, submit a request for a dispensation to write their thesis in a language other than French. The dispensation is granted by the doctoral school board. A 30-page summary in French must be provided with the thesis. For PhD students without joint supervision, English is the only language for which a dispensation is possible. PhD students in joint supervision or co-supervision with a foreign university do not need this dispensation (but they must provide a 30-page summary in French).

For joint supervision theses, an agreement template can be requested from the international joint

supervision service, once the thesis subject has been accepted. cotutelle-international@univ-grenoble-alpes.fr

The European label ("European PhD") adds a European dimension to the PhD degree. It is awarded by academic institutions in the European Union and concerns students from member states and other free trade states (Austria, Switzerland, Iceland, Norway, Sweden, Liechtenstein). This system is distinct from the international joint supervision of a thesis, which may be combined with it. It is awarded in addition to the PhD, when the following conditions are met:

- ☐ The PhD has been prepared during a stay of at least one term in another country of the European Union.
- ☐ The authorization to defend is granted on the basis of reports written by at least two professors belonging to higher education institutions in two different European countries, other than the one (or those in the case of a joint supervision) in which the PhD was prepared.
- ☐ At least one member of the jury belongs to a Higher Education Institution of a Member State of the European Union other than the one in which the thesis is defended.
- ☐ Part of the defense of the thesis is conducted in a language of the European Union other than the national language(s) of the country where the PhD is being defended.

European Label

This European label is awarded in addition to the PhD and is the subject of a separate certification.

Enrollment in the doctoral school is mandatory and must be renewed each year (ministerial decree of May 2016 and the Doctoral College's Charter). PhD students in joint supervision must ensure in advance that their agreement and/or amendment is valid for the year of re-enrollment, and enroll administratively, even if the tuition fees are not due for the current year (they are paid alternately in the two partner universities).

Do not hesitate to remind your PhD students that enrollment is a two-step process: first academic (application for enrollment), then administrative (actual enrollment). It must be done before the end of November. A PhD student who does not re-enroll is considered to have withdrawn. Enrollment for the first year of the thesis can be carried out until the end of March. The thesis supervisors must ensure that this enrollment procedure is carried out each year. The thesis follow-up committee (see below, point 4) is set up as soon as the first enrollment is made, by the laboratory and doctoral school directors. This CSI (Individual follow-up committee) is totally independent from the thesis supervision.

2. Thesis funding

The Ministry, as well as the Presidency of the UGA, insist that theses be either specifically funded by a 3-year doctoral contract, or completed at the same time as a permanent salaried job.

Doctoral contracts may originate from:

- the Ministry (7 per year, apart from "Disability" (*Handicap*) contracts)
- from the regional authority (rare)
- from the ENS for its masters' students
- from a company, association, local authority, with a CIFRE contract
- other organizations (Vinci, DAAD, Eole, Chateaubriand, EFE, grants from foreign governments : see the doctoral school website, "Funding")
- IDEX funding from the UGA

French or foreign grants can provide occasional financial support, as can the doctoral school, which can participate in funding missions through the research units.

3. Applying for a doctoral contract

To apply for a doctoral contract (duration 3 years), interested persons are invited to respond to the call for applications in March-April and to submit an application to the doctoral school. They must first have contacted their future thesis supervisor and their application must have been accepted and ranked by the research unit. Candidates are selected on the basis of their application, then auditioned and ranked by the doctoral school board.

Candidates who have a French national master's degree with a research dissertation, with a GPA of more than 12/20 for the four semesters, may apply; the minimum grade required for the dissertation is 14/20, in accordance with the doctoral school rules and regulations. Applications that do not meet this criterion are inadmissible. The rules and dates of the application period are available on the doctoral school website. Applicants who do not have a French national master's degree must submit a request for equivalence, in accordance with the doctoral school and Doctoral College's rules and regulations 6 weeks before the application deadline. Their request will be examined by the Doctoral College ALLSH Doctoral Exemptions Commission (CD3) and they will be informed of the decision.

The application, which is carried out entirely online, must be sent in 2 PDF files (one for the dissertation, the other for all the supporting documents in a single PDF file) to the doctoral school by the deadline indicated.

The application must include:

- A cover letter in French (one page)
- a two-page résumé, in French, based on the following template: academic background, professional or associative experience, acquired skills, achievements
- a research project in French of 3000 words (+ or - 10%). The number of words must appear at the beginning of the document
- the grade transcript for the four master's degree semesters
- the master's degree (with certified translation into French or English) or the certificate of completion for masters obtained in the year of application for the doctoral contract, and for foreign masters, the authorization of exemption granted by the ALLSHS Doctoral Exemptions Commission (CD3)
- The master's thesis

Incomplete or unsigned applications that do not respect the deadline or the number of pages requested will be declared inadmissible and will not be forwarded to the jury members.

See application rules and regulations on the doctoral school website: <http://ecoledoctorale-llsh.univ-grenoble-alpes.fr/fr/presentation/textes-et-reglements/>

Thesis projects supported by a doctoral contract from the ENS are not submitted to the doctoral school board.

Thesis projects funded after a call (IDEX or others) must be the subject of a widely publicized offer. It is up to the relevant laboratory to organize the selection of the applicant. This procedure must be recorded in writing and included in the first-year enrollment application.

4. PhD studies (PhD training program)

PhD studies (decree of May 25, 2016) include the writing of the thesis and a compulsory doctoral training program, divided equally between three broad areas with few boundaries:

- Scientific training (conferences and seminars) – organized by the labs and doctoral school
- Transversal training (methodology, research tools and practices) – organized by the DFTIP or doctoral school
- Professional integration training – organized by the CED

These training courses allow students to obtain a certain number of "training hours" (HF) attributed according to the duration and the work required. A minimum of 120HF is required over the course of the thesis, divided equally (3 x 40 HF approximately) between the 3 types of training program on offer (scientific, transversal and professional integration) and with a compulsory minimum of 24HF for professional integration. Some courses are validated by the DFTIP, others by the doctoral school. The doctoral school website provides a list of the types of training course eligible for an HF equivalence.

Please note: the research ethics course is mandatory to obtain a PhD (15h MOOC, organized by the CED).

The individual follow-up committee (CSI)

Every year, from the end of the first year of the thesis (i.e., to re-enroll in the second year), each PhD student is interviewed by his/her CSI (Individual follow-up committee), which ensures that the PhD is running smoothly, based on the PhD charter and the training agreement. In an interview with the PhD student, the CSI assesses the conditions of his/her studies and research progress. It makes recommendations and sends a report to the doctoral school dean, the PhD student and the thesis supervisor. It ensures in particular that any form of conflict, discrimination or harassment is prevented. (article 13 of the ministerial order of May 25, 2016).

Composition of the CSI (Individual follow-up committee) is determined at the beginning of the thesis, and is recorded in a "CSI installation form" (see form on the doctoral school website) to be included in the thesis application. Members are chosen by the lab and the doctoral school management team, in agreement with the PhD student, and the lack of conflict of interest is checked. At least one member must be external to the laboratory in which the thesis is registered, and at least one member must be HDR (accredited to direct research). The CSI interview can be held by videoconference.

See the rules setting the organization of these committees for the LLSH doctoral school

<http://ecoledoctorale-llsh.univ-grenoble-alpes.fr/fr/presentation/textes-et-reglements/>





Portfolio

The portfolio is a tool that the 2016 decree and the CED's career center have developed to monitor PhD students' careers. For more information, contact Candice Robert, in charge of PhD promotion at the CED (candice.robert@univ-grenoble-alpes.fr).

Labels

PhD students are encouraged to follow a specific PhD training program as part of the labels set up by the CED and organized by the DFTIP, the Department of Transversal Training and Professional Integration. These labels (not to be confused with the European label for theses) are training programs open to all, whatever the PhD specialization. They were established with the aim of facilitating PhD graduate professional integration, by helping them to carry on their career after their thesis.

There are four label training programs, which target well-defined employment sectors. Browse the labels on the doctoral college website:

-  [ICAIE Label - Innovation, business/company creation](#)
-  [CPOI Label - Public authorities and international organizations](#)
-  [REI Label - Research, Entreprise & Innovation](#)
-  [RES Label – Research & Higher Education](#)

By committing to one of these programs, PhD students benefit from three years of personalized support, specific training, field experience and validation of acquired skills.

PhD students on contract with a teaching mission are enrolled in the RES label training program.

Enrolling in a label training program does not require additional work and validates two thirds of the training hours (80 HF). The training is approved by the DFTIP.

Non-label training program

PhD students who are not enrolled in the label training program can follow other training programs for professional integration:

- **The Doctoriales**

Each year, the Doctoriales bring together approximately 80 PhD students from the doctoral college for a one-week residential seminar, during which they work in teams on an innovative project. The Doctoriales are an opportunity to meet professionals and to train for recruitment interviews.

<https://doctorat.univ-grenoble-alpes.fr/fr/pendant-la-these/la-formation-durant-la-these/insertion-professionnelle/les-doctoriales/les-doctoriales--101067.htm>

- **Entrepreneurship support**

The CED invests heavily in supporting entrepreneurship. If someone wants to enroll in a PhD at the same time as starting a business, or if they want to go into entrepreneurship after the thesis:

<https://doctorat.univ-grenoble-alpes.fr/fr/apres-la-these/creer-votre-entreprise/creer-votre-entreprise-575230.htm>

5. Thesis defense

Prior to defending the thesis, the student must have validated 120 HF of training, **including the training module on research ethics**. Without these validated HF, the thesis cannot be defended and the PhD cannot be awarded. PhD students can access a summary of their training program on ADUM.

Once the PhD student's supervisor has given approval, he/she starts the procedure on ADUM, at least two months before the defense (if possible three). It is the student's responsibility to provide the date and time as well as the jury members. The thesis must be uploaded on ADUM and analyzed by the Compilatio anti-plagiarism software.

Jury composition (established on the recommendation of the thesis supervisor) is validated at the last stage by the CED vice dean (who is delegated to sign by the Presidency), on the advice of the doctoral school management team. The candidate must provide a copy of his/her thesis to each member of the jury as well as to the external referees. PDF files are strongly recommended. Laboratories may be asked to help with thesis printing.

The external referees must be HDR (accredited to direct research) and external to the UGA.

Defense authorization is granted by the Presidency (the CED management team) after two pre-reports with a favorable opinion, countersigned by the doctoral school management team. Laura Galland is in charge of the thesis defense management (laura.galland@univ-grenoble-alpes.fr).

The defense procedure is online on the doctoral school website: <http://ecoledoctorale-llsh.univ-grenoble-alpes.fr/fr/soutenances/soutenir-sa-these/>

The Doctoral College rules and regulations, pursuant to the ministerial decree of May 2016, specify highly important points regarding the composition of the jury (statutes, parity, absences). **It is included at the end of this document ("Juries and thesis defenses: rules and recommendations"), in French and then in English.**

All matters related to booking the room, transportation and accommodation of the jury and the thesis meal are handled by the research unit administrators. Defense expenses are paid by the research units.

6. Doctoral school administrative management

All the texts and regulations are on the doctoral school website, which we encourage you to visit regularly. You will find information on the training program, news and calls for applications (doctoral contracts, thesis prizes, summer schools, symposiums, etc.).


Do not hesitate to contact the doctoral school admin officers:

- ☒ Kheira Baraka (reception, enrollment and re-enrollment, general information, HDR defenses, financial management, website update)
- ☒ Laura Galland (thesis defense and training program) Mail :

ed-llsh@univ-grenoble-alpes.fr

The offices are located on the second floor of the Maison du Doctorat (maison Jean Kuntzman, "bibliothèques" tram stop)

Laure Gardelle
LLSH doctoral school dean

	Note de cadrage	Etudes doctorales
	Applicable aux propositions de jury soumises à l'Ecole doctorale à compter du 1 ^{er} /11/2021	
	MAJ le : 14/10/2021	
Jury et soutenance de thèse : règles et recommandations		

(scroll down for English version)

Ce document traduit l'application au sein de l'UGA des articles 18 et 19 de l'arrêté ministériel du 25 mai 2016, qui portent sur le jury de thèse et les conditions de soutenance de thèse, et de l'arrêté du 27 octobre 2020 relatif au recours à la visio-conférence pour la présentation des travaux dans le cadre d'une habilitation à diriger des recherches et d'une soutenance de thèse.

I. Choix des rapporteurs

Les deux rapporteurs doivent être HDR, ou équivalent HDR⁽¹⁾, extérieurs au site Grenoble Alpes, au laboratoire, et à l'Ecole Doctorale (ED) d'inscription du doctorant, et ne pas être impliqués dans la thèse (pas de participation à l'encadrement scientifique de la thèse, pas de publication commune avec le doctorant). Dans le cas d'une co-tutelle, ils ne peuvent pas appartenir aux établissements signataires de la convention sauf clause spécifique mentionnée dans ladite convention. Les rapporteurs peuvent ne pas faire partie du jury de soutenance.

II. Règles de composition du jury de soutenance de thèse

Membres

1. Le jury doit comporter au moins 4 membres et 8 au maximum (directeur de thèse compris) dont au moins la moitié de personnalités extérieures à l'établissement d'inscription du doctorant, aux structures rattachées, au laboratoire et à l'Ecole doctorale du doctorant et au moins la moitié de membres Professeurs des Universités (PR) ou Professeurs Assimilés (PRA)⁽²⁾. Le nombre de membres du Jury prenant part à la décision est au minimum de 3 ; le directeur (le cas échéant, le co-directeur) ne prend pas part à la délibération du jury.
2. Le jury doit comporter au moins un enseignant-chercheur de l'UGA, maître de conférences HDR ou professeur des universités, qui n'a pas participé à l'encadrement de la thèse.
3. Le jury doit comporter au moins un membre ayant le statut de Professeur dans un établissement public d'enseignement supérieur habilité à délivrer le doctorat en France⁽³⁾, ou son équivalent dans une université étrangère⁽⁴⁾.
4. Une personnalité non académique titulaire d'un doctorat peut être membre du jury. S'il n'est pas docteur, cette personnalité ne pourra participer à la soutenance qu'en qualité de membre invité. Des dérogations restent possibles à titre exceptionnel, à la condition que cette dernière ne soit pas impliquée dans la thèse. Ces dérogations nécessiteront un CV complet de cette personnalité et un argumentaire détaillé du directeur de thèse.

5. Sauf exception ou cas particulier, les co-encadrants⁽⁵⁾ de thèse ne peuvent participer à la soutenance qu'en qualité d'invité. Leur rôle dans l'équipe d'encadrement lors de la préparation de la thèse doit être précisé sur la couverture de thèse et dans toute communication relative à la soutenance. Ils ne sont pas pris en compte dans le décompte des membres du jury et donc dans les ratios. Ils pourront être amenés à intervenir lors de la soutenance de thèse, sur invitation du Président du jury.

Recommandation :

Il est très fortement conseillé de constituer un jury comptant au moins 5 membres (dont le directeur de thèse) avec au moins 3 extérieurs et 3 PR ou PRA.

Ratio entre membres extérieurs et locaux

6. Le jury doit être composé, pour au moins la moitié, de membres extérieurs, c'est-à-dire non rattachés à une structure du site de Grenoble Alpes et à une ED du site, et n'ayant pas été impliqués dans la thèse.
7. Si le directeur ou le co-directeur de thèse sont membres du jury de thèse, ils sont pris en compte dans les ratios, en tant que membres locaux du jury.
8. Un co-directeur⁽⁵⁾ de thèse rattaché à une structure externe au site grenoblois et externe à l'ED pourra être membre du jury de thèse. Il sera pris en compte dans les ratios comme membre local.
9. Une personnalité non académique (même grenobloise) est extérieure si elle n'est pas impliquée dans la thèse.

Ratio PRA/non PRA

10. Le jury doit être composé pour au moins la moitié de professeurs ou professeurs assimilés. Les professeurs et chercheurs en situation de détachement hors de leurs corps d'origine n'entrent pas dans le quota des 50% de professeurs des universités ou assimilés et ne peuvent pas être présidents du Jury de soutenance de doctorat, sauf lorsque ceux-ci sont détachés dans un corps dont les membres sont assimilés à des professeurs des universités. Le cas particulier des personnels relevant d'établissements avec lesquels l'UGA a passé des conventions est visé par le point 14 ci-dessous.
11. Un membre émérite (PR, DR ou MCF) peut faire valoir son diplôme (HDR) pour être rapporteur ou examinateur pour une thèse. En revanche, il ne peut pas faire valoir son rang PR ou PRA. En conséquence, il ne peut pas être président du jury.
12. Un professeur honoraire ou retraité peut être examinateur dans un jury, mais ne peut pas être rapporteur ou président du jury.

Cas particuliers

13. Un CV bref (mentionnant, en particulier, les encadrements de thèse et le titre académique exact dans le pays d'exercice⁽⁴⁾) est demandé pour chaque personnalité étrangère, ou chaque personnalité choisie en raison de son expertise, en dehors du monde académique pour pouvoir juger de leur statut dans le jury.

14. Conformément à la convention de coopération entre l'UGA et le CEA datée du 15 Juillet 2020, en conformité avec l'article 6 du décret 92-70, les Ingénieurs de niveau E5 (et plus) titulaires d'une HDR et bénéficiant du titre de chercheur-enseignant de l'UGA (enseignant un minimum de 32 heures EqTD par an) seront considérés comme PRA, ainsi que ceux exerçant leurs fonctions dans des unités de recherche des établissements publics d'enseignement supérieur relevant du ministre chargé de l'enseignement supérieur et ceux membres d'un des conseils qui assurent l'administration des établissements publics d'enseignement supérieur relevant du ministre chargé de l'enseignement supérieur ou des composantes des universités.

Présidence

15. Le président du jury est PR ou PRA, doit être en exercice dans une Université ou une UMR, ou membre d'un EPST. Il ne peut pas être un encadrant de la thèse.

III. Parité

La composition du jury doit permettre une représentation équilibrée des femmes et des hommes (Art. 18 de l'arrêté de mai 2016). Cet équilibre étant difficilement atteignable dans certaines disciplines, un objectif raisonnable est qu'il y ait au moins une femme et un homme dans chaque jury.

Un bilan sera régulièrement fait pour détecter d'éventuelles dérives et s'assurer que statistiquement la représentation en genre dans les jurys est comparable à celle des sections CNU concernées.

IV. Thèses en cotutelle

Pour les thèses en cotutelle, les règles ci-dessus peuvent être assouplies. En particulier, la proportion de membres extérieurs pourra être plus faible (au moins 1/3). Par contre, sauf cas très particulier ayant été mentionné dans la convention, il convient de respecter les règles concernant les rapporteurs (2 HDR ou équivalent extérieurs) et la proportion de PR ou PRA. Dans le cas de co-tutelle, un directeur ou co-directeur de l'université partenaire est considéré comme membre local.

V. Usage de la visio-conférence

L'usage de la visio-conférence est régi par l'article 2 de l'arrêté du 27 octobre 2020.

« A titre exceptionnel, le président ou le directeur de l'établissement, après avis du directeur de l'école doctorale, sur proposition du directeur de thèse, peut autoriser le doctorant et les membres du jury, en totalité ou partiellement, à participer à la soutenance de thèse par tout moyen de télécommunication permettant leur identification et garantissant leur participation effective continue et simultanée aux débats ainsi que la confidentialité des délibérations du jury. Les moyens techniques mis en œuvre s'efforcent d'assurer la publicité des débats ».

La demande de la visio-conférence totale sera faite au moment du dépôt du dossier de soutenance via le formulaire dédié.

En cas de visio-conférence partielle (à mentionner sur le formulaire de proposition de jury), il est rappelé que le président du jury et le doctorant doivent être physiquement dans la même salle.

Les mêmes règles s'appliquent pour les jurys HDR.

VI. Délibération

La délibération doit se tenir en deux phases :

- La première, pendant laquelle l'ensemble des membres du jury pourra apporter les éléments supplémentaires utiles.

- La seconde, lors de laquelle les membres de la direction de thèse peuvent être invités par le président du jury à quitter la salle de délibération ou, si ils sont autorisés à rester, à ne pas intervenir pour la décision finale d'attribution du diplôme.

Ces règles seront jointes au dossier de soutenance pour transmission au président du jury qui conduira les discussions selon les pratiques qu'il jugera appropriées.

VII. Signatures du PV et rapport de soutenance

1. Le PV de soutenance est signé par les membres du jury hors directeur(s) de thèse.
2. Le rapport de soutenance est signé par l'ensemble des membres du jury. Le rapport doit porter la mention "La décision d'admission a été prise par les membres du jury hors les directeurs de thèse, encadrants invités et invités, non délibérants".
3. Les invités ne signent ni le PV ni le rapport de soutenance.
4. Lorsqu'un membre du jury a utilisé la visioconférence, le Président indique sur le PV "Visioconférence" et signe pour ordre "P.O. M. Untel", donc en lieu et place du membre distant. Concernant le rapport de soutenance, le président signe pour ordre en indiquant "P.O. M. Untel". La demande de dérogation pour participation au jury par visioconférence doit être établie avant la soutenance, et jointe au PV de soutenance. Les signatures "P.O. M. Untel" ont même valeur que les signatures des membres présents.
5. Un membre absent lors de la soutenance (sans visioconférence) ne signe ni le PV ni le rapport. Le Président indique "Absent" sur le PV.
6. Toute modification manuscrite des fonctions, grades, adresses des membres du jury est strictement interdite ⁽⁶⁾.
7. Le PV devra faire apparaître clairement le lieu et l'heure de la soutenance.

VIII. Gestion des absences de membre(s) du jury.

Principe général : l'utilisation de la visioconférence est à privilégier, dans les limites fixées au paragraphe V.

Absence de membre(s) du jury de soutenance sans possibilité de visioconférence :

1. Si les contraintes de validité du jury sont toujours respectées, la soutenance peut avoir lieu. Les membres absents sont déclarés comme tels sur le PV de soutenance et ne signent pas le PV.
2. Si, compte-tenu des absences annoncées, le jury n'est plus valide et si le temps le permet, il est possible de modifier sa composition pour en rétablir la validité. La nouvelle composition devra être communiquée le plus tôt possible à l'ED pour validation par l'établissement et édition du nouveau PV de soutenance pour signature à l'issue de celle-ci.
3. Si l'absence inopinée d'un membre du jury est déclarée peu avant la soutenance sans possibilité de le remplacer pour assurer la validité du jury, la participation à la soutenance par téléphone est tolérée. Le président applique la même procédure qu'en cas de visioconférence.
4. Dans la situation précédente, si la solution téléphonique n'est pas possible, la soutenance devra être reportée.

Des exemples de constitution de jury sont fournis à l'Annexe 2.

NOTES

(1)

- a. L'équivalence HDR d'un enseignant-chercheur étranger est acquise par défaut pour les collègues étrangers dont les fonctions sont équivalentes à PR (document « Arrêté du 10/2/2011 »). Un CV mentionnant au minimum le statut exact et le bilan des activités de recherche et d'encadrement doctoral de ces collègues est requis lors de la constitution du dossier de soutenance.
- b. Pour les collègues n'entrant pas dans cette catégorie : L'évaluation de la légitimité d'un collègue étranger à rapporter sur une thèse doit être analysée par le comité HDR de l'ED dont relève la thèse. Ce dernier est le plus à même de statuer sur l'adéquation entre le dossier du collègue d'une part et ce qui est requis d'autre part pour être autorisé à soutenir une HDR au sein de cette ED.

Exemple de critères pouvant servir de base d'analyse :

- Une dizaine d'années d'expérience en R&D,
- Bon dossier de publications
- Expériences d'encadrement doctoral, attestées e.g. par des publications avec les doctorants.
- Pertinence du CV pour le domaine spécifique lié à la thèse

- (2) La qualité de Professeur des universités ou assimilé (PRA) pour un Jury de soutenance de doctorat à l'Université Grenoble-Alpes est définie sur la base de l'arrêté du 15 juin 1992.
- (3) Tel qu'indiqué sur le site du MESRI : <https://www.enseignementsup-recherche.gouv.fr/cid148415/etablissements-enseignement-superieur-francais-accredites-delivrer-doctorat.html>
- (4) Pour les personnalités étrangères : titre exact dans la langue d'origine et équivalence au titre de l'arrêté du 10/2/2011.
- (5) Le statut de directeur ou co-directeur de thèse ne peut être donné qu'à un PR ou assimilé, à une personnalité titulaire de l'HDR, ou bénéficiant d'une dérogation ponctuelle instruite par la Commission des Dispenses et Dérogations Doctorales (CD3) après avis du comité HDR de l'ED de rattachement du doctorant, et validée par la commission de la recherche du conseil académique (article 16 de l'arrêté du 25 mai 2016). Toute personne encadrant la thèse et ne respectant pas ces conditions est considérée comme un co-encadrant.
- (6) En cas d'erreur constatée dans les noms, fonctions, grades ou adresse d'un ou plusieurs membres du jury, le président peut faire la demande de correction(s) sur une feuille séparée. Un changement dans le grade ou la fonction d'un membre du jury peut conduire à remettre en cause la validité du jury.

Annexe 1 : Liste des textes réglementaires ayant servi à rédiger ce document


- Décret n°84-431 du 6 juin 1984 fixant les dispositions statutaires communes applicables aux enseignants-chercheurs et portant statut particulier du corps des professeurs des universités et du corps des maîtres de conférences.
- Décret n°92-70 du 16 janvier 1992 relatif au Conseil national des universités
- Arrêté du 15 juin 1992 fixant la liste des corps de fonctionnaires assimilés aux professeurs des universités et aux maîtres de conférences pour la désignation des membres du Conseil national des universités
- Arrêté du 10 février 2011 relatif à la grille d'équivalence des titres, travaux et fonctions des enseignants-chercheurs mentionnée aux articles 22 et 43 du décret n° 84-431 du 6 juin 1984 fixant les dispositions statutaires communes applicables aux enseignants-chercheurs et portant statut particulier du corps des professeurs des universités et du corps des maîtres de conférences
- Arrêté du 25 mai 2016 fixant le cadre national de la formation et les modalités conduisant à la délivrance du diplôme national de doctorat
- Arrêté du 27 octobre 2020 relatif au recours à la vidéo-conférence pour la présentation des travaux dans le cadre d'une habilitation à diriger des recherches et d'une soutenance de thèse

Annexe 2 : Exemples de constitution de jury

Exemple 1 : Soit un jury standard avec 5 membres dont le directeur de thèse. Il y a donc au minimum 3 extérieurs et 3 PR ou PRA. Si un membre extérieur est absent, le jury reste valide avec 4 membres dont 2 extérieurs et au moins 2 PR ou PRA.

Exemple 2 : Soit un jury avec 6 (8) membres dont 3(4) extérieurs. En cas d'absence d'un extérieur, un membre interne (par exemple le directeur de thèse) doit se retirer du jury. La condition sur les PR ou assimilé doit être remplie.

Exemple 3 : Soit un jury avec 4 membres dont 2 extérieurs. Si un membre extérieur est absent (même un rapporteur), la soutenance est reportée. Si un membre interne est absent, il pourra être remplacé au pied levé par un autre membre interne, sous réserve d'accord du directeur de l'ED et de l'équilibre PR et PRA.

	Guideline	Doctoral Studies
	Applicable to jury proposals submitted to the Doctoral School as of 1/11/2021	
	Updated: 10/14/2021	
Jury and thesis defense: rules and recommendations		

This document conveys the application of articles 18 and 19 of the ministerial Decree of May 25, 2016 within the UGA, which concern the thesis jury and the conditions of thesis defense, and of the Decree of October 27, 2020 concerning the use of videoconferencing for presenting work within the framework of an accreditation to direct research (HDR) and a thesis defense.

I. Choice of external referees (rapporteurs)

The two external referees must be accredited to direct research (HDR) or HDR⁽¹⁾, equivalent, from outside the Grenoble Alpes site, the laboratory, and the Doctoral School in which the PhD student is enrolled, and must not be involved in the thesis (no involvement in the scientific supervision of the thesis, no joint publication with the PhD student). In the case of a co-supervision, they cannot belong to the establishments that signed the agreement, unless there is a specific clause in the agreement. The external referees cannot be part of the thesis defense jury.

II. Rules for thesis defense jury composition

Members

1. The jury must consist of at least 4 members and no more than 8 (including the thesis supervisor), at least half of whom must be from outside the PhD student's institution, the affiliated organizations, the laboratory and the doctoral school, and at least half of whom must be University Professors (PR) or Associate Professors (PRA)⁽²⁾. At least three members of the Jury must be involved in the decision; the supervisor (or co-supervisor, if applicable) does not take part in the jury's deliberations.
2. The jury must include at least one UGA research professor, either a senior lecturer (maître de conférence HDR) or a university professor, who was not involved in the thesis supervision.
3. The jury must include at least one member with the status of Professor in a public institution of higher education accredited to award the PhD in France⁽³⁾, or equivalent in a university outside France⁽⁴⁾.
4. An individual who has a PhD but who does not work in academia may serve as a member of the jury. If he or she is not a Doctor, this person may only take part in the defense as an invited member. Exceptions are possible on the condition that the latter is not involved in the thesis. These exceptions require the individual's full resume and a detailed justification by the thesis supervisor.
5. Except in exceptional or special cases, the thesis advisors⁽⁵⁾ can only attend the thesis defense as guests. Their role in the supervision team during the preparation of the thesis must be stated on

the thesis cover and in any communication related to the defense. They are not counted as members of the jury and therefore not included in the ratios. They may be asked to speak at the thesis defense, upon invitation of the jury President.

Recommendation:

It is highly recommended that a jury of at least 5 members (including the thesis supervisor) be formed with at least 3 external members and 3 University Professors (PR) or Associate Professors (PRA).

Local to external member ratio

6. At least half the jury must be external members, i.e. not affiliated with a Grenoble Alpes site institution or doctoral school, and who have not been involved in the thesis.
7. If the thesis supervisor or co-supervisor is a member of the thesis jury, they are considered as local members of the jury.
8. A thesis co-supervisor⁽⁵⁾ affiliated with an organization outside the Grenoble site and the doctoral school may be a member of the thesis jury. They are considered as local members of the jury.
9. An individual who does not work in academia (even in Grenoble) is considered as an external member if they are not involved in the thesis.

Associate Professor (PRA)/non-Associate Professor Ratio

10. At least half of the jury must consist of University Professors or Associate Professors. Professors and researchers on secondment from their parent institution are not included in the 50% quota of University Professors or Associate Professors and may not be chairpersons of the PhD defense jury, except when they are on secondment to an institution whose members are equivalent to University Professors. The specific case of personnel from institutions with which the UGA has signed agreements is covered by point 14 below.
11. An emeritus member (University Professor, Research Director or Senior Lecturer (MCF) can invoke his or her HDR degree (accreditation to direct research) to be an external referee (rapporteur) or examiner for a thesis. However, he/she cannot use his/her University Professor or Associate Professor rank. Consequently, he/she cannot be president of the jury.
12. An honorary or retired professor may serve as an examiner on a jury, but may not serve as an external referee (rapporteur) or jury president.

Special cases

13. A brief resume (notably mentioning thesis supervisions and the exact academic title in the country of practice⁽⁴⁾) is requested for each non-French individual, or each individual chosen for his or her expertise, outside the academic world in order to assess their status on the jury.
14. In accordance with the cooperation agreement between the UGA and the CEA dated July 15, 2020, and in compliance with Article 6 of Decree 92-70, engineers at level E5 (and higher) who are accredited to direct research (HDR) and hold the title of Research Professor at the UGA (teaching the equivalent of 32 hours of tutorials minimum per year) will be considered Associate

Professors (PRA), as well as those performing their duties in research units of public higher education institutions under the authority of the French higher education minister and those who are members of one of the boards of directors of public higher education institutions under the authority of the French higher education minister or of university faculties.

Presidency

15. The president of the jury is a University Professor or Associate Professor, and must be a member of a University or a UMR research lab, or a member of a French EPST (Public Scientific and Technical Research Establishment). He/she cannot be a supervisor of the thesis.

III. Equality

Jury composition must ensure a balanced representation of women and men (Art. 18 of the May 2016 Decree). As this balance is difficult to achieve in certain disciplines, a reasonable expectation is that there will be at least one woman and one man on each jury.

A regular assessment will be made to detect possible deviations and to ensure that jury gender representation is statistically comparable to that of the relevant CNU (French National Council of Universities) sections.

IV. Joint supervision thesis

The above rules can be relaxed for a joint supervision thesis. The proportion of external members can be lower (at least 1/3). However, except in very specific cases mentioned in the agreement, the rules concerning the external referees (2 external referees accredited to direct research (HDR) or equivalent) and the proportion of University Professors or Associate Professors must be respected. In the case of a joint supervision thesis, a supervisor or co-supervisor from the partner university is considered as a local member.

V. Use of video-conferencing

The use of video-conferencing is governed by article 2 of the Decree of October 27, 2020. "By way of exception, the president or dean of the institution, after consulting the dean of the doctoral school, at the suggestion of the thesis supervisor, may authorize the PhD student and the members of the jury, in whole or in part, to participate in the thesis defense by any telecommunication means that ensures their identification and guarantees their effective, continuous and simultaneous participation in the debates as well as the confidentiality of the jury's deliberations. The technical means used must ensure that the debates are public".

The request for full videoconferencing will be made at the time of submission of the defense dossier via the designated form.

In case of partial videoconferencing (to be mentioned on the jury proposal form), it should be noted that the jury president and the PhD student must be physically in the same room.

The same rules apply for HDR (accredited to direct research) juries.

VI. Deliberation

Deliberation must be conducted in two stages:

- The first, during which all jury members can contribute additional useful elements.

- The second, during which the thesis supervisors may be invited by the jury president to leave the deliberation room or, if they are allowed to stay, not to intervene in the final decision to award the PhD.

These rules will be attached to the defense dossier for submission to the jury president, who will lead the discussions in the manner he or she deems appropriate.

VII. Thesis defense record and report signatures

1. The thesis defense record is signed by all members of the jury with the exception the thesis supervisor(s).
2. The thesis defense report is signed by all jury members. The report should include the following statement: "The admission decision was taken by the members of the jury, excluding the thesis supervisors, invited supervisors and guests, who were not deliberating".
3. Guests do not sign the thesis defense record or the report.
4. When video-conferencing was used by a jury member, the President indicates on the thesis defense record "Video-conference" and signs in the remote jury member's place, "P.O. Mr. /Mrs. X". As for the thesis defense report, the president signs, "P.O. Mr. /Mrs. X". The request to participate in the jury by videoconference must be made before the defense, and attached to the defense record. The signatures "P.O. Mr. /Mrs. X" have the same value as the signatures of the members present.
5. A jury member who is absent during the defense (without videoconference) does not sign the thesis defense record or the report. The President states "Absent" on the thesis defense record.
6. Any handwritten modification of the jury members' positions, ranks or addresses is strictly forbidden ⁽⁶⁾.
7. The thesis defense record must clearly state the place and time of the defense.

VIII. Jury member absence management.

General rule: preference should be given to the use of videoconferencing, within the limits set out in paragraph V.

Thesis defense jury member absence without access to videoconferencing:

1. Provided the constraints of the jury's validity are still respected, the defense can take place. The absent members are declared as such on the defense record and do not sign the record.
2. If the jury is no longer valid due to declared absences, and if time permits, its composition can be modified to re-establish its validity. The new composition must be submitted to the doctoral school for validation as soon as possible and the new defense record must be issued for signature at the end of the thesis defense.
3. If the unexpected absence of a jury member is declared shortly before the defense without the possibility of replacing him/her to ensure the validity of the jury, participation in the defense by telephone is permissible. The president will apply the same procedure as in the case of a videoconference.
4. If a telephone solution is not possible in the above situation, the thesis defense must be postponed.

Examples of jury composition are provided in Appendix 2.

FOOTNOTES

(1)

- a. The HDR (accredited to direct research) equivalence for a non-French research professor is acquired by default for international colleagues whose functions are equivalent to University Professors ("Decree du 10/2/2011" document). A resume indicating the exact status and the record of research and PhD supervision activities of these colleagues is required when compiling the defense dossier.
- b. For colleagues who do not fall into this category: Assessment of the legitimacy of a non-French colleague to be an external referee for a thesis must be analyzed by the HDR committee of the relevant doctoral school. The latter is best able to determine the relevance of the colleague's file to the requirements for being authorized to defend an HDR within this doctoral school.

Criteria that can be used as a basis for analysis include:

- A decade of experience in R&D,
- Good publication record
- Experience in PhD supervision, e.g. through publications with PhD students.
- Relevance of experience in the specific field related to the thesis

- (2) The status of University Professor or equivalent (Associate Professor) for a PhD thesis defense jury at the Université Grenoble-Alpes is defined according to the decree of June 15, 1992.
- (3) As indicated on the MESRI website : <https://www.enseignementsup-recherche.gouv.fr/cid148415/etablissements-enseignement-superieur-francais-accredites-delivrer-doctorat.html>
- (4) For non-French individuals: exact title in the language of origin and equivalence in accordance with the Decree of 10/2/2011.
- (5) The status of thesis supervisor or co-supervisor can only be given to a University Professor or equivalent, to a person holding the HDR accreditation to direct research, or benefiting from a specific dispensation granted by the Commission des Dispenses et Dérogations Doctorales (CD3) after approval by the PhD student's doctoral school HDR committee, and validated by the Academic Council's research commission (article 16 of the Decree of May 25, 2016) Any person supervising the thesis who does not meet these conditions is considered an advisor.
- (6) In the event of an error in the names, positions, ranks or addresses of one or more jury members, the president may request a correction on a separate slip. A change in the rank or position of a jury member may lead to the validity of the jury being called into question.

Appendix 1: List of regulatory texts used to draft this document

- *Decree n°84-431 of June 6, 1984 determining the common statutory provisions applicable to research professors and establishing the special status of the body of university professors and the body of lecturers.*
- *Decree n°92-70 of January 16, 1992 concerning the French National Council of Universities*
- *Decree of June 15, 1992 determining the list of civil servants assimilated to university professors and lecturers for the designation of members of the French National Council of Universities*
- *Decree of February 10, 2011 concerning the equivalence scale of titles, works and positions of research professors mentioned in articles 22 and 43 of decree n° 84-431 of June 6, 1984 fixing the common statutory provisions applicable to research professors and laying down the special status of the body of university professors and the body of lecturers*
- *Decree of May 25, 2016 establishing the national framework for studies and the procedures leading to the award of the national doctoral degree*
- *Decree of October 27, 2020 concerning the use of video-conferencing for the presentation of work in the context of an accreditation to direct research and a thesis defense*

Appendix 2: Examples of jury composition

Example 1: A standard jury with 5 members including the thesis supervisor. There are therefore at least 3 external members and 3 University Professors or Associate Professors. If an external member is absent, the jury will remain valid with 4 members including 2 external members and at least 2 University Professors or Associate Professors.

Example 2: A jury with 6 (8) members including 3(4) external members. In case of absence of an external member, an internal member (for example the thesis supervisor) must withdraw from the jury. The condition concerning University Professors or equivalent must be fulfilled.

Example 3: A jury with 4 members, 2 of whom are external. If an external member is absent (even an external referee - rapporteur), the defense is postponed. If an internal member is absent, he/she can be replaced at short notice by another internal member, subject to the agreement of the dean of the doctoral school and the balance between University Professors and Associate Professors.