

RESEARCH  
& TRAINING  
**GUIDE  
BOOK**



**GEM STONES**



**European Joint Doctorate on**  
Globalisation, Europe & Multilateralism -  
Sophistication of the Transnational Order,  
Networks, and European Strategies

# RESEARCH & TRAINING GUIDEBOOK

## TABLE OF CONTENTS

### 1. INTRODUCTION P3

### 2. RESEARCH PROGRAM P4

#### 2.1 ONE CORE CONCEPT P4

#### 2.2 TWO-STAGED RESEARCH SCHEDULE P5

#### 2.3 RESEARCH DESIGN ALONG FOUR AXES P6

##### 2.3.1 EMERALD P7

##### 2.3.2 CITRINE P9

##### 2.3.3 RUBIES P11

##### 2.3.4 SAPPHIRE P13

#### 2.4 RESEARCH DELIVERABLES P15

##### 2.4.1 INDIVIDUAL RESEARCH PROJECT P15

##### 2.4.2 WORKING PAPER AT A SUMMER SCHOOL P16

##### 2.4.3 INVOLVEMENT IN THE SHARED DATASET P16

##### 2.4.4 COLLECTIVE & TOPICAL RESEARCH WITHIN A GIVEN WORK-PACKAGE P18

##### 2.4.5 COLLECTIVE PRESENTATION AT AN INTERNATIONAL CONFERENCE P19

### 3. TRAINING PROGRAM P20

#### 3.1 JOINT TRAINING ACTIVITIES P21

##### 3.1.1 METHODS WORKSHOPS P21

##### 3.1.2 SUMMER SCHOOLS P23

#### 3.2 LOCAL TRAINING ACTIVITIES P24

#### 3.3 INTERNSHIP P26

#### 3.4 TRAINING DELIVERABLES P27

##### 3.4.1 METHODS TEXTBOOK P27

##### 3.4.2 INTERNSHIP REPORT P28

##### 3.4.3 SUMMER SCHOOL REPORT P31

##### 3.4.4 DATA MANAGEMENT PLAN P31

### 4. IMPACT PROGRAM P33

#### 4.1 NETWORKING P33

##### 4.1.1 COMMUNITY BUILDING P33

##### 4.1.2 ANNUAL CONFERENCE P34

#### 4.2 PROFESSIONALISATION P34

##### 4.2.1 AGORA FORA P34

##### 4.2.2 SKILLS MODULES P36

##### 4.2.3 STUDENT PROJECTS P36

#### 4.3 IMPACT DELIVERABLES P37

##### 4.3.1 ONLINE CV & VIDEO WIDGET P37

##### 4.3.2 INDIVIDUAL POLICY PAPER P37

##### 4.3.3 INDIVIDUAL EXECUTIVE BRIEFING P38

### 5. MONITORING & EVALUATION P40

#### 5.1 JOINT SUPERVISION ARRANGEMENTS P40

#### 5.2 ANNUAL JOINT PROGRESS ASSESSMENT P41

#### 5.3 LOCAL EVALUATION ARRANGEMENTS P41

#### 5.4 ETHICS & DISCIPLINARY PROCEDURES P45

##### 5.4.1 ETHICS PROCEDURES P45

##### 5.4.2 DISCIPLINARY PROCEDURES P46

### 6. ACTIVITIES CALENDAR P47

### 7. CONTACTS P49



# 1. INTRODUCTION

---

## OVERVIEW

**GEM-STONES** is an integrated doctoral research, training and fellowship programme. Its shared underlying puzzle is whether the externalisation of European governance and the internalisation of policy imperatives are facilitated or hindered by the growing complexity resulting from the proliferation of international institutions.

Currently the Union of International Associations (UIA) lists more than 65.000 transnational institutions, classified along 15 levels of “internationality” and 13 types of scope. This institutional proliferation has produced an ever-greater sophistication of the international system, which in turn has exposed a knowledge gap in the social sciences with regards to how these growing numbers of institutions influence each other. As a result, **a central question facing contemporary social sciences is how to efficiently and legitimately manage complexity**. GEM-STONES tackles this question by exploring specific institutional interactions involving the EU with an eye on what the specific consequences of increased complexity might be in terms of the dialectic between European and global governance.

**GEM-STONES’** epistemic community (incl. 15 Early Stage Researchers, 30 academic supervisors and 15 non-academic mentors) will collectively investigate how the European Union has successfully responded to the world’s growing institutional complexit, and whether it has proven to be a source of “purposeful regime complex management”. Overall, the project’s individual and collective research output will assess if the interactions between **G**lobalisation, **E**urope and **M**ultilateralism, have ultimately lead to improvements in the **S**ophistication of the **T**ransnational **O**rders, **N**etworks and **E**uropean **S**trategies.

## 2. RESEARCH PROGRAM

---

**GEM-STONES'** common research agenda is rooted in the shared observation that the proliferation of international institutions increases the complexity of the global system. Managing the latter efficiently and fairly constitutes both a necessity and a challenge for the European Union as it raises a classic neo-institutional dilemma: **how to increase efficiency and fair behaviour while at the same time maintaining the diversity needed for any competition conducive to adaptation?**

---

### 2.1 ONE CORE CONCEPT

Confronted with a proliferation of “*persistent and connected sets of [formal or informal] rules that: prescribe behavioural roles, constrain activity and shape expectations*”<sup>1</sup>, a cross-section of contemporary research in social sciences has come to focus on the impact of both horizontal and vertical overlaps between international institutions. While the socially constructed thematic issue-linkages associated with the former have been the object of several empirical taxonomies<sup>2</sup>; institutionalised interactions born from the latter are defined by scope, scale, size and membership. These overlaps can generate confusion, redundancies and inefficiencies thus weakening rule-based outcomes while strengthening already powerful actors<sup>3</sup>. Conversely, they can equally result in heightened competition favouring more polycentric, adaptive and innovative forms of governance<sup>4</sup>. Given these mixed outcomes, GEM-STONES' central hypothesis is that regime complexes are to be purposefully managed to avoid negative effects while favouring desirable ones.

**Purposeful regime complex management** is therefore GEM-STONES central concept, understood as the “conscious efforts by any relevant actor or group of actors, in whatever form or forum, to address and improve institutional interaction and its effects”<sup>i</sup>. All research deliverables associated with the project - whether collective or individual - will consider this core concept, as they will either empirically exanimated it or theoretically expand on it.

i Oberthür S. & Schram Stokke O. (eds) [2011], *Managing Institutional Complexity: Regime Interplay and Global Environmental Change*. Cambridge, MA: MIT Press., p. 6

GEM-STONES' research design is located at the crossroads of EU and regime complex studies. It is to both advance theories of regime complex management and test their assumptions in light of the EU's distinctive experience. To this end, all individual projects are to bear two transversal considerations in mind: on the one hand, that purposeful regime complex management can either be hierarchical or polycentric; and on the other hand, that it is of particular importance to the EU's unique positioning within the global system.

1 Keohane, R. O. (1989). *International institutions and state power: Essays in international relations theory*.p.3

2 Substantive/Tactical (Aggarwal 1998) ; Utilitarian/ Normative / Ideational (Stokke 2001) ; Compatoble/Diverging (Rosendal 2001) ; Disruptive/Synergistic/ Neutral (Gehring & Oberthür 2009) ; Cooperative / Conflicting (Biermann et al. 2009) ; Substantive / Normative / Operative (Orsini et al. 2013)

3 Young A; & Peterson J; (eds) *The European Union and the New Trade Politics* Journal of European Public Policy (Special issue), 13/6,

4 Aggarwal V. K (2006), *Reconciling Institutions: Nested, Horizontal, Overlapping, and Independent Institutions*, Paper Presented at Princeton Workshop, February 24th [see: <https://www.princeton.edu/~smeunier/Aggarwal%20memo.pdf>]

The question how hierarchical and non-hierarchical forms of institutional governance coexist and interact has proven an increasingly crucial challenge. More centralized coordination can reduce redundancies and create a level playing field, yet it can simultaneously decrease the potential for adaptation<sup>5</sup>. Conversely, enhanced adaptability is central to more flexible modes of management alternatively called “*non-hierarchical orchestration*”<sup>6</sup>, or “*cooperative arrangements*”<sup>7</sup>, yet such set-ups regularly face challenges to their transparency and enforceability.

In EU studies a recurring claim is that the EU functions as a uniquely advanced laboratory of institutional proliferation management. Whether this proves true or not speaks to the European experience’s wider relevance. Any answer to this question goes to the heart of whether to apprehend the EU’s specific history, its’ idiosyncratic policy preferences, its’ autonomous legal order, its’ unique regional integration process as well as its’ distinctive external action as an originator or a recipient of the comprehensive and institutionalized forms of interactions that have come to define them.

### Conditions of a Coherent Common Scientific Agenda

Tackling the question surrounding the EU’s capacity to provide purposeful regime complex management in an inter-disciplinary fashion requires: (1) a set of congruent schedules; (2) a shared approach to interdisciplinarity; (3) a common research agenda; (4) a series of mutually reinforcing interactions; (5) a compatible range of methods; (6) proven means of empirical data collection; and (7) a set of fitting scientific outputs.

## 2.2 A TWO-STAGED RESEARCH SCHEDULE

To ensure congruent schedules across the project, be it at the individual or collective levels, the various research activities planned within GEM-STONES conform to the project’s two-stage structure:

1. An initial «**consolidation phase**» (**Sep 2016 – Feb 2018**) sees all 15 ESRs focus on their individual theoretical frameworks, their personal research design and their initial data collection. At this stage, their contribution to the project-wide collective research effort will mainly be the initial data they will have collected for their own project and which is to be added to the GEM-STONES shared data-set; whereas their contribution to the WP-wide research is a mandatory written contribution to the WP-wide scientific workshop hosted by the WP they are a member of.
2. The subsequent «**finalisation phase**» (**Mar 2018 – Aug 2019**) sees them focus on the production of the scheduled deliverables, first and foremost among which their own doctoral dissertation. Additional, as part of their WP-wide research endeavour, all ESRs will also contribute towards the compilation and editing of the edited volume born from the WP-wide scientific workshop they participated in.

<sup>5</sup> Rammel, C., Stagl, S., & Wilfing, H. (2007). Managing complex adaptive systems—a co-evolutionary perspective on natural resource management. *Ecological economics*, 63(1), 9-21.; Duit, A., & Galaz, V. (2008). Governance and complexity—emerging issues for governance theory. *Governance*, 21(3), 311-335.

<sup>6</sup> Abbott K. W. & Snidal D. (2010), International regulation without international government: Improving IO performance through orchestration”, *Review of International Organizations* 5:3, pp. 315–344 & Abbott K. W. (2012) “The transnational regime complex for climate change”, *Government and Policy*, volume 30, pages 571 – 590

<sup>7</sup> Scott K. N. (2011) “International Environmental Governance: Managing Fragmentation Through Institutional Connection”, *Melbourne Journal of International law*, pp. 177-216

## 2.3 RESEARCH DESIGN ALONG FOUR AXES

With an eye on delivering a coherent common scientific agenda, GEM-STONES research design was set up in such a way as to encourage a common focus on the research programme’s core concept (i.e. **purposeful management of regime complexes**) as well as a smooth articulation between the various constituent projects. For that reason, the 15 Early Stage Researchers and their associated supervisors are clustered into four complementary Research & Innovation Work Packages (WP) each one reflecting a given approach to the EU’s capacity to provide purposeful management of regime complexes.

Under the stewardship of one of GEM-STONES’ senior academics, each of these four Work Packages will involve 3-to-4 ESRs alongside 6-to-8 supervising academics as well as 3-to-4 non-academic mentors. Each specific research effort will analyse the EU’s capacity to manage complexity: from a causal perspective in **WP1-EMERALD**; in light of social interactions in **WP2-CITRINE**; through comparative heuristic categorisations in **WP3-RUBIES**; and by unpacking underlying socially constructed realities in **WP4-SAPPHIRE**.

In each of these four cases a WP-wide Scientific Workshop will serve as the cornerstone of their collective research effort. These workshops are to be closed-door gatherings involving all of the WP’s associated academics and ESRs alongside a select set of 3-4 external guest contributors. A scientific workshop will see each attending ESR provide a draft chapter to be discussed by the group for ultimate publication in a WP-wide edited volume.

Fig. 2.1 GEM-STONES: Four Research Agendas

WP	PhD Topic	WP	PhD Topic
WP1 - EMERALD	1. THE INSTITUTIONS OF THE EUROPEAN AREA OF FREEDOM, SECURITY & JUSTICE (AFSJ) AND THE GLOBAL FIGHT AGAINST TERRORISM	WP2 - CITRINE	1. NETWORKED REGULATEE DIFFUSION: THE EUROPEAN SINGLE MARKET AND COMPETING MARKET REPRESENTATIVES
	2. THE INSTITUTIONS OF THE EUROPEAN COMMON COMMERCIAL POLICY (CCP) AND ITS IMPACT ON THE GLOBAL TRADE SYSTEM		2. NETWORKED MODES OF GOVERNANCE: THE EU IN THE FACE OF SLOW AND FAST BURNING CRISES
	3. THE INSTITUTIONS OF THE EUROPEAN COMMON AGRICULTURAL POLICY (CAP) AND THE EXTERNALISATION OF FOOD POLICY		3. NETWORKED GLOBAL GOVERNANCE: TRANSNATIONAL CIVIL SOCIETY AND EUROPEAN NON-STATE ACTORS
	4. THE INSTITUTIONS OF EUROPEAN FINANCIAL ACTION AND FINANCIAL REGULATION IN THE GLOBAL FINANCIAL SYSTEM		4. NETWORKED KNOWLEDGE: TRANSNATIONAL EUROPEAN FINANCIAL MARKET REFORM
<p>EU'S 'INSTITUTIONAL CAPACITY' TO EXTERNALISE ITS PREFERENCES                      EPISTEMIC PREMISE: LOGICS OF CONSEQUENTIALISM                      CONCEPTUAL FRAMEWORK: INSTITUTIONAL ANALYSES (RATIONAL &amp; HISTORICAL)                      QUESTION: HOW DO INSTITUTIONAL DIFFERENCES AFFECT THE EU'S CAPACITY TO PROVIDE PURPOSEFUL MANAGEMENT OF COMPLEX REGIMES?</p>		<p>EU'S NETWORKED CAPACITY TO ENSURE GREATER POLICY COHERENCE                      EPISTEMIC PREMISE: LOGICS OF APPROPRIATENESS                      CONCEPTUAL FRAMEWORK: NETWORK ANALYSES                      QUESTION: HOW DO NETWORKS DETERMINE THE EU'S CAPACITY TO REGULATE COMPLEX REGIMES?</p>	
WP3 - RUBIES	9. COMPARING COMPETING FORMS OF REGIONALISM AND THEIR IMPACT ON EU INTERREGIONALISM	WP4 - SAPPHIRE	1. THE EUROPEAN EXTERNAL ACTION SERVICE'S ROLE IN FRAMING RESPONSES TO EMERGING CRISES
	10. COMPARING OVERLAPPING REGIONAL SECURITY INSTITUTIONS AND THE ROLE OF THE EU'S EXTERNAL ACTION		3. THE ROLE OF THE EUROPEAN COURT OF JUSTICE IN FRAMING THE LEGAL UNDERPINNINGS OF DISTRIBUTIVE GLOBAL JUSTICE
	11. COMPARING RESPONSIBILITY TO PROTECT DIFFUSION IN REGIONAL CRISIS SETTINGS: THE EU, CHINA, UNASUR AND THE ASIAN REGIONAL FRAMEWORK		4. THE ROLE OF EUROPEAN BORDER CONTROLS IN THE FRAMING OF GLOBAL MIGRATION POLICIES
<p>EU'S 'RELATIVE CAPACITY' COMPARED TO OTHER REGIONAL ORGANISATIONS                      EPISTEMIC PREMISE: LOGICS OF CONSEQUENTIALISM/APPROPRIATENESS                      CONCEPTUAL FRAMEWORK: COMPARATIVE REGIONALISM                      QUESTION: HOW DO INTERREGIONAL DIFFERENCES AFFECT THE EU'S CAPACITY TO PROVIDE PURPOSEFUL MANAGEMENT OF COMPLEX REGIMES?</p>		<p>EU'S 'GAINING CAPACITY' TO BE AN APPROPRIATELY LEADING                      EPISTEMIC PREMISE: LOGICS OF APPROPRIATENESS                      CONCEPTUAL FRAMEWORK: INTERPRETIVE ANALYSES                      QUESTION: HOW DO INTERACTIONS AFFECT THE EU'S CAPACITY TO FRAME REGIONAL CONSENSUS UNDERLYING REGIME COMPLEX MANAGEMENT?</p>	
		2. THE EUROPEAN EXTERNAL ACTION SERVICE'S ROLE IN FRAMING RESPONSES TO EMERGING CRISES	5. THE ROLE OF THE EUROPEAN NEIGHBOURHOOD POLICY IN FRAMING DEMOCRATIC TRADE TALKS



# EMERALD

**EXTERNALISATION AND  
MULTILATERALISATION OF  
EUROPEAN REGULATION,  
ACTORS, LEADERSHIP AND  
DECISION-MAKING**

## ENVIRONMENT OF THE RESEARCH PROJECT

In covering both rational and historical institutional analysis, EMERALD will centre on the **EU's ability to instrumentalise regime complexes to externalise its internal policies**. Externalisation is *"interpreted as [the EU's] strategy to maximize the gains [on the global stage] from Europeanization, while minimizing the constraints resulting from deepening supranationalism"*.<sup>1</sup>

<sup>1</sup>Lavenex S. (2006) "Shifting up and out: The foreign policy of European immigration control", *West European Politics*, 29:2, 329-350

This Work Package brings together political and legal scholars to jointly assess the EU's institutional capacity to recognize and work with the external and multilateral implications of its policy preferences at the regional, interregional and global levels. **The policy sectors identified as symptomatic of the EU's external action are:** (1) the EU's push to address the external dimension of the "Area of Freedom, Security and Justice"; (2) the Common Commercial Policy" and its impact on global trade rules; (3) the impact of the Common Agricultural Policy on global food security; and (4) the European External Action Service's role in shaping the EU's presence in the global trade system.

### The Research Objectives associated with EMERALD are:

- Explore the EU institutions' capacity to instrumentalise complex regimes to externalise its internal policy
- Empirical input to the structured data-set drawn from content analysis of official EU policy and legal documentation
- Analyse the EU's institutional capacity to manage complexity from a causal perspective
- Mobilise rational choice tools to model the historical institutionalist concept of critical junctures
- Assess the Lisbon Treaty's impact on the institutional capacity of the EU in 4 Key policies
- Jointly produce an edited volume collecting contributions from all 4 ESRs and their supervisors (GEM book series)

## INDIVIDUAL ESRs

ESR	PhD	Name	Academic Supervisors	Non-academic Mentor
1	Mutual Trust in Regional and Interregional Cooperation on Counter-terrorism	Céline Cocq	A. Weyembergh (ULB) R. Roth (UNIGE)	R. Balfour (GMF)
2	The Institutions of the European Common Commercial Policy (CCP) and its Impact on the Global Trade System	Laurence Marquis	E. Sciso (LUISS) R. Ouellet (Laval)	M. De Angelis (Polint)
3	The External Dimension of the Common Agricultural Policy	Laura Gelhaus	B. Richardson (UoW) S. Lavenex (UNIGE)	R. Balfour (GMF)
4	Proliferation of PTAs and EU Trade Policy	Kevin Kalomeni	A. Poletti (LUISS) L. Bélanger (Laval)	Daniela Huber (IAI)

## WORKSHOP & EDITED VOLUME

	ESRs	Year	Timing	Location	Hosted at	Topic
Emerald	1-4	2018	April 23-24	Brussels, Belgium	Université Libre de Bruxelles	EU's institutional capacity to externalize its policies

The Workshop will be a 2-day closed-shop meeting hosted at the IEE-ULB in Brussels. It will gather some 20 invited scholars, including the 4 associated Early Stage Researchers, a number of associated supervisors and a selection of invited scholars. Full list of contributors is to be discussed at the WP's initial meeting following GEM-STONES first annual conference in 2017. Ultimately, Prof. Weyembergh as WP Lead is to confirm, select and invite the final list of participants. All confirmed participants will be expected to provide a draft chapter to be discussed by the group and ultimately published in a WP-wide edited volume.

	Editors	Working Title	Manuscript Delivery
Edited Volume	A. Weyembergh M. Telò	<b>The Supranational at Stake? The EU's External Competences caught between Complexity and Fragmentation</b>	October 31st 2018





# CITRINE

**CRITICAL INVESTIGATION OF  
TRANSNATIONAL, REGIONAL AND  
INTERNATIONAL NETWORKS &  
ESTABLISHMENTS**

## ENVIRONMENT OF THE RESEARCH PROJECT

By building on existing network analyses<sup>1</sup>, CITRINE will test the **EU's capacity to foster greater coherence through rationalisation**. Rationalisation is understood as "a theoretical model in which regime complexes become denser over time, while governmental policy making becomes more coherent".<sup>2</sup>

<sup>1</sup>Seabrooke, L. and Tsingou, E. (2009), Power Elites and Everyday Politics in International Financial Reform. *International Political Sociology* & Georgakakis, Didier. *Le champ de l'eurocratie: une sociologie politique du personnel de l'UE*. *Economica*, 2012.

<sup>2</sup>Morin JF & ORSINI A..(2013) "Regime complexity and policy coherence: introducing a co-adjustment model", in *Global Governance* n°19, 41-51

This Work Package brings together various strands of political science to analyse dominant policy paradigms and the mechanisms through which they have been diffused and embedded, thus identifying the exact role of different institutions and networks in international governance. It will **assess the impact of complexity on**: (1) the evolving relationship between the EU and Global Markets; (2) competing legitimisation discourses on EU governance; (3) on non-state actors' role in policy formation; and (4) on the EU's external action with regards to global financial regulation.

### The research objectives associated with CITRINE are:

- Explore the EU's capacity to foster greater coherence through rationalization
- Empirical input to the structured data set drawn from network and sequence analysis of professional CVs and careers
- Analyse the EU's networked capacity to manage complex regimes
- Mobilise network and sequencing methods to explore how professionals exert issue control and network management
- Assess the impact of complexity on the legitimacy of governance discourses, regulation and practices
- Jointly produce an edited volume collecting contribution from all 4 ESRs and their supervisors (GEM book series)

## INDIVIDUAL ESRs

ESR	PhD	Name	Academic Supervisors	Non-academic Mentor
5	Governing E-commerce as a Complex System	Guillaume Beaumier	M. Watson (UoW) J.F. Morin (UL)	D. Berhin (McK)
6	European Legal Networks in Crisis	Nicholas Haagenen	R. Coman (ULB) L. Seabrooke (CBS)	D. Berhin (McK)
7	European and Chinese Civil Societies' Organizations in Global Governance	Manfredi Valeriani	C. Jakobeit (UHAM) R. Marchetti (LUISS)	J. de Mevius (UIA)
8	Networks, Ideas and Dynamics in European Financial Governance	Andreas Dimmelmeier	A. Broome (UoW) E. Tsingou (CBS)	D. Berhin (McK)

## WORKSHOP & EDITED VOLUME

	ESRs	Year	Timing	Location	Hosted by	Topic
Citrine	5-8	2018	June 13-14	Brussels, BE	University of Warwick	EU's networked capacity to foster greater policy cohe-

The Workshop will be a 2-day closed-shop meeting hosted at the University of Warwick's Brussels office. It will gather some 15 invited scholars, including the 4 associated Early Stage Researchers, a number of associated supervisors and a selection of invited scholars. Full list of contributors is to be discussed at the Work Package's initial meeting following GEM-STONES first annual conference in 2017. Ultimately, Prof. Christou as WP Lead is to confirm, select and invite the final list of participants. All confirmed participants will be expected to provide a draft chapter to be discussed by the group and ultimately published in a WP-wide edited volume.

	Editors	Working Title	Manuscript Delivery
Edited Volume	G. Christou J. Hasselbalch	<b>Networks and the European Union: Threats and Opportunities of Complexity</b>	TBC



# RUBIES

**REGIONAL UNIT-BUILDING,  
INTER-REGIONALISM AND  
EUROPEAN STRATEGIES**

## ENVIRONMENT OF THE RESEARCH PROJECT

RUBIES will use established comparative methods<sup>1</sup> - e.g. Comparative Political Systems or Organizations; Quantitative or Qualitative Comparative Analysis; as well as Comparative Content or Discourse Analysis - to explore the **EU's relative institutional capacities to shape other regional organisations through its inter-regional dynamics.**<sup>2</sup>

<sup>1</sup>Alan Sica (2006), Comparative Methods in the Social Sciences, SAGE Publications, pp. 1688

<sup>2</sup>Telo M. Fawcett L & Ponjaert F. (2015) Inter-regionalism and the European Union: a Post-revisionist approach to Europe's Place in a Changing World Wey Court: Ashgate

This Work Package brings together various strands of political science allowing for a better understanding of the capacity of multilevel governance to see multiplying forms of regionalisms amount to constructive competition rather than destructive fragmentation. It will **comparatively highlight:** (1) interplays between EU regional and inter-regional dynamics; (2) overlapping regional security institutions; and (3) competing regionally embedded foreign policy norms.

### The research objectives associated with RUBIES are:

- Explore the EU's relative capacity to shape other regional organizations
- Empirical input to the structured Data Set drawn from the fuzzy-data sets associated with Comparative Regionalism
- Analyse the EU's relative capacity to manage complexity from either a causal or appropriateness perspective
- Mobilise process-tracing & QCA methods to produce heuristic categorisations of regional organisations
- Demonstrate the theoretical implications of a growing drive towards competing forms of regional cooperation
- Jointly produce an edited volume collecting contribution from all 3 ESRs and their supervisors (GEM book series)

## INDIVIDUAL ESRs

ESR	PhD	Name	Academic Supervisors	Non-academic Mentor
9	Competing Forms of Regionalism and EU Interregionalism	Jessica Gomes	D. Nolte (UHAM) F. Louault (ULB)	T. Lenz (GIGA)
10	Comparing Regional Security Governance in Europe, Asia and Africa	Dominik Giese	K.U. Schnapp (UHAM) S. Breslin (UoW)	S. Destradi (GIGA)
11	Comparing Responsibility to Protect Diffusion in Regional Organisations	Jochem Rietveld	S. Maffettone (LUISS) G. Christou (UoW)	D. Huber (IAI)

## WORKSHOP & EDITED VOLUME

	ESRs	Year	Timing	Location	Hosted at	Topic
Rubies	9-11	2018	February 21-22	Hamburg, Germany	Universität Hamburg	EU's relative capacity to promote its policy preferences through the global/regional nexus

The Workshop will be a 2-day meeting hosted at the Universität Hamburg. It will gather some 15 invited scholars among which the 3 associated Early Stage Researchers. Participants will be selected following an international Call for papers to be circulated between September and November of 2017. The list of contributors will be selected following said call by the publication's scheduled co-editors Pr. C. Jakobeit & Dr. E. Lopez Lucia. All confirmed participants will be expected to provide a draft chapter to be discussed by the group and ultimately published in a WP wide edited volume.

	Editors	Working Title	Manuscript Delivery
Edited Volume	C. Jakobeit E. Lopez Lucia	<b>Inter-Regionalism and its Unintended Consequences</b>	February 28th 2019



# SAPPHIRE

**SOCIETY, ADVOCACY AND  
POLITICAL PHILOSOPHY IN  
INTERNATIONAL, REGIONAL  
AND EUROPEAN AFFAIRS**

## ENVIRONMENT OF THE RESEARCH PROJECT

Finally, SAPPHIRE rooted in critical theories of communication will mobilize process-tracing and interpretative evidence analysis to apply a set of constructivist assessments to the **EU's capacity to argue in favour of the appropriateness<sup>1</sup> of specific policy options.<sup>2</sup>**

<sup>1</sup>Thomas Risse (2000). "Let's Argue!": Communicative Action in World Politics. *International Organization*, 54, pp 1-39

<sup>2</sup>Coman R. & Crespy A. (2014) "A Critical Assessment of the Concept of Europeanization in Light of the State of the Union", in *Studia Politica, Romanian Political Science Review* Vol. XIV, and n ° 1, 9-29.

The work scheduled in this Work Package brings together political and legal analyses and should allow for a better understanding of the interactions affecting the EU's capacity to frame reasoned consensus underlying regime management. **The 4 cross-cutting discursive fields broached are:** (1) EU Foreign Policy and crisis response; (2) the EU's jurisprudence and global redistributive justice; (3) EU border controls and global migration policies; and (4) the EU's neighbourhood policy and democratic transition.

### The research objectives associated with SAPPHIRE are:

- Explore the EU's capacity to argue in favour of the appropriateness of specific policy options
- Empirical input to the structured data set drawn from 'lexiconometric' and qualitative discourse analysis of EU policies
- Analyse the EU's framing capacity to manage complexity through logics of appropriateness and arguing
- Mobilise process-tracing & interpretative analysis to test if actors diverge due to beliefs and if they can reach consensus
- Demonstrate the power of ideas in shaping socially constructed realities that determine the management of complexity
- Jointly produce an edited volume collecting contribution from all 4 ESRs and their supervisors (GEM book series)

## INDIVIDUAL ESRs

ESR	PhD	Name	Academic Supervisors	Non-academic Mentor
12	The European External Action Service's Role in Framing Responses to Emerging Security Crises	Johann Wolfschwen-ger	R. Schwok (UNIGE) J. Jeandesboz (ULB)	J. de Mevius (UIA)
13	The Role of the European Court of Justice in Framing the Principles of Distributive Global Justice	Aysel Kucukusu	N. Levrat (UNIGE) G. Pellegrino (LUISS)	D. Huber (IAI)
14	The EU and Global Migration Policy	Elisa Narminio	J. Jeandesboz (ULB) P. Bacon (GSAPS)	S. Ghislain (Polint)
15	Political Transitions in the EU-Russia Shared Neighborhood	Marta Matrakova	L. Morlino (LUISS) J.M. De Waele (ULB)	R. Balfour (GMF)

## WORKSHOP & EDITED VOLUME

	ESRs	Year	Timing	Location	Hosted at	Topic
Sapphire	12-15	2018	TBC	Rome, Italy	LUISS Guido Carli di Roma	EU's framing capacity to define appropriate behaviors

The Workshop will be a 2-day closed shop hosted at LUISS-Guido Carli in Rome. It will gather some 15 invited scholars, including the 4 associated Early Stage Researchers, a number of associated supervisors and a selection of invited scholars. Full list of contributors is to be discussed at the Work-Package's initial meeting following GEM-STONES first annual conference in 2017. Ultimately, Pr. Raffaele Marchetti as WP-lead is to confirm, select and invite the final list of participants. All confirmed participants will be expected to provide a draft chapter to be discussed by the group and ultimately published in a WP wide edited volume.

	Editors	Working Title	Manuscript Delivery
Edited Volume	R. Marchetti P. Bacon	<b>Framing Power Europe</b>	February 28th 2019

## 2.4 FIVE TYPES OF RESEARCH DELIVERABLES

GEM-STONES is above all an integrated research project focused on producing original research on the EU's capacity to provide purposeful regime complex management.

**All ESRs are expected to contribute to this shared agenda**, be it through their individual dissertation or the program's various scheduled collective endeavours. Throughout their three-year long fellowship, each ESR will be held to a number of research deliverables that they must produce by a given deadline.

Research deliverables can: (1) reflect an ESR's individual work; (2) focus on peer-review by fellow PhD students; (3) foster integration within the topical work-package they are a member of; (4) involve their contribution towards an edited volume; or (5) reflect their role towards building the project's joint data-set.

DEADLINE	RESEARCH DELIVERABLE
Jan 2017	Individual Research Brief
Feb 2018	Contribution to Shared Dataset
By May 2018	Working Paper for Scientific Workshop
By Aug 2018	Working Paper presented at one of the Summer Schools
By Dec 2018	Contribution to Methods Textbook
By May 2019	Finalize chapter for Edited Volume
By Feb 2020	Final publications of the Shared Dataset
Within 36 months	Individual dissertation

### 2.4.1. INDIVIDUAL RESEARCH PROJECT

#### INDIVIDUAL RESEARCH BRIEF

ESRs are expected to provide regular updates describing their research and its progress. In a sense this is to function as a research diary describing the ESR's objectives, progress and findings. To facilitate this and ensure all ESRs provide comparable and serviceable information, the PMO will provide all ESRs with a standard Research Brief format which all ESRs are to fill out and submit by the end of January 2017.

Research Brief's will offer a condensed and standardized overview of each ESR's work and how it relates to the project's wider agenda. Following their initial submission in 2017, they will be uploaded to the website and become the primary showcase for their individual work



**ESRs are held to update their Research Brief every three months.**

#### INDIVIDUAL DISSERTATION

ESRs are held to write an original doctoral thesis in accordance with the expectations and quality standards set out by both of their diploma awarding institutions. To accomplish their dissertation, fellows have up to three academic years, although, possible extensions can be awarded under some exceptional circumstances. Overall the expectation is that each ESR submits a finalized dissertation within 36 months of the start date of their contract.

Each original doctoral thesis is the individual responsibility of its author and reflects their personal choices and research work. Throughout the 36 months the ESRs will have regular access to their supervisory Trio which is to provide further guidance and feedback on the progress.



**ESRs are to meet their Supervisory Trio at least once a year.  
It is the primary Supervisor's responsibility to convene the meeting.**

## 2.4.2. PRESENTATION AND PEER-DISCUSSION AT THE SUMMER SCHOOLS

### WORKING PAPERS

As part of their mandatory participation in the program's two summer schools (July 2017 and July 2018), each ESR is expected to give a presentation at one of the two summer schools. ESRs are to follow the regular application process and submit a paper proposal in line with both their own research and the summer school's overall topic.

During the summer school where they do not present a paper, each ESR will take on the role of a peer-discussant for one of the scheduled paper-givers.

## 2.4.3. INVOLVEMENT IN THE SHARED DATA-SET

GEM-STONES foresees a Shared Data-set, which is to be a project-wide endeavour ultimately serving as a collectively compiled empiric resource based on a common data collection strategy covering survey design, coding frames, and the outlines of semi-structured interviews.

GEM-STONES' Shared Data-set will thus compile empiric resources and gather a variety of data determined by the individual 15 ESRs but collected along a coordinated strategy (see 3.4.4. Data Management Plan, p.31). It will be based on a common online platform that will provide purposeful management of, and protected access to the information shared each of the 15 ESRs. The content of GEM-STONES' Shared Data-set will include bibliographical references, surveys, coding books, data sheets, corpuses, transcribed interviews, working papers, etc.

GEM-STONES Shared Data-set usage by its 15 contributing ESRs is to allow them to:

- Check inter-operability and reproducibility of their data
- Peer-review both work and coding
- Collectively write and research
- Foster synergies of scale
- Boost cross-referencing
- Effectively disseminate their work as ultimately, the fountain of information resulting from the collective research project endeavour is to nourish research beyond the lifespan of the project

The ESRs will receive training on the use of the Shared Data-set during the 3rd Methods Workshop organised at Université Laval at the end of 2017.



**Fig.2.2 GEM-STONES: Shared Data-set Structure**

Level of Access	Audience	Available Actions	File Transfer
<b>PRIVATE ACCESS</b>	User / Observer	Create and manage Files & Folders Edit a File Publish a File	To and from Community level
<b>COMMUNITY ACCESS</b>	User / Observer	Explore and find a File View and download a File Contact the author and submit an idea	To and from Private level To Public level
<b>PUBLIC ACCESS</b>	Any type of user	Explore and find a File View and download a File Contact the author	From Community level

### SHARED DATA-SET GUIDELINES AND NAMING CONVENTIONS

As outlined in GEM-STONES Data Management Plan (see 3.4.4. Data Management Plan, p.31), data collection by ESRs needs to comply with the « FAIR » principle.

#### To ensure lisibility:

- Data is to be uploaded in English (or original language for corpuses)
- Data is to be made accessible via free or “Office” software
- For corpuses, data is to be uploaded in .txt format
- For raw data, .xls or .cvs formats are to be favoured
- For written documents, .doc formats are to be favored

#### To ensure inter-operability (using data extracted from other databases):

- The same numbering as the original one is to be used (e.g. CELEX)
- Complete bibliographical references are to be included

#### To ensure quality and compatibility of data:

- Names of countries are to be included using the international nomenclature (e.g. BEL; CAN;...)
- Code books are to be made available in their entirety incl. inclusion/exclusion rules; an exemple for each node (ref. Invivo); and corpus of texts are to be full

#### A GEM-STONES’ naming convention has also also agreed upon:

- For bibliography: First\_Author\_Family\_Name\_Year\_Full\_Document\_Title (max 12 words)
- For data: ESRX\_Title\_Given\_To\_Data\_Cluster\_VX
- For work in progress: First\_Author\_Family\_Name\_Year\_Full\_Document\_Title (max 12 words)

## SHARED DATA-SET DATA TYPES AND FORMATS

**Types of data collectively identified by GEM-STONES constituents include:**

- Data on people
- Data from people
- Data on interactions
- Text as data
- Media as data
- Graph as data
- Bibliographical data
- Case Law
- Numerical Data
- Fuzzy Dataset

**Formats of data collectively identified by GEM-STONES constituents include:**

- Bibliographic Data: .docx (.doc); .pdf; Zotero; Mendeley Desktop.
- Textual data: .txt; .cvs; .docx (.docx); .pdf
- Interviews: .docx (doc); .pdf; .txt; .cvs
- Quantitative datasets: .xls; .cvs
- Qualitative datasets: .xls; .cvs; .nvivo; atlas.it; iramuteq
- Illustrations & media: .JPEG; .GIF; .wmv; .PPT; mp3; .mpeg3 & 4; .m4a; .png; .avi

## SHARED DATA-SET SEARCH KEYWORDS

198 Search keywords have been collectively identified. All GEM-STONES ESRs participated in this exercise via the GEM-STONES Methods Workshops, online consultations and contributions to the GEM-STONES Data Management Plan (see 3.4.4. Data Management Plan). Overall, all of the GEM-STONES Dataset keywords can be traced back to one of four sources:

1. The more or less 20 keywords from the initial GEM-STONES bid as submitted to the European Commission;
2. The GEM-STONES' method textbook entries (75) as set by the participating academics through the project's Supervisory Board;
3. The concepts (48) discussed at the second GEM-STONES methods workshop's (MW);
4. The individual keywords identified by the GEM-STONES' fellows themselves

GEM-STONES' data-set search keywords relate to (1) a Chosen focus of research; (2) Theories; (3) Case studies; (4) Themes; (5) Methods ; or (6) Concepts (for full list of search keywords, see Annex 1).

### 2.4.4. COLLECTIVE & TOPICAL RESEARCH WITHIN A GIVEN WORK-PACKAGE

As part of one of the four research clusters (i.e. EMERALD – CITRINE – RUBIES – SAPPHIRE) each ESR is expected to participate in a set collective research effort. This will include: (1) participating in the initial discussions surrounding the organization of the work-packages distinct research agenda, (2) contributing to its scheduled research workshop, and (3) producing at least one research paper to be both discussed within the workshop as well as presented at an international conference.

### COLLECTIVE PLANNING

To learn the ins & outs of collectively conceiving of, setting up, and implementing a research agenda each cluster of 3-to-4 ESRs will be expected to interact on a regular basis with an eye on outlining a common agenda, planning for the production of a joint scientific deliverable (i.e. a topical edited volume) and executing the necessary research.

Both the 6 to 8 academics, as well as the 3 to 4 non-academic mentors associated with a given WP are invited to contribute to its joint research effort. The extent of their contribution and the exact outline is to be agreed upon underling on the basis of a detailed research plan worked out by the associated fellows.

Throughout ESRs will be shepherded by the WP's lead academic whose task it will be to provide council and guidance. To this end, and on the basis of the individual research notes prepared by the ESRs, the lead scientist of each WP will provide an initial impetus by outlining a suggested common research agenda which is then to be collectively discussed at the Consortium's first annual conference. Subsequently, following the suggestion of the lead scientist each WP is to agree on a format for the main deliverable: the WP-wide edited volume. Finally, a workshop is to be hosted by the lead scientists home institution gathering all the scheduled contributors to the edited volume to discuss a first draft of the scheduled chapters.

### WORKSHOP PARTICIPATION

Each of the 4 topical research Work-Packages will host one workshop involving the scheduled Volume's editors, all associated ESRs and any number of the associated supervisors and non-academic mentors as well as any third party deemed useful in the jointly set research planning.

These one-to-two day workshops hosted by the lead scientist's home institution will allow for the draft contributions to the scheduled edited volumes to be presented and discussed.

**The workshops offer a unique format** where: (1) the number of participants is strictly limited, (2) full papers are distributed prior to the event, as the format necessitates reading them beforehand, and (3) authors speak only at the closure of discussions.

More specifically, each paper is critically presented by a discussant chosen among the attend scholars before being discussed by the attending community as a whole. Ultimately, as the discussions on a given paper come to an end, the author is given the opportunity to respond and provide some concluding remarks.

### WP-SPECIFIC PANELS AT INTERNATIONAL CONFERENCES

Additional panels at international conferences can be agreed upon at the behest of the WP's lead scientist. It is within the Work-Package, that the members of a Work-Package can consider and implement a Conference strategy. The concern here is to encourage ESRs to work in unison and also explore the implications of collective applications at international conferences. Funding provided to the lead scientist of each WP can be used to this effort at his/her behest.

### SET CONTRIBUTION TO THE EDITED VOLUMES

Each of the four Works Packages will jointly produce one Edited Volume collecting contributions from the linked 3-4 ESRs and their supervisors. The Edited Volumes will be published as part of the GEM Book Series (Routledge). It will be up up to the WP Leads and ESRs to agree on the title, structure and contributors of each Edited Volume. Work plan for the books will be discussed within the four Work Packages during the first annual conference in Rome in April 2017.

#### 2.4.5 SPONSORED COLLECTIVE PRESENTATIONS AT INTERNATIONAL CONFERENCES

Besides the scheduled discussions within one of the four WPs, each ESR is also encouraged to see their personal scientific work presented and discussed at a relevant international conference of their choosing.

The object is not to have the ESRs produce additional research, but rather to see them either exploit some of the shared results from the scientific work done within their Work Package or leverage existing convergences between their respective individual research projects to engage with the wider scientific community at international research conferences.

In this respect, GEM-STONES foresees two sources of financial and principled support each adapted to one of the possible sources of collaborative proposals: (1) the student-led projects, on the one hand (see 4.2.3); (2) and funds available to each WP for conference participation, on the other. Both of these facilities are run by the Supervisory Board and managed by the PMO.

# 3. TRAINING PROGRAM

The GEM-STONES training programme will provide the students with the scientific knowledge, technical excellence and transferable skills necessary to pursue successful careers in academia, international organisations, consultancies or the policy sector.

To this end, the content of the training is structured along three clusters, totaling 180 ECTS:

### TRAINING THROUGH RESEARCH

Besides the thesis, additional training through research includes regular presentations at the project’s Annual Conference, participation in a WP-wide scientific Workshop; followed by the submission of a chapter for one of four WP-wide edited volumes.

### TRAINING THROUGH EDUCATION

The educational components, both local and network-wide, are to develop scientific knowledge, technical expertise and transferable skills.

### TRAINING THROUGH PRACTICE

Original experiences in both academic and non-academic sectors, are provided through professional activities hosted by the degree-awarding institutions (teaching), its non-academic partners (internships) and its Project Management Office (AGORA® Fora).

Fig. 3.1 GEM-STONES: Integrated Curriculum

PhD CURRICULUM	LEVEL	TRAINING ELEMENTS
TRAINING THROUGH RESEARCH <b>135 ECTS</b>	INDIVIDUAL COLLECTIVE	THESIS (120 ECTS) 1 SCIENTIFIC WORKSHOP (2 ECTS) 1 CONTRIBUTION TO AN EDITED VOLUME (5 ECTS) 3 ANNUAL CONFERENCES (3 ECTS) ELECTIVE SCIENTIFIC ACTIVITIES (5 ECTS)
TRAINING THROUGH EDUCATION <b>35 ECTS</b>	NETWORK-WIDE LOCAL	2 SUMMER SCHOOLS (5 ECTS) 3 SKILLS TRAINING MODULES (3 ECTS) 3 INTERDISCIPLINARY METHODS WORKSHOPS (5 ECTS) YEAR 1 BASIC METHODOLOGICAL TRAINING (10 ECTS) LOCAL SCIENTIFIC CALENDAR/EVENTS (2 ECTS) 2 LOCAL REVIEWS (10 ECTS)
TRAINING THROUGH PRACTICE <b>10 ECTS</b>		INTERNSHIP (5 ECTS) 3 AGORA® FORAS (5 ECTS)
<b>180 ECTS TOTAL</b>		

---

## 3.1 JOINT TRAINING ACTIVITIES

Besides the partners' local provisions which are to be opened to those ESRs attending a given institution, the obligatory component of the training programme also includes a set of carefully designed network-wide platforms.

Please note: Students will need to make their own arrangements for being physically present at all compulsory joint activities. Besides the details shared in this guidebook, students are advised to also use as their personal **Calendar** published in the Member's Area of the GEM-STONES website.

### 3.1.1 METHODS WORKSHOPS

As part of GEM-STONES' training through education agenda, a set of three GEM-STONES-wide methods workshop have been scheduled over the course of the first 12 months of the project. Overall, the twofold goal of the three methods workshops is: on the one hand, to allow for optimal interactions among the ESRs beyond disciplinary and epistemological divides by providing all of them with a serviceable knowledge of all the methods mobilized; and on the other, encourage relative coherence throughout the project as the community collectively sets out: (i) the limited list of methods used, (ii) the characteristics of the shared data collected and (iii) the cross-cutting questions they wish to jointly explore. As such, the methods workshops function as a catalyst favouring the fellows' smooth transition from training through education to training through research.

Each of the three workshops is dedicated to a different set of analytical instruments and methodological challenges associated with the GEM-STONES research agenda. With regards to the "purposeful management of institutional proliferation, the cycle of methods workshops as a whole is expected to provide the fellows with an opportunity to:

- (1) Share literatures and confront different disciplinary perspectives;
- (2) Develop a common conceptual vocabulary;
- (3) Identify analytical instruments and techniques to map and unpack the phenomena.

Covered topics will include the epistemological and methodological implications of analytical choices such as: process-tracing, network analysis, legal analysis, qualitative comparative analysis, discursive analyses and many others. The overall coherence of the methods workshop cycle guaranteed as the first workshop (hosted @ CBS in Copenhagen) is to focus on data collection strategies; the second one (hosted @ GIGA in Hamburg) is to cover theoretical frameworks and the prospects of interdisciplinary dialogues; and the final one (hosted @ UL in Québec) will centre on the tools and instruments (e.g. survey design, coding frames, interview techniques, software ...) that might be called upon.

Limited to a set of three four-day events, these workshops aim to provide the community of 15 ESRs with an introduction to the various methods and instruments at their disposal. Further in-depth training can when needed be provided through local provisions at each of the partner universities.

### WINTER METHODS WORKSHOP

Year	Dates	Location	Hosted at	Topic
2017	January 23rd – 26th	Copenhagen, Denmark	Copenhagen Business School	Data Collection Strategy

The first GEM-STONES-wide Methods Workshop will outline and flesh out the consortium’s shared data collection strategy. All 15 attending ESRs will alternate between general lectures presenting the data collection strategies, goals and principles on the one hand; and on the other, smaller topical seminars focusing on specific challenges associated with the implementation of a said strategy (survey design, coding frames, interview techniques...). Lectures will be given by given consortium members, whereas seminars will be led by 2 instructors; one from with and one from beyond the consortium. The UIA is to be the privileged non-academic partner as it has at its disposal the largest database of international organizations in the world.

The Data-related component of the workshop will involve a lecture centred on presenting the ethical and practical aspects of a Data-Management Plan (DMP). Fellows will be provided with the necessary information and documentation to set-up a responsible and transparent usage of the data they are scheduled to collect throughout the research project.

### SPRING METHODS WORKSHOP

Year	Dates	Location	Hosted at	Topic
2017	March 13th – 16th	Hamburg, Germany	GIGA German Institute of Global and Area Studies	Concept Building and Consistency

To allow for effective interdisciplinary research and a structured data collection effort, this second consortium-wide Methods Workshop has 3 objectives: (1) Prepare ESRs theoretical work and positioning; (2) Building a common lexicon by developing a shared list of theoretical concepts and definitions; (3) Assess and discuss progress on the method textbook. The training will take place over four days.

The Data-related component of the workshop will include the presentation and first discussion of the initial data-management plan (DMP) with an eye on launching the process geared towards the production of the intermediary DMP. Furthermore, it will see the fellows collectively identify the list of key words and concept that will structure the shared data-set thus providing the final component of the needed shared data-classification and nomenclature needed to launch the shared data-set.

### AUTUMN METHODS WORKSHOP

Year	Dates	Location	Hosted at	Topic
2017	October 30th – November 2nd	Quebec City, Canada	Université Laval	Research Methodologies

To tailor the program of the last workshop to the needs of the ESR community, a poll is scheduled to be organised after the second workshop in Hamburg so as to identify which analytical instruments would be most interesting to the fellows. In terms of methods acquisition the goal of the third workshop is to substantiate the mixed methods GEM-STONES will necessarily include, by giving all 15 ESRs an overview of, and targeted training on the main methods the ESRs themselves will have identified after some 6 months of work.

Furthermore, the two Data-related sessions the workshop is to include are the final stage in the training and collective development of the GEM-STONES shared data-collection and management effort. The first session will involve the continued discussion surrounding the DMP, with an eye on approving the intermediary DMP to be submitted to the supervisory Board before publication. The second session will focus on skills acquisition regarding the usage of the newly launched online tool that is to serve as the host and access point for the shared data set.

### 3.1.2 SUMMER SCHOOLS

The GEM-STONES Summer Schools are weeklong gatherings for doctoral students both from within and beyond the GEM-STONES Community.

All GEM-STONES ESRs are held to attend the two Summer Schools, either as discussants or paper-givers. Applicants are invited to suggest any presentation topic of their choosing that fits the broad agenda of the Summer School in question.

	Year	Dates	Location	Hosted at	Overall Theme
1 <sup>st</sup> Summer School	2017	July 3rd – 7th	Geneva, Switzerland	Université de Genève	«Globalisation»
2 <sup>nd</sup> Summer School	2018	July/August, dates TBC	Geneva, Switzerland	Université de Genève	«European External Action»

## 3.2 LOCAL TRAINING ACTIVITIES

### 3.2.1 UNIVERSITÉ LIBRE DE BRUXELLES

Doctoral training at the ULB covers a total of 60 ECTS. It includes both training programs specific to the discipline and department characterizing the PhD students own work as well as a program geared towards the development of more general skills. The 60 ECTS of doctoral training at ULB can contain no more than 30 ECTS of learning activities – i.e. course work at ULB.

The doctoral training in research is supervised by the thematic doctoral school corresponding to the field of research. Each department sets up its own set of course work and training activities within their field. The Thesis Committee of 4 to 5 academics following up on the PhD student's progress validates the ECTS credits and signs off on the relevance of the content of a given student's personal training program. This validation is done from the end of the first year onward and it can adapt the program according to the progress of the candidate's work.

The Thesis Committee validates the credits following the activities carried out by the doctoral student in the framework of his doctoral training in research and sanctions the success of the training, in respect of the general guidelines that were set out in the Faculties.

A year-long weekly seminar is designed for students who plan to undertake a major research project in social sciences, in particular a doctoral thesis. It has two primary objectives: 1) to deepen the students' critical thinking and personal reflections on the scientific process, theories and methods of empirical verification, based on the 'classic' authors of the discipline; 2) and to acquire the necessary research and communication skills in political science. By no means can this seminar replace regular discussions with PhD supervisors or the completion of the "midterm paper". Of necessary, in addition to the seminar participants are strongly encouraged to complement this seminar with a more technical course on the methodology of political science, such as STAT-307-D Methods for Investigation and Surveys, SOCA-D-403 Quantitative Analysis in the Social Sciences, POLI D-438 Methods of Field Investigation, COMMB-Analysis of Political and Media discourses, DROI-C-643 Research Methodology in International Law, or one of the training courses offered by the European Consortium for Political Research [ECPR].

### 3.2.2 UNIVERSITY OF WARWICK

- Year 1 PhD module: Doctoral Thesis Writing in Politics and International Studies
- Year 2 PhD module: Advanced PhD Training
- Training Needs Analysis provided by the Doctoral Training Centre, after which students' supervisor will assist in selecting the most relevant modules offered across the university (departmental postgraduate modules, DTC, Graduate School, etc.) to tailor a training pathway

### 3.2.3 UNIVERSITÄT HAMBURG

The study program is divided into following topics:

- Theories on Business, Economics and Social Sciences
- Research Methods
- Key Competencies

Upon his/her arrival in Hamburg, and in close cooperation with the local supervisor, the ESR will choose courses relevant to their research project and existing skill-set.



### 3.2.4 LUISS-GUIDO CARLI

- Coursework
- “Colloquium on Ethics, Politics, and Society”, other seminars/conferences
- Qualifying Seminar
- Research seminar
- Thesis supervision
- Doctoral Dissertation
- PhD Tutorship

### 3.2.5 COPENHAGEN BUSINESS SCHOOL

The PhD student must complete course work equivalent to 30 ECTS (approved by both PARTNER INSTITUTIONS) of which 15 ECTS must be at CBS. There is no specific curriculum but the student can choose among the courses available during their enrolment in order to complete the requirement. The ESR is advised to discuss the options with their local supervisor.

According to Copenhagen Business School PhD Programme Regulations the ESR cannot be enrolled at CBS for a period, which exceeds 7 years.

### 3.2.6 UNIVERSITÉ DE GENÈVE

The ESR will follow a doctoral programme ensuring sufficient methodological training and evaluation, within the field of study of the thesis. The requirements of the doctoral program are determined by the local supervisor, and accepted by the ESR, no later than at the end of the first semester after enrollment as a PhD student at Université de Genève. The doctoral program may include doctoral coursework and modules, or participation in methodological courses offered by one or more Master’s degree programs at the Université de Geneva.

### 3.2.7 UNIVERSITÉ LAVAL

For ESR2	For ESR4 & ESR5
<ul style="list-style-type: none"> <li>• Mandatory doctorate-level seminar</li> <li>• Four graduate-level thematic courses. Some of them can be individual reading classes or guided research.</li> <li>• Epistemology course</li> <li>• Comprehensive Exam (Examen rétrospectif)</li> <li>• Research Project Exam (Examen prospectif)</li> <li>• Thesis research</li> </ul>	<ul style="list-style-type: none"> <li>• Mandatory doctorate-level seminar</li> <li>• Three graduate-level thematic courses. Some of them compulsory if the student lacks qualitative and/or quantitative methodological training at the MA-level.</li> <li>• Two core field seminars</li> <li>• Comprehensive Exam (Examen rétrospectif)</li> <li>• Research Project Exam (Examen prospectif)</li> <li>• Thesis research</li> </ul>

### 3.2.8 WASEDA UNIVERSITY

- Automatic registration as a member of Professor Bacon’s doctoral seminar, which meets on a weekly basis during the semester, and offers tailored methodology training for the doctoral candidates under Professor Bacon’s supervision.
- In consultation with Professor Bacon, the selection of several courses to be taken from the GSAPS curriculum. The number and type of courses selected will depend on the emerging direction of the thesis, the number of ECTS-equivalent credits she would like to study for while at Waseda, and the number that Waseda and the ULB deem it appropriate for her to take while studying in Japan.
- Individual consultation and monitoring sessions with Professor Bacon. In these sessions, academic objectives will be identified, and targets set.
- Completion of the online course “Research Ethics.”

### 3.3 INTERNSHIP

The GEM-STONES' internship program was set up with the aim of helping the ESRs develop new, transferable skills. Although bottom line for the PhD candidates is their own research project, GEM-STONES promoters believe that integrated non-academic experiences will help raise awareness of career opportunities outside of the academia. Counter-intuitively, taking some distance from their research problems will also help the ESRs to acquire fresh ideas on how to approach pressing issues in their project. In such a way the completion of an internship will put the ESRs in a better position to see their doctorate finished. Clearer career plans and support gained from colleagues working in non-academic environments is also believed to optimize focus on core research.

Accordingly, the internship program subscribes to the following objectives:

- Application of knowledge and theories to practical work situations
- Acquisition of appropriate skills and techniques directly applicable to ones career
- Access to additional publication platforms and data
- Creation of job exposure and enhanced employment opportunities
- Opportunity to develop attitudes conducive to effective interpersonal relationships

GEM-STONES internships are tailored to each individual case so as to maximise added value for the undertaken research (e.g. access to relevant data, networks, insights...), while complementing it with a professional experience, currently not included by default in doctoral studies. Internship destinations include a global consultancy firm, one think tank, one international research institute, an SME, and two NGOs. The variety of individual experiences is therefore also hoped to serve as a basis for fruitful exchanges among the ESRs.

**Table 3.1 GEM-STONES: Non-academic Partners**

INTERNSHIP DESTINATION	ESR HOSTED	LOCATION
<b>German Institute of Global and Area Studies</b>	9; 10	Hamburg, Germany
<b>Istituto Affari Internazionali (IAI)</b>	4; 11; 13	Rome, Italy
<b>McKinsey &amp; Company</b>	5; 6; 8	Brussels, Belgium
<b>Polint</b>	2; 14	Brussels, Belgium
<b>Transatlantic Foundation/GMF</b>	1; 3; 15	Brussels, Belgium
<b>Union of International Associations (UIA)</b>	7; 12	Brussels, Belgium

Internships are considered an integral part of the fellows' training. As such they are planned, implemented and assessed under the joint supervision of the fellows' individual Supervisory Trios and the program's Supervisory Board. Both the ultimate internship reports as well as any changes, adjustments, and questions related to the internships are to be addressed to both the Trio and the Supervisory Board. Ultimately, on the basis of the internship reports (see p.28), ESRs will be awarded 5 ECTS credits.

## 3.4 FOUR TYPES OF TRAINING DELIVERABLES

DEADLINE	TRAINING DELIVERABLE
Dec 2018	Methods Textbook
2 months after	Internship Report
Feb 2020	Summer School Report
Feb 2017	Data Management Plan

### 3.4.1 TEXTBOOK

Titled **Key Concepts in Research Methods** and edited by **Jean-Frédéric Morin** (Université Laval, CAN), **Christian Olsson** (Université Libre de Bruxelles, BE) and **Ece Özlem Atikcan** (University of Warwick, UK), this published collective work is to be a user-friendly textbook on research methodology. Its peculiarity is that it will not be structured in a linear manner, but as an analytical dictionary to better fit both the new reading habits of students and practices of research characterized by iterative returns rather than linear progression. Moreover, the fellows' involvement in the textbook's drafting process also offers a distinctive added-value in training as the writing process will directly involve all 15 ESRs. The compilation will be steered by a scientific committee made up of equal numbers of ESRs and senior academics, and each chapter will be written in collaboration by an ESR and a senior scholar. This working method will promote learning and skills development of the doctoral fellows.

The overarching aim of the **Key Concepts in Research Methods** is to be a textbook targeting undergraduates and postgraduate students in social sciences, including legal studies. To this end, it is to be organized as an encyclopedia, with 66 entries presented in alphabetical order (for full listing see Annex 2, p.52). There are several textbooks on research methods currently available on the market, however, they are typically structured in a linear manner and must be read chapter by chapter. We believe that an analytical encyclopedia better suits students' needs, practices, and interests.

One of the main added-values in this project lies in the editorial process. The 15 PhD fellows supported by the GEM-STONES program will each provide at least one entry, while the rest of the entries will be authored by other PhD candidates and faculty members from GEM-STONE institutions. Some external leading figures will be invited to contribute or co-author entries. Overall, co-authorships are welcome. We especially appreciate collaboration between researchers from different institutions and different generations.

The encyclopedia will be analytical, with entries focusing on academic debates and conceptual analysis. As such the result will be less descriptive and factual than for example Wikipedia. Yet, this is a textbook, neither blog nor an op-ed. Contributors will be invited to expose students to various viewpoints and identify criticisms. Each entry will: provide a definition of a given method/technique/concept/tool; discuss its underlying assumptions; present its historical evolution; expose methodological and theoretical debates; illustrate its practical and concrete use; identify its strengths and weaknesses, and pinpoint its current status in academic practices.

The textbook will not cover: (1) theoretical debates (no entry on institutionalism, rational choice, etc.); (2) discipline-specific methods (no entry on econometric analysis, legal interpretation, etc.); or (3) empirical issues. Contributors will be invited to follow an interdisciplinary spirit, presenting the issue from at least two social science disciplines, including law, political science, economy, philosophy, sociology and geography. Also, they will be invited to draw examples from at least two different issue-areas (such as immigration, environment, human right, trade, education, taxation, urban studies, etc.)

The aim of a handbook is to shape the initial stages of ESRs with an eye on setting the research agenda for the next five to seven years. By providing students and ESRs with a user-friendly and exhaustive manual that will help them situate themselves and identify the key concepts of their research, the textbook will help refine existing areas of research, push the boundaries of established knowledge by helping young students and scholars identify them more easily, and facilitate solidly understood and substantiated multidisciplinary research. Ultimately, such a textbook is uniquely positioned to provide graduate students with ideas/encouragement for future research activity.

The content of **Key Concepts in Research Methods** is that of a textbook, yet its format will set it apart from other textbooks/handbooks. The timing of the textbook's production is scheduled over the course of 2 years. Starting in January of 2017, the drafting and compilation stages of the project are to see a manuscript ready for submission by December 2018. GEM-STONES' three Methods Workshops, scheduled to be held throughout 2017 will serve as milestones and editorial meetings.

### 3.4.2 INTERNSHIP REPORT

An internship can only be a true learning experience if constructive feedback is provided.

With this in mind, the internship will: (1) be based on a report the ESR is to prepare within two months after the end of the internship; (2) reference the learning objectives that were jointly identified by the ESR and his/her mentor at the start of the internship ; and (3) involve all three members of the ESR's Supervisory Trio.

**(1) Individual Internship Report:** To fulfill the academic requirements of the internship, ESRs are required to submit within 60 days of the internship's end a personal report following the specific outlines in this guidebook. It is this document that will serve as principal reference for the evaluation of the internship and the award of its related 5 ECTS.

**(2) Jointly identified learning objectives:** To make the internship experience as fruitful as possible, a given ESR and their mentor are to agree on a set of learning objectives at the start of the internship period. These objectives are to include the function, tasks and outputs associated with the internship. When discussing the learning objectives, the ESRs and mentors are also to consider how the internship will relate to the ESR's research and what the chosen topic of the ESR's internship report will be. The agreed upon objectives are then to be communicated to the ESR's two other supervisors and the PMO.

**(3) Final assessment by the Supervisory Trio:** The ESR's Supervisory Trio should, on the basis of the internship report, take the time to evaluate both a student's positive accomplishments and weaknesses. If an intern was unable to meet their learning objectives, suggestions for improvement should be given. Ultimately, the Supervisory Trio is to give the report either a 'pass' or 'unsatisfactory' grades. Unsatisfactory reports are to be returned for revision. A second such grade on the same report means a failure of the internship. On the basis of a passing internship report, the fellow is awarded 5 ECTS.

## GEM-STONES INTERNSHIP MILESTONES

### 1. First week of the internship

ESR and their mentor meet and jointly agree on the learning objectives, to be sent to the co-supervisors and the PMO

### 2. During the internship

ESR executes the tasks given to him/her by their mentor and collects the necessary data for writing the internship report



### 4. 30 after submission of internship report

Supervisory Trio shares its joint assessment with both the ESR and the PMO

### 3. 60 days after the internship

ESR submits the final internship report to their Supervisory Trio and the PMO

## GUIDELINES FOR WRITING AN INTERNSHIP REPORT

Overall, an internship report must: demonstrate an ESR's ability to communicate what they have done during their internship, and to relate their work to the bigger picture; crystallise the links between the internship and the ESR's own research; and demonstrate the ESR's ability for critical thinking.

Internship report will contain three subject areas:

- (1) Outline of the host institution's background and the department in which the ESR performed their internship
- (2) Outline of the tasks that the ESR has performed during the internship
- (3) A discussion of a specific issue related to the internship, both in relation to the ESR's own research as well as to the wider field of activity characterizing the host organisation.

**Main focus of the report should be on the third component, critical discussion on a chosen internship-related topic.** This analytical component of the report should link academic knowledge to practical experience. Fellows will not only gather information but also interpret, organize and present it clearly and understandably.

It is common that the analytical component of an internship is perceived as a major challenge. However, it is well acknowledged that many aspects of an intern's daily work can be praxis- rather than academically oriented. An ESR's work might thus include administrative duties as well as mundane tasks required by the mentor. While it is important that ESRs follow the directions of their mentors, in order to pass the academic requirements of the internship the ESRs are expected to go beyond the following of instructions to also demonstrating their abilities in critical thinking. The internship report will allow the ESRs to examine aspects of a project, or of the organization, beyond the work performed by the host institution. Ideally, the reports will be of practical benefit to the host while putting forward initiatives beyond the ESRs immediate responsibilities.

Early start is the key to producing a top-notch report. Once the ESR and their mentor have agreed on a topic, detailed record-keeping by the ESR on the activities related to the report's topic – methods, observations, meetings attended – is crucial. Even if they have not been assigned a specific project during their internship, the ESR's report must still contain an analytical component based on a chosen topic. The topic does not have to be original, but the report has to be related to the internship and reflect the focus of the ESR's doctoral research.

It is sufficient to concentrate on one specific aspect or problem related to the internship, and it is not required that the ESRs report in depth on all the projects that they might have been involved with during the internship. However, the chosen topic has to be discussed with enough depth so that the treatment of the subject demonstrates a specialist-level ability in the ESR's major field. The mentors will help and endorse the selection of a topic as they are to jointly identify it when discussing the learning objectives at the start of the internship. This also presents an advantage to the mentors, since their early contribution can lead to a report that will be of direct use to them.

The following format guideline outlines the specific requirements of the internship report in terms of necessary sections. There is no strict rule on the length and specific formatting of the text. Fellows should be able to format their report in the style most appropriate for their studies. However, a typical internship reports consist of three main sections: the preliminaries, the main text and the reference material, all of which are outlined next.

#### **The preliminaries have to include:**

- (1) Title Page** listing the following information: report title (including chosen topic); host institution's name and location (incl. logo); date of report; ESR's name, email address and two host universities (incl. logos) as well as the names and institutions of the members of their supervisory trio.
- (2) Acknowledgement and Endorsement** containing any acknowledgement of assistance and a statement of endorsement, which states that they wrote the report themselves and that it has not already received academic credit from another institution.
- (3) Executive Summary** is the most important part of their report. It summarizes the body of the report, outlining its scope, purpose and major findings, highlighting the key conclusions and recommendations.
- (4) Table of Content** listing all sections and sub-sections and using the same numbering system as the main body of the report. The preliminaries are not listed.

#### **The main text has to include:**

- (1) Introduction** defining the subject of the report so that the reader is prepared for the text that follows. Here ESRs are expected to both introduce the host institution and/or department for which they interned, and summarize the work they performed.
- (2) The discussion** is the longest part of the report. It is here that ESRs develop their chosen topic by examining the problem, their findings and both meaning of those findings and their relationship to both the ESR's personal and GEM-STONES's collective research agendas. Although every report will have different section headings, there are certain themes which run through all reports – a description of the methods used to acquire data, a summary of the data obtained and finally a discussion of the interpretation of the data. In this context the word 'data' can have such different meanings as actual scientific measurements, textbook information, literature, logbooks, financial statements, opinions of experts or employees and so on.
- (3) Conclusion**, where the ESR should assess whether the goals set in the « initial learning objectives » were met.
- (4) Recommendations** are suggestions following logically from the conclusions. If the conclusions lead with the work accomplished during the internship, recommendations look towards the future.

**The reference material can include:**

- (1) **References** listing all the books and journals, and if necessary web pages, to which interns specifically refer in their report. The ESRs are free to choose the referencing format they prefer (e.g. Chicago, Oxford, APA, etc), but they are to apply it consistently throughout the references.
- (2) **A glossary** is only needed when ESRs have used specialized terms, mathematical symbols or professional jargon in an extensive way. If they have used specialized terms only occasionally, it is acceptable to define it within the text. This same rule applies for the Nomenclature.
- (3) **Appendices** provide their reader with supporting information that elaborates on, but is not essential to the development of their chosen topic.

**3.4.3 SUMMER SCHOOL REPORT**

Project Management Office will prepare a report on both of the Summer Schools to be organised in Geneva. These reports will be presented at the Supervisory Board Meetings, and submitted to the European Commission.

The Summer School report will provide an overview of the Summer Schools, including their aims, program and results. The report will be accompanied by a quality review based on a satisfaction survey conducted among all student participants after each Summer School.

**3.4.4 DATA MANAGEMENT PLAN**

GEM-STONES has a shared strategy towards data generation and management. The starting point of said strategy is the so called GEM-STONES Data Management Plan (DMP); a living document outlining how the research data collected or generated will be handled during and after the joint research project.

The GEM-STONES' DMP serves 4 main purposes:

1. Collectively agree on an "Data Archiving and Preservation Policy" as GEM-STONES raw data is to be made available beyond the life of the project;
2. Collectively agree on a "Data Sharing Policy": the default option is "Open Access" so any restrictions are to be spelled out in the DMP;
3. Collectively agree on a « Data Classification and Access Policy » as commonly understood Meta-Data criteria are to allow for the data to be easily found and understood according to the different disciplines involved in the project (i.e. Law, EU Studies, IR, IPE, PoliSci.);
4. And Collectively agree on "Data Standards" meaning which standard and norms will be used with regards to the respect of privacy, consent and other data-related protection standards.

Three DMPs are scheduled to be handed in as deliverables to the European Commission:

- Initial version in February 2017
- Detailed version in April 2018
- Final version in September 2020

All versions of the DMP will be produced by the PMO following European Commission standard questionnaires in collaboration with all GEM-STONES academics and researchers under the auspices of Work Package 8 (Open Research Data Pilot) using the "DMP Online" platform (<https://dmponline.dcc.ac.uk>). They will then be approved and published by the GEM-STONES' Supervisory Board at its annual meetings.

The GEM-STONES DMP is structured along six sections involving 40 questions to be answered :

**Section 1 – Data Summary** – reviews GEM-STONES’ data purpose ; relation to the objectives of the project; types and formats; origin; expected size; utility as well as the policy implemented with regards to re-use of existing data.

**Section 2 – FAIR Data** – explains how GEM-STONES data will be made Findable (metadata provisions, search keywords and naming conventions), Accessible (means and levels of accessibility – private, semi-public or public), Inter-operable (file standards and cross-Work Package interoperability), and Re-usable (build-up and publication strategy of the shared dataset as well as accessibility and protection of archived information).

**Section 3 – Allocation of Resources** – provides an estimation of the costs associated with the production of FAIR data, an outline of the responsibilities, as well as an evaluation of the costs and potential value of long term data preservation.

**Section 4 – Data Security** – describes provisions foreseen for data recovery, secure storage and transfer of sensitive data.

**Section 5 – Ethical Aspects** – reviews references and related technical aspects that are not covered by the GEM-STONES’ ethics review, ethics section of the Description of Work and ethic specific deliverables.

**Section 6 – Other** – overviews national/funder/sectorial or departmental procedures for data management that are being used.



## 4. IMPACT PROGRAM

---

GEM-STONES' impact strategy aims to optimize the capacity of the project's constituent research and training activities to: (1) positively spill over onto the 15 ESR's networking and professionalization capacities; and (2) to influence members of the research and academic communities as well as stakeholders beyond the world of higher education.

GEM-STONES consequently seeks to actively enhance its ESRs' career perspectives by helping them to join an internationally competitive workforce, to develop a unique scientific profile, to integrate an international network, and to acquire both academic and non-academic skills.

Additionally, GEM-STONES mobilizes its global network and pooled resources to maximize traditional dissemination platforms of research results in Socio-economic Sciences and Humanities. To do so, it capitalizes on its interdisciplinary specificity whilst taking into account four processes by which its research generates an external impact: (1) through the aggregation of disciplinary perspectives present within the GEM-STONES teams, (2) by going beyond disciplinary limits; (3) through the development of cooperation with third parties by way intersectoral AGORA fora; and (4) through a participative approach involving both its academic and non-academic partners.

---

### 4.1 NETWORKING

GEM-STONES' unprecedented resource pooling efforts allow its enrolled ESRs to benefit from an extensive network of academics, experts and practitioners, which is to strengthen both their cooperative research ties and knowledge transfer opportunities.

#### 4.1.1 COMMUNITY BUILDING

To foster the integration of its community, the GEM-STONES impact program foresees three activities:

1. GEM-STONES Fellows are requested to fill out all 3 sheets composing their **Online Curriculum Vitae (CV)**. This online CVs are to inform visiting parties about the individual GEM-STONES fellows': (1) personal profile / Bio; (2) Research activities within the project; and (3) activities they either lead or take part in as well as resulting products. The initially uploaded information is to be updated at least on a semestrial basis.
2. During the first GEM-STONES Annual Conference (held in Rome on April 26-28th 2016), all GEM-STONES fellows will be trained to present their research project in 3 minutes. After said training session, **individual 3-minutes-long video widgets** will be shot. After editing, these videos are to be uploaded on the GEM-STONES' Fellows individual Research pages displayed on the GEM-STONES' website.
3. The GEM-STONES project foresees a specific budget to allow for the support of motivated **student-led collective initiatives** involving at least 3 fellows, minimum one of which has to be a GEM-STONES fellow. These include: Collective Projects; Co-funding for collective conference participation; Co-funding to allow collective production of distinct deliverables (ex. publication, working-paper, ...) in the framework of external workshops or summer schools. Any student led initiative needs to be collectively motivated and submitted via a dedicated form to the GEM-STONES Supervisory Board; which in turn will assess its nature, substance and level of jointness. These 3 criteria are to motivate the GEM-STONES Supervisory Board's decision for funding.

#### 4.1.2 ANNUAL CONFERENCE

The GEM-STONES Annual Conferences are understood as 3-day long community building events. These conferences bring together all GEM-STONES fellows; GEM-STONES Supervisory Board and International Advisory Board Members; the GEM-STONES PMO as well as select external academics, researchers and experts. They are organised at the same time as the Annual GEM-STONES Management and Academic Supervisory Board meetings.

	Year	Dates	Location	Hosted at
1 <sup>st</sup> Annual Conference	2017	April 26-27	Rome, Italy	LUISS Guido Carli
2 <sup>nd</sup> Annual Conference	2018	Feb 19-20	Hamburg, Germany	Universität Hamburg
3 <sup>rd</sup> Annual Conference	2019	Feb - dates TBC	Brussels, Belgium	Université libre de Bruxelles

Each of the 3 scheduled Annual Conferences aims to provide a platform where the GEM-STONES community meets; to jointly assess progress of the research project; to confront individual researchers' findings; and to disseminate accumulated knowledge. They will respectively focus on «methods» (2017); «initial findings» (2018); and «final results and future prospects» (2019).

Each Annual Conference will consist of:

- **1 Keynote** by a leading figure from the academic or non-academic sector (2 hours).
- **4 Panels** (1 per GEM-STONES' research Work-Package - i.e. EMERALD; CITRINE; RUBIES & SAPPHIRE) respectively chaired by each Work-Package academic lead. Each panel is to involve 20 min-long presentations by each implicated GEM-STONES PhD Fellow followed by a joint 30min-long Q&A session.
- **4 Work-Package meetings** lead by each Work-Package academic lead (45 mins).

## 4.2 PROFESSIONALISATION

GEM-STONES acknowledges that the professionalization and internationalisation of European ESRs requires a move away from individualised purely elective and master-apprentice based training. It rests on a structured programme of activities aiming at balancing research, training and inter-sectoral skills' acquisition.

#### 4.2.1 AGORA © FORA

The three scheduled GEM-STONES AGORA® Fora serve as professionalization and inter-sectoral bridging events. They bring together all GEM-STONES fellows, all Supervisory Board and PMO Members, all or part of the GEM-STONES supervisors, external academics, researchers, policy/ decision makers as well as experts and civil society representatives interested in the agenda of the GEM-STONES project.

	Year	Dates	Location	Hosted at
Kick-off AGORA	2017	Feb 6-7	Brussels, Belgium	Université libre de Bruxelles
Mid-Term AGORA	2018	June 7-8	Brussels, Belgium	Université libre de Bruxelles
Final AGORA	2019	Feb - Dates TBC	Europe - TBC	Europe - TBC

The rationale behind the GEM-STONES AGORA® Fora is to foster two-way interactions between the GEM-STONES's academic research and policy-making in the fields broached by the GEM-STONES' research agenda. This will enable GEM-STONES PhD Fellows to jointly reflect on their research in an inter-sectoral environment as they will be confronted by representatives from both the academic and non-academic sectors.

The GEM-STONES AGORA © Fora will: (1) provide the GEM-STONES research community with rapid and targeted feedback from policy actors working in their field of inquiry; and (2) make the policy implications of recent GEM-STONES' related research more tangible and better communicated to relevant stakeholders.

The three scheduled GEM-STONES AGORA® Fora have specific and complementary aims:

#### FIRST FORUM – 6-7th FEBRUARY 2017 @ ULB, Brussels

**The first Forum is set-up to integrate the GEM-STONES' 4 research work-package teams and to broaden the project's internal scientific dialogues** with input from third parties and other communities. This is to be done on the basis of 4 research background notes prepared by the 4 academic coordinators of each of the 4 GEM-STONES research work-packages. Said 4 background notes are to be drafted on the basis of the 15 GEM-STONES's PhD Fellows' own research briefs which are produced in the framework of the GEM-STONES' Research Program (see description in section 2 above).

#### SECOND FORUM – JUNE 2018 @ ULB, Brussels

**The second Forum is set up to reflect on the societal significance of the Fellows' individual research** accomplished so far. This is to be done on the basis of policy briefs drafted by the Fellows. On the basis of a template provided by the PMO, these policy-briefs are to translate the broader societal and policy implications of their research question(s) and finding(s) (for more information, see part 4.3.2).

#### THIRD FORUM – FEBRUARY 2020 @ TBC / Europe

**The third and final Forum is understood as a participative public outreach exercise** which will produce GEM-STONES policy recommendations informed by each of the 15 GEM-STONES's fellows own findings.

To this effect, all 15 GEM-STONES PhD Fellows will be required to fill in 15 individual template-based Executive Briefings comprising of: (1) a summary of their own GEM-STONES research findings; (2) an analysis of the policy relevance of said individual research findings; and (3) a series of resulting concrete policy recommendations. These 15 executive briefings are: (1) to serve as the basis for discussions at the third Forum; and (2) to be ultimately disseminated to a set of decision makers, experts and advocates.

#### 4.2.2 SKILLS MODULES

The GEM-STONES project foresees 3 “Skills Training Modules”. These targeted modules involving all GEM-STONES fellows and non-academic instructors are wedded to the GEM-STONES Annual Conferences and lead by the Istituto Affari Internazionali (IAI), alongside all other non-academic partners.

	Year	Dates	Location	Hosted at	Focus on
1 <sup>st</sup> Skills Module	2017	April 26-27	Rome, Italy	LUISS Guido Carli	IT Skills
2 <sup>nd</sup> Skills Module	2018	Feb 19-20	Hamburg, Germany	Universität Hamburg	Outreach
3 <sup>rd</sup> Skills Module	2019	Feb - dates TBC	Brussels, Belgium	Université libre de Bruxelles	Career Building

The overarching aim of all 3 GEM-STONES skills modules is to provide GEM-STONES fellows with non-academic transferable skills for highly qualified job-seekers. They will dispense tasks-based learning.

#### 4.2.3 STUDENT PROJECTS

The program has a pot of funding that has been reserved for student-led projects

- 15.000€ for the first half of the project: Sep 2016 to Feb 2018
- 15.000€ for the second half of the project: Mar 2018 to Aug 2019

Funding left over from the 1st period will be added to the 2nd. Once Awarded the funds are provided as a lump sum which organizers are expected to spend to meet the objectives of the project. Funding can be used to cover a variety of costs such as: organizational costs, travel costs of listed participants (for both members of the GEM/GEM-STONES communities as well as third-parties), or publication expenses. The only ineligible costs are honoraria. Any travel and hotel arrangements will be handled through the travel agent of the ULB, while other costs will be covered through reimbursements to the participants. Details will be provided by the PMO after final decision on the funding of the submitted project.

Applications are to meet the following requirements:

- The list of participants in the project should include at least 3 fellows or alumni from either the GEM or GEM-STONES projects.
- At least one of the project’s organizers is to be a GEM-STONES fellow
- Proposal needs to clearly state added value to the GEM-STONES program as a whole
- Proposal should be submitted minimum 6 months before the planned event

Funding will be allocated following a scientific evaluation, and awarded by a selection committee that will provide the GEM-STONES supervisory Board with a recommendation which in turn is to be formally endorsed by the Supervisory Board. The selection committee is sovereign to: simply award the resulted funds; suggest a more limited financial endorsement than the one requested; or reject the request.

The selection committee will provide an argued decision based on three main criteria:

1. Scientific quality of the project
2. Possible benefits to the GEM-STONES research agenda
3. Possible benefits to the GEM/GEM-STONES student communities

The selection committee will include: 2 members of GEM-STONES Supervisory Board and 1 member of the International Advisory Board. Membership of the selection committee is endorsed on an annual basis by the GEM-STONES Supervisory Board. One of the 2 designated GEM-STONES Supervisory Board members is also take on the chairmanship of the committee functioning as the organ's main point of contact with the PMO.

Student Projects' setup, implementation & reporting will be Managed through the PMO. A standard application form will be available upon request from the PMO, and the rolling call will be launched in September 2017.

## 4.3 FOUR TYPES OF IMPACT DELIVERABLES

DEADLINE	IMPACT DELIVERABLE
Jan 2017	Online Curriculum Vitae
April 2017	Individual Research Presentation Video Widget
May 2018	Individual Policy Paper
Jan 2020	Individual Executive Briefing

### 4.3.1 ONLINE CV & VIDEO WIDGETS

As part of the GEM-STONES project's communication and dissemination efforts, all ESRs are held to fill out and regularly update their **profile page on the GEM-STONES website**. Additionally, during the first annual conference in Rome the ESRs will receive media training to help them prepare for shooting a **short introduction video about their individual research**. These videos will be uploaded on YouTube, and posted both on the GEM-STONES website and as part of wider online publicity campaigns.

### 4.3.2 INDIVIDUAL POLICY PAPER

All 15 ESRs will be required to produce **at least two policy briefs summarizing the policy implications of their individual research**. The policy papers are an integral part of the program's professionalization and networking agenda as their production is tied to the second and third AGORA® Forums.

In preparation of both the 2nd (scheduled to be hosted in June 2018) and 3rd (scheduled to be hosted by March 2020) AGORA® Forum, all the ESRs will be asked to produce a standard document geared towards policy-making audiences, notably within the Brussels-based European policy-making communities. In both cases, the ESRs will be provided with a template to ensure all policy-

papers are as recognizable and user-friendly as possible.

The first policy briefs, to be produced by June 2018, will focus on the policy challenges raised by the ESRs' own research. It will emphasize the possible policy implications of the fellows' ongoing research stressing the questions it raises. The schedule for this first set of more analytical policy briefs is as follows:

- By March 2018 the ESRs will be provided with the template of this first set of policy briefs;
- By the end of May 2018 all 15 fellows are to return the initial drafts of their analytical policy briefs;
- June 2018 the policy briefs will be widely discussed at the 2nd AGORA© Forum. And, taking into account the discussions at said Forum;
- By September 2018 the ESRs are to return their final policy briefs for publication.

The second set of policy briefs, to be produced by March 2020, will bring together a wider set of considerations taking into account the full gamut of the fellows' experiences, including both the ESRs' finalized research as well as other pursuits such as their internship, the program's foresight exercise, and their career prospects beyond the PhD. As such, more open-ended in outlook, this second set of policy briefs will build on both the individual know-how of each fellow as well as a foresight exercise to see each participating ESR produce a policy brief offering some policy recommendations within their field of expertise. The schedule for this second set of more prospective policy briefs is as follows:

- By November 2018 the ESRs will be provided with the template of this second set of policy briefs;
- By the end of January 2019 all 15 ESRs are to return the initial drafts of their prospective policy briefs;
- On the basis of the draft policy briefs the necessary consultations for the foresight exercise are to be run by the PMO from March till June 2019;
- The policy briefs will be widely discussed at the 3rd AGORA© Forum which is to be organized as part of the foresight exercise before March 2020. And taking into account the discussions at said Forum;
- By April 2020 the ESRs are to return their final policy briefs for publication.

To maximise the visibility and impact of each set of policy briefs they will be circulated via the program's various online platforms as well as those of the member partners. Moreover, depending on the internship destination of each ESR and the topic of their respective policy briefs, the possibility of seeing some of the policy briefs co-published in one of the non-Academic partners' own series of policy briefs will be explored on a case-by-case basis. Finally, if all policy briefs are to be written in English, each fellow will be encouraged to also provide a copy of both of their briefs in their mother tongue to encourage greater visibility in their home country.

#### **4.3.3 INDIVIDUAL EXECUTIVE BRIEFING**

Overall, the GEM-STONES work schedule foresees two executive briefings to be organized during the academic year 2018/19. These two gatherings, hosted either in Washington D.C. by the Transatlantic Foundation/German Marshall Fund, or in Tokyo by Waseda University are part of the program's professionalization and networking agenda. As such, their primary function is to see the GEM-STONES community interact with policy-making communities from beyond Europe.

The exact format and timing of these events is to be set in collaboration with the hosting partners

and is to be confirmed at the latest by the third annual meeting of the GEM-STONES supervisory Board in February of 2019.

Overall, these are to be targeted relatively small scale events which will see a select number of ESRs and academics from the network meet policy-makers from either the Washington or Tokyo-based policy-making communities. If the general topic remains the challenges facing the “purposeful management of complex regimes” on the international stage, the exact focus will be set by the hosting partner in function of the priorities and interests of the local policy-making community.

As part of their networking and professionalization efforts, each GEM-STONES fellow will be expected to participate in one of these two executive briefings. By March of 2019 at the latest, a call for applications will be launched simultaneously describing both executive briefings inviting all 15 ESRs to declare their primary and secondary interest. Informed by the ESR’s expressed preferences the PMO in cooperation with both hosting partners will establish the list of participants for each executive briefing, making sure a comparable number of ESRs takes part in each event.

# 5. MONITORING & EVALUATION

Each ESR is subject to institution-specific individual monitoring, on the one hand; and continuous network-wide evaluations, on the other. Both the local and GEM-STONES-wide assessments are annual, but their timing is staggered seeing all ESRs undergo a local or network-wide assessment about every 6 months. Local evaluations are articulated around end-of-year reviews. GEM-STONES-wide evaluations include an online self-evaluation feeding into an assessment by both supervisors, which in turn is considered by the Academic Supervisory Board.

---

## 5.1 JOINT SUPERVISION ARRANGEMENTS

From the start of the project, each student will collaborate with, and be supervised by a Supervisory Trio including:

- Two academic co-supervisors from their degree-awarding institutions
- One non-academic mentor from their internship destination

The Supervisory Trio will follow-up with the student's progress by way of:

- Annual committee meeting
- Online evaluation system
- Internship report

The Supervisory Trio is responsible for participating in the selection of the researchers, and for effective relay between the student and the doctoral provisions at both host institutions. They will also provide the Academic Supervisory Board with regular reports on the student's progress, and facilitate the implementation of the student's Personal Career Development Plan (see 3.3 in 'Administrative and Financial Manual'). At its annual meetings, the Academic Supervisory Board will jointly assess the situation and if needed will recommend possible redress. *For more information about disciplinary procedures, see Chapter 5.4.2 of this document.*

A physical meeting between each ESR and their Supervisory Trio is to be organised on an annual basis. The Project Management Office has funding to cover the cost of the travel of the supervisors to the meeting, and strongly recommends that the meeting is scheduled to take place in the location of the ESR at the time. The academic supervisor at the ESR's first hosting institution is charged with taking the initiative of organising the annual meeting.



## 5.2 ANNUAL JOINT PROGRESS ASSESSMENT

An annual mechanism has been set up as a complement to existing local reviews to allow for the joint and transparent assessment of each ESR by their co-supervisors and the GEM-STONES' Supervisory Board as a whole. The process will assess both interdisciplinary research skills as well as inter-sectoral transferable ones.

	Year	ESR's Online Self-Evaluation	Online Assessment by Supervisory Trio	Assessment by Supervisory Board	Evaluation Results
1 <sup>st</sup> Evaluation	2016-2017	Mar 6-31	April 10-21	Apr 2017 - Annual Conference	May/June
2 <sup>nd</sup> Evaluation	2017-2018	Dec 4 - Jan 8	Jan 15-26	Feb 2018 - Annual Conference	March/April
3 <sup>rd</sup> Evaluation	2018-2019	Dec 10 - Jan 7	Jan 14-25	Feb 2019 - Annual Conference	March/April

During the period of evaluations, each ESR will have access to their online self-evaluation form, which they are held to fill out and submit within the given deadlines. Following this, each member of a given Supervisory Trio will submit their own individual evaluation of the ESR's progress. Both the ESR's own evaluations, and assessment forms filled out by the supervisors will be accessible during the next year's evaluations. Ultimately, the ESR's and supervisors' assessments will be submitted for discussion to GEM-STONES Academic Supervisory Board who in turn will report on said basis to the Commission.

## 5.3 LOCAL EVALUATION ARRANGEMENTS

### 5.3.1 UNIVERSITÉ LIBRE DE BRUXELLES

#### Annual assessment and re-registration

The Thesis Committee meets at least once a year to assess the progress of its work. On the basis of this annual evaluation, the result of which is communicated to the candidate, the Thesis Committee shall submit a written opinion on the reinstatement to the Faculty of PhD.

In case of serious deficiencies, the duly motivated opinion may recommend to the Faculty of PhDs to refuse to re-enroll the following academic year.

When the preparation of the thesis exceeds four years, re-registration is granted only on the basis of a positive opinion duly motivated by the Thesis Committee and the express agreement of the Faculty of PhDs.

#### The intermediate test

In the course of a doctorate, the candidate presents to his Thesis Committee an intermediate test, the purpose of which is to verify that his work is able to be completed on time. This event is organized during the first or second year of the PhD.

The Thesis Committee decides on the success or failure of the intermediate test and transmits its decision to the Faculty of PhDs. If the intermediate test is successful, the work leading to it is validated at the rate of 20 credits for doctoral research training.

The intermediate test must imperatively be successful before the defense of the thesis.

In case of failure, the Thesis Committee shall justify its decision in writing and forward it to the candidate within eight days. The Faculty Commission for PhDs then refuses reinstatement. The PhD student may, within fifteen days, ask to be heard by the Faculty of PhDs. The latter may exceptionally authorize it to re-register. The intermediate test must be successful in the following year.

In the event of definitive failure of the intermediate test, the doctoral student may not submit a new application for admission to the doctorate at the ULB before a period of five years

### 5.3.2 UNIVERSITY OF WARWICK

- First year review (upgrade from MPhil to PhD registration)
- Any evaluation specific to modules undertaken in the customised training pathway
- Ongoing mentoring and formative feedback from the supervisors

### 5.3.3 UNIVERSITÄT HAMBURG

Successful completion of each course requires regular attendance and completion of coursework provisions. Students will be informed about necessary coursework during the first meeting, and nature and extent of coursework will correspond to the estimated workload in terms of credits.

### 5.3.4 LUISS-GUIDO CARLI

#### Coursework

By the end of the first Academic year, students are required to prepare a paper (5000 words) for each of the courses they have attended.

The term papers will be evaluated on a letter-based grade. According to instructors' decision, courses' attendance can be evaluated in different ways (presentations, homework, ecc.). In general, each course will be evaluated in the academic transcripts of the PhD candidates and the instructors are free to decide about the evaluation system (whether passed-failed or letter-based).

#### Thesis supervision and submission

At the beginning of the first year, the Board of Professors (Collegio dei Docenti) assigns the supervisions to the faculty members, taking into account the research proposals and availability of the instructors. The supervisor is assumed to be responsible for the advancement of the research of the student. In special cases, the Board of Professors (Collegio dei Docenti) may agree on a co-supervision or the substitution of the supervisor – when all the stakeholders (student, former supervisor and new supervisor) agree on that.

Before the end of the 1st year, students have to submit, at least, one chapter of the dissertation along with a structured research proposal. Special arrangements will be made on the basis of the decision of the supervisor and under his/her responsibility.

The LUISS PhD Office has defined the guidelines regarding thesis submission and defence guidelines for all the PhD students enrolled, consequently for GEM-STONES ESRs as well, as indicated below:

- After the end of the 3-year PhD program, by 30th November, each ESR is required to submit the thesis to LUISS PhD Office along with a report about the research activities performed during the program.

- Before thesis submission deadline, the Board (at LUISS) has to appoint two highly-qualified Professors who will be named 'external referees'. Neither referee can be part of the 1st or 2nd institution where the ESR is enrolled, because they must be extraneous to the institutions that contribute to the title's release.
- Within two months, after the thesis' reception, the referees have to provide a written assessment proposing:
  - 1) The admission of the ERS to the defence; OR
  - 2) Thesis integration/review
- In case of option 2, the ERS can be allowed a maximum of six months to make the review. Once the ESR has made the integration required, the referees have to produce a report of the newly assessed thesis. In any case, after the review period, the ESR will be admitted to the final discussion. The report produced by the external referees will be included in the discussion minutes.
- The final Committee, composed by professors from the 1st and 2nd institution, could decide to grant the PhD title on the basis of their evaluation of the defence, even if the external referees' reports were not positive
- Equally, the final Committee could decide to not grant the PhD title on the basis of their evaluation of the defence, even if the external referees' reports were positive.

### 5.3.5 COPENHAGEN BUSINESS SCHOOL

Bi-annual progress report. The report is reviewed by the local supervisor, the departmental PhD coordinator and the Head of Department. It is submitted to the PhD School

Two work-in-progress seminars, with comments from relevant scholars outside the supervisory group (local and invited)

At regular points in time during the PhD programme (by means of bi-annual reports), CBS must assess whether the PhD student is following the PhD plan and, if necessary, adjust the plan. This assessment is based on an opinion from the principal supervisor, who, after having consulted the PhD student, confirms that the PhD programme is progressing in accordance with the PhD plan or justifies, in writing, why adjustments are required. The PhD student must be given the opportunity to submit his or her comments on the principal supervisor's opinion within a deadline of at least two weeks. In the assessment, CBS must take account of periods of documented illness, maternity/paternity leave and other approved leave.

If CBS assesses that the PhD student is not following the PhD plan, in spite of any adjustments made to the plan, the PhD student must be given three months to get back on course. The three months do not give rise to an extension of the PhD programme. The chance to get back on course in connection with a regular assessment pursuant to above described process can only be given to ESR once during the PhD programme.

The institution must make a new assessment as described above as soon as possible after the end of the three-month period. If the assessment described above is negative, the PhD student is expelled from the PhD programme.

### 5.3.6 UNIVERSITÉ DE GENÈVE

The local supervisor will set the rules for methods of evaluation, conditions of success and the timelines for meeting the requirements of the doctoral programme. In addition to completing the doctoral program, the ESR has to submit a preliminary outline of their thesis, within three

semesters after registering as a PhD student. In the event that the supervisors consider this outline not to meet their requirements, they will indicate necessary changes and improvements, and the ESR will have one semester to submit a revised version of the thesis outline. If this second version still does not meet the requirements, the ESR will be eliminated from the Global Studies Institute.

For more information: [http://www.unige.ch/gsi/files/4714/3686/2957/RE\\_PhD\\_2015-06-15\\_DEF.pdf](http://www.unige.ch/gsi/files/4714/3686/2957/RE_PhD_2015-06-15_DEF.pdf)

### 5.3.7 UNIVERSITÉ LAVAL

#### For ESR2:

Evaluations to be completed by professors responsible for the courses with respect to coursework.

The comprehensive doctoral exam (examen rétrospectif) is a 25 pages written exam and is evaluated by a jury of two professors, excluding the student's co-director, who award a letter grade (A, B, C, or E representing Echec or failure) for each response based on the written document. Further information is available at: <http://www.fd.ulaval.ca/sites/fd.ulaval.ca/files/drt-8001-examen-these-retrospectif-plan-cours-20170609.pdf>

The dissertation proposal (examen prospectif) is written and oral exam based on the student thesis subject. The jury is approved by the director of graduate programs. Students are awarded a P (passable) or I (Insufficient). In the case of an "I", the student is permitted to submit the proposal to the jury for examination one more time. Further information is available at: [https://www.fd.ulaval.ca/sites/fd.ulaval.ca/files/drt-8002-examen-de-these-volet\\_prospectif-17-06-2016.pdf](https://www.fd.ulaval.ca/sites/fd.ulaval.ca/files/drt-8002-examen-de-these-volet_prospectif-17-06-2016.pdf) All completed dissertations are the subject of a "pre-lecture" before the initial draft can be submitted to the jury for evaluation. The co-director also invites an external evaluator to join the jury for the final evaluation and oral defense. The jury has several weeks to read and provide a written review of the document before their convocation at the oral defense. The oral defense of the dissertation includes the co-directors, two jury members from the Law school department and the external evaluator, the direction of graduate programs presides over the defense. Final revisions may be required before the dissertation is acceptable for final deposit.

#### For ESR4 & ESR5:

Evaluations to be completed by professors responsible for the courses with respect to coursework.

The comprehensive doctoral exam (examen rétrospectif) is evaluated by a jury of two professors, excluding the student's co-director, who award a letter grade (A, B, C, or E representing Echec or failure) for each response based on the written document. Written exams receiving a passing note are defended by the student before the jury and students are awarded a P (passable) or I (Insufficient). If two E's are award, the student fails and is permitted to retake the written exam one time. In the case of an "I" at the oral defense, the student is permitted to retake the oral exam one time. Further information is available at: [https://www.cms.fss.ulaval.ca/upload/pol/fichiers/examen\\_rtrospectif\\_octobre\\_2015.pdf](https://www.cms.fss.ulaval.ca/upload/pol/fichiers/examen_rtrospectif_octobre_2015.pdf)

The dissertation proposal (examen prospectif) is written document of at least 50pgs evaluated by the dissertation project co-director and two other members of the department of political science. The jury is approved by the director of graduate programs. Students are awarded a P (passable) or I (Insufficient). In the case of an "I", the student is permitted to submit the proposal to the jury for examination one more time. Further information is available at: [http://www.cms.fss.ulaval.ca/upload/pol/fichiers/examen\\_prospectif\\_septembre\\_2011.pdf](http://www.cms.fss.ulaval.ca/upload/pol/fichiers/examen_prospectif_septembre_2011.pdf)

All completed dissertations are the subject of a "pre-lecture" before the initial draft can be submitted to the jury for evaluation. The "pre-reader" suggests modifications/revisions and must signal the dissertation is depositable to the co-director who approves the initial deposit of the dissertation to the Graduate School. The co-director also invites an external evaluator to join the jury for the final evaluation and oral defense. The jury has several weeks to read and provide a

written review of the document before their convocation at the oral defense. The oral defense of the dissertation includes the co-directors, two jury members from the political science department and the external evaluator, the direction of graduate programs presides over the defense. Final revisions may be required before the dissertation is acceptable for final deposit.

### 5.3.8 WASEDA UNIVERSITY

Evaluation and the awarding of credit for the candidate will be carried out according to the GSAPS and Waseda rules and regulations.

For more information: [https://www.waseda.jp/gsaps/en/academics/thesis\\_phd/](https://www.waseda.jp/gsaps/en/academics/thesis_phd/)

---

## 5.4 ETHICS & DISCIPLINARY PROCEDURES

GEM-STONES follows rules and guidelines included in the European Charter and Code for Researchers (<https://euraxess.ec.europa.eu/jobs/charter/european-charter>).

In practical term, this involves clear ethics provisions and disciplinary procedures.

### 5.4.1 ETHICS

Although information collected in the framework of the GEM-STONES project is to be mainly taken from public sources and consequently poses no risk to confidentiality, GEM-STONES' constituents have identified a series of possible sources of concern mainly regarding data collection and management. Prevention measures have been taken to address them.

#### POSSIBLE SOURCE OF ETHICAL CONCERN 1: PERSONAL DATA

People interviewed in the framework of GEM-STONES will be offered anonymity and their informed consent will be a requirement for all interviews and other data gathering. They will be provided with information on the GEM-STONES project and the MSCA-ITN-EJD programme to identify the funding source. If interviewees wish to go 'on record' any use of direct quotes will be checked with them by email to provide a record of informed consent. Those interviewed will provide their informed consent as adults and the GEM-STONES project will not be interviewing children (for Informed Consent Form Template, see Annex 3 p.53)

When adults are unable to provide their informed consent they will not be included in the project. Similarly, GEM-STONES have no plans to seek interviews or data from those who would be identified as vulnerable individuals or groups. Data gathered on individuals from CVs, LinkedIn profiles, etc., will be provided with the informed consent of individuals or drawn from information individuals have already placed in the public domain. Data gathered from these materials will be anonymized in research outputs and there is no risk of the stigmatization of individuals or groups.

#### POSSIBLE SOURCE OF ETHICAL CONCERN 2: PROPRIETARY INFORMATION

Whenever GEM-STONES partners will produce original data, it is to come from publicly available sources, proprietary but untreated data of certain partners or semi-structured interviews, and will be accurately collected and stored. Furthermore, formal constraints regarding the publicity of proprietary information held by the non-academic partners (incl. institutional archives, annual reports, internal research notes, etc.) are to be respected by all researchers. In exchange, the Consortium will negotiate ad-hoc agreements with each non-academic partner if further access is required.

Other forms of proprietary information – most notably research publications from third parties – will be referenced in the research but not made available at the Consortium’s own cost. Conversely, the GEM-STONES Supervisory Board reserves itself the right to pay to make any publications of its constituent members publicly available if conducive to its research agenda. Lastly, publicly statistical data (such as Eurostat data on population statistics, trade and economic flows and treaty signatures) will also be used. As these sources of data are publicly available, obtaining them poses no risk to the project

### POSSIBLE SOURCE OF ETHICAL CONCERN 3: DATA PROTECTION

It is important to note how the data required for the GEM-STONES shared dataset will be obtained and then treated. Information for the content analysis will be obtained from publicly available documents from European and other institutions, as well as from the private sector where relevant. ESRs will code their interviews to reflect who is interviewed, but only insofar as that they can be recognized by their professional interactions and institutional affiliations.

GEM-STONES’ data for both the institutional and content analysis in WP1 – EMERALD and WP4 – SAPPHIRE is mainly to be found in official treaties, court excerpts and rulings, policy documents, and publically available data. The network analysis (as scheduled within WP2 - CITRINE) will be obtained from membership archives, event attendance lists, information provided on publically available CVs, from policy documents where authors are named, and from public documents where members of the work team are named. The comparative analysis scheduled in WP3 – RUBIES will mainly call upon formal treaties and accepted practices.

#### 5.4.2 DISCIPLINARY PROCEDURES

If a thesis supervisor assesses that the Personal Career Development Plan (PCDP) is not being followed, he/she will provide a written statement detailing necessary adjustments. This statement will be first circulated among the full Supervisory Trio for comments, and after one week will be sent to the ESR who will have two weeks to provide written comments on the statement.

If after receiving comments from the ESR one or both of the thesis supervisors come to the conclusion that the PCDP is not being followed, the ESR will be given minimum three months to correct the situation. One or both of the thesis supervisors will provide both the ESR and the Academic Supervisory Board with a written statement including the necessary correction measures and the time allocated for their implementation. At the end of the allotted time, the thesis supervisors will make a new assessment of the corrective measures that have been taken by the ESR.

If the thesis supervisors agree on a positive assessment, the ESR’s enrolment in both the MSCA Fellowship program and his/her two academic host institutions will be upheld.

If the two thesis supervisors agree on a negative assessment, and one or both of the academic host institutions decide to terminate the ESR’s enrolment in accordance with local rules and regulations, the Academic Supervisory Board will consider if (a) the ESR is to be expelled from the MSCA Fellowship program, or whether (b) alternative supervisory arrangements can be found among the other degree-awarding GEM-STONES member institutions.

Finally, if the thesis supervisors cannot agree on a joint assessment, the the Academic Supervisory Board will be charged with finding an exit strategy involving the deregistration of the ESR from the academic host institution associated with the thesis supervisor who has given a negative assessment of the corrective measures implemented by the ESR. If no alternative joint supervisory arrangements can be found, deregistration from one academic host institution will necessarily lead to an expulsion from the MSCA Fellowship program as only ESRs under a Double Doctoral Degree Agreement can remain recipients of the MSCA Fellowship.

## 6. ACTIVITIES CALENDAR

The GEM-STONES project's two-staged structure (see p.5) ensures maximal interaction between the Project Management Office, as well as between the individual ESRs.

Overall the project has a 'front-loaded' schedule, with majority of joint compulsory activities scheduled for the first half of the project. During this «consolidation phase» (Sep 2016 - Feb 2018) the 15 ESRs will be working together as a group, whereas during the «finalisation phase» (Mar 2018 - Aug 2019) the ESRs will continue their individual work, and collaborative research is clustered in the four Work Packages.

In order to optimize their travel arrangements, the ESRs are advised to consult the activities calendar well in advance. Schedule of the activities for each academic year will be confirmed during annual meetings of the GEM-STONES Supervisory Board, and any changes will be communicated to the ESR without unnecessary delay.

**Table 6.1 GEM-STONES: Activities Calendar 2016-2019**

ACADEMIC YEAR 2016/2017					
September	October	November	December	January	February
				<b>23-26</b> Winter Methods Workshop @ CBS (Copenhagen, DK)	<b>6-7</b> Kick-off Instigation AGORA Forum @ IEE-ULB (Brussels, B)
March	April	May	June	July	August
<b>6-31</b> ESRs fill out their Self-Evaluations online <b>13-16</b> Spring Methods Workshop @ GIGA (Hamburg, D)	<b>10-21</b> Supervisory Trio Assesses Students self-evaluations <b>26-28</b> Annual Conference & Skills Modules @ LUISS-Guido			<b>3-7</b> 1 <sup>st</sup> GEM-STONES Summer School @ UNIGE (Geneva, CH)	

## ACADEMIC YEAR 2017/2018

September	October	November	December	January	February
	<b>Oct 30<sup>th</sup> – Nov 2<sup>nd</sup></b> Autumn Methods Workshop <i>@ Université Laval (Québec, CA)</i>		<b>Dec 4 – Jan 8</b> ESRs fill out their Self-Evaluations online	<b>15-26</b> Supervisory Trio Assesses Students self-evaluations	<b>19-20</b> Annual Conference & Skills Modules <i>@ Universitaet Hamburg (Hamburg, D)</i> <b>21-22</b> Rubies Scientific Workshop <i>@ Universitaet</i>
March	April	May	June	July	August
<b>15-16</b> Citrine Scientific Workshop <i>@ Warwick (Brussels, BE) - TBC</i>	<b>23-24</b> Emerald Scientific Workshop @ IEE-ULB (Brussels, B)	<b>17-18</b> Sapphire Scientific Workshop @ LUISS – Guido Carli (Rome, IT) - TBC	<b>7-8</b> Dissemination AGORA Forum @ TBC	<b>TBC</b> 2nd GEM-STONES Summer School @ UNIGE (Geneva, CH)	

## ACADEMIC YEAR 2018/2019








September	October	November	December	January	February
			<b>Dec 10 – Jan 7</b> ESRs fill out their Self-Evaluations online	<b>14-25</b> Supervisory Trio Assesses Students self-evaluations	<b>TBC</b> Annual Conference & Skills Modules @ IEE-ULB (Brussels, B)
March	April	May	June	July	August



## 7. CONTACTS

Local academic contact points for questions related to:

- Local Training & Evaluation
- Double Doctoral Degree Agreement (DDDA, see Financial & Administrative Guidebook)
- Joint events
- Etc.

	<p><b>M. Frederik PONJAERT</b> GEM-STONES Training Officer, Institute for European Studies ✉: fponjaer@ulb.ac.be T: +32 (0)2 650 30 74 T: +32 (0)2 650 35 85</p>	<p><b>Prof. Mario TELÒ</b> GEM-STONES SB President, Institute for European Studies ✉: mtelo@ulb.ac.be</p>
	<p><b>Prof. Raffaele MARCHETTI</b> Sr.Assistant Professor, Department of Political Sciences and School of Government ✉: rmarchetti@luiss.it T: +39 685 225 573</p>	<p><b>Prof. Leonardo Morlino</b> Professor, Political Science ✉: morlino@luiss.it T: + 39 685 225 564</p>
	<p><b>Prof. George CHRISTOU</b> Professor, Department of Politics and International Studies ✉: g.christou@warwick.ac.uk T: +44 24 745 20110</p>	
	<p><b>Dr. Jörg MEYER</b> ✉: joerg.meyer@uni-hamburg.de T: +49 40 42838 3833</p>	
	<p><b>Vincent CHERIF</b> ✉: Vincent.Cherif@unige.ch T: +41 (0) 22 379 80 87</p>	
	<p><b>Ms. Pascaline LAMARE</b> (ESR4 &amp; ESR5) ✉: Pascaline.Lamare@fss.ulaval.ca T: +1 418 656-2131 ext. 6823</p>	<p><b>Mr. Sylvain LAVOIE</b> (ESR2) ✉: sylvain.lavoie@fd.ulaval.ca T: +1 418 656-2131 ext. 4396</p>
	<p><i>(Until Jan 2017)</i> <b>Dr. Eleni TSINGOU</b> Associate Professor, Department of Business and Politics ✉: et.dbp@cbs.dk T: +45 3815 3379</p>	<p><i>(After Jan 2017)</i> <b>Ms. Antje VETTERLEIN</b> Associate Professor, Department of Business and Politics ✉: av.dbp@cbs.dk T: +45 3815 3558</p>

## ANNEX 1 - SHARED DATA-SET SEARCH KEYWORDS

Keywords Related to Focus				
1	EU Capacities	3	Regime Management	
2	Institutional Proliferation	4	System Complexity	
Keywords Related to Theories				
1	Comparative Regionalism	9	Global Justice Theory	17
2	Complexity Theories	10	Globalisation Theory	18
3	Critical Realism	11	Historical Institutionalism	19
4	Critical Theories	12	Legitimation Theories	20
5	Deliberative Theories	13	Market Theory	21
6	Discursive Institutionalism	14	(neo-)Functionalism	22
7	Foreign Policy Analysis	15	Organisational Theory	23
8	Global Governance Theory	16	Peace Studies	24
17				Rational Institutionalism
18				Regional Security Complexes
19				Socialisation Theory
20				Sociological Institutionalism
21				Theories of (Regional) Integration
22				Theories of Democracy
23				Transition Theory
24				Varieties of Capitalism
Keywords Related to Case Studies				
1	Africa	11	ECOWAS	21
2	Area of Freedom Security and Justice	12	European Border Controls	22
3	ASEAN	13	European Courts of Justice	23
4	Central Asia	14	European External Action	24
5	Central Europe	15	European External Action Service	25
6	Common Agricultural Policy	16	European Financial Market	26
7	Common Commercial Policy	17	European Neighbourhood Policy	27
8	Common Foreign and Security Policy	18	European Single Market	28
9	East Asia	19	European Union	29
10	Eastern Europe	20	Global Trade Regime	
21				Latin America
22				MERCOSUR
23				Middle East
24				Regulatory Agreements
25				South Asia
26				Transnational Regulatory Bodies
27				UNASUR
28				United Nations
29				World Trade Organisation
Keywords Related to Themes				
1	Criminal Law	12	Inter-regionalism	23
2	Crisis Management	13	Inter-Sectoral	24
3	Disaster Management	14	Knowledge Transfer	25
4	Distributive Justice	15	Legal Cooperation	26
5	Expert Networks	16	Migration Policies	27
6	Financial Regulation	17	Multilateralism	28
7	Food Security	18	Non-Governmental Actors	29
8	Hard Law	19	Normative Congestion	30
9	Innovation	20	Peace-Keeping	31
10	International Security	21	Peace Building	32
11	Inter-Organizational	22	Preferential Trade Agreements	33
23				Reasoned Consensus
24				Regulatory Diffusion
25				Responsibility-to-protect
26				Soft Law
27				Sustainability
28				Terrorism
29				Trade Law
30				Trade Policy
31				Transnational
32				Treaty on the European Union
33				Treaty on the Functioning of the European Union

**Keywords Related to Methods**

1	Abductive reasoning	20	Explanatory approaches	39	Paradigm
2	Archival research	21	Falsification	40	Participatory observation
3	Automated text analysis	22	Focus group	41	Positivism
4	Bias	23	Formal modeling	42	Post-positivism
5	Big data	24	Grand theory	43	Process tracing
6	Case selection	25	Hypothesis	44	Qualitative comparative analysis
7	Case study	26	Interdisciplinarity	45	Regression analysis
8	Causation	27	Interpretive approaches	46	Research program
9	Concept construction	28	Interview techniques	47	Research questions
10	Content analysis	29	Level of analysis	48	Sampling techniques
11	Contextual analysis	30	Literature review	49	Sequence analysis
12	Counter-factual analysis	31	Longitudinal studies	50	Social network analysis
13	Descriptive approaches	32	Middle range theory	51	Sources
14	Determinism / previsionism / probabilism	33	Mixed methods	52	Survey research
15	Discourse analysis	34	Multi-causality	53	System analysis
16	Epistemological realism	35	Multiple correspondence analysis	54	Triangulation
17	Epistemology	36	Neuroscience techniques	55	Typology
18	Ethics in research	37	Ontology	56	Variables
19	Experimentation	38	Operationalization	57	

**Keywords Related to Concepts**

1	Capability	18	Integration	35	Policy coherence
2	Centrality	19	Interest	36	Power
3	Civil Society	20	Intergovernmentalism	37	Proliferation
4	Complexity	21	Leadership	38	Rationality
5	Conflict (resolution)	22	Legalization	39	Regime
6	Cooperation	23	Legislation	40	Regime complexes
7	Diffusion	24	Legitimation	41	Regionalism
8	Discourse	25	Linkages	42	Regulation
9	Efficiency	26	Multilateralism	43	Relations
10	European	27	Network	44	Resources
11	Externalisation	28	Non-state actors	45	Rule
12	Fragmentation	29	Norm	46	Supranationalism
13	Framing	30	Organizations	47	Structure
14	Governance	31	Paradigm	48	System
15	Institutional design	32	Participation	49	Theory
16	Institutionalization	33	Particularism	50	Transnational
17	Institutions	34	Pluralism	51	Universalism

## ANNEX 2 - METHODS TEXTBOOK ENTRIES

N°	Entry	Words
1.	Archival research	1500
2.	Automated text analysis	1000
3.	Bayesian inference	1000
4.	Behaviorism	1000
5.	Bias	1500
6.	Big data	1000
7.	Boolean algebra	1000
8.	Case selection	2000
9.	Case study	1500
10.	Causation	2000
11.	Comparative analysis	1500
12.	Concept construction	2000
13.	Content analysis	2000
14.	Contextual analysis	1000
15.	Counter-factual analysis	1000
16.	Covariance	1000
17.	Cross-sectional and longitudinal studies	1000
18.	Descriptive, explanatory and interpretive approaches	2000
19.	Determinism previsionism probabilistic	1000
20.	Discourse analysis	2000
21.	Endogeneity	1000
22.	Epistemological realism and critical realism	1000
23.	Epistemology	1500
24.	Ethics in research	2000
25.	Experimentation	2000
26.	Falsification	1000
27.	Focus group	1000
28.	Formal modeling	1500
29.	Grand theory and middle range theory	1000
30.	Hermeneutic	1500
31.	Hypothesis	2000
32.	Inductive, deductive and abductive reasoning	2000
33.	Interdisciplinarity	2000

N°	Entry	Words
34.	Interview techniques	2000
35.	Level of analysis	1000
36.	Literature review	1500
37.	Methodological individualism and holism	1500
38.	Mixed methods	1500
39.	Multi-causality and equifinality	1500
40.	Multiple correspondence analysis and geometrical data analysis	1500
41.	Neuroscience techniques	1000
42.	Nomothetic and idiographic methods	1000
43.	Ontology	1500
44.	Operationalization	2000
45.	Oral history and life history	1500
46.	Paradigm and research program	2000
47.	Participatory observation and ethnography	1500
48.	Positivism and post-positivism	1500
49.	Process tracing	1500
50.	Prosopography and sequence analysis	2000
51.	Qualitative comparative analysis	2000
52.	Regression analysis	2000
53.	Reproducibility and replication	1500
54.	Research questions	1500
55.	Sampling techniques	2000
56.	Scope conditions	1000
57.	Social network analysis	2000
58.	Source criticism	1500
59.	Statistical significance	1500
60.	Survey research	2000
61.	System analysis	1500
62.	Time series	1000
63.	Triangulation	1000
64.	Typology	2000
65.	Unit of analysis and observation	2000
66.	Variables	2000

## ANNEX 3 - INFORMED CONSENT FORM TEMPLATE

### INFORMED CONSENT FORM FOR SOCIAL SCIENCE RESEARCH STUDIES

**Title of Project:** GEM-STONES – Globalization, Europe & Multilateralism: The Sophistication of the Transnational Order, Networks, and European Strategies

**Principal Investigator(s):** Prof. Anne Weyembergh  
Université libre de Bruxelles  
Avenue Franklin Roosevelt, 39  
B-1050 Brussels (BELGIUM)  
Tel: +3226503385  
E-mail: anne.weyembergh@ulb.ac.be

**Other Investigator(s):** TBC  
Tel: TBC  
E-mail : TBC

#### 1. Purpose of the Study:

This is a European Joint Doctorat (EJD) gathering 15 partner organizations from 3 different continents. It includes 5 EU HEIs, 3 non-EU HEIs, 3 Think Tanks, 2 MNEs, 1 SME, & 1 NPO. Its shared research agenda on "Globalisation, Europe and Multilateralism" seeks to unpack the growing "Sophistication of the Transnational Order, Networks and European Strategies" in light of the EU's attempts at regime complex management. To this effect, the EU's response to international institutional proliferation is alternatively analyzed through the lens of its ability to provide purposeful complex regime management in light of its institutional capacities, network capacities, relative capacities and framing capacities. Collectively GEM-STONES will increase the breath of regime complex management theory as its postulates are confronted with the specific experience of the EU. The project will also expand the state-of-the art in EU studies, notably on the EU's external action.

The research will ultimately sketch a nuanced, innovative, and interdisciplinary answer to the question: how does the EU contribute towards the management of institutional proliferation? To meet this research objective, while also strengthening the EU's innovation capacities, GEM-STONES will select and train 15 highly competitive ESRs. Its chosen interdisciplinary research and training methods bridge a variety of SSH disciplines. Each ESR will accomplish a specific research project as part of the overall agenda. Ultimately, if successful, ESRs will be awarded a Double Degree from two of the project's HEIs. Training is to be an integrated curriculum designed to foster structured PhD training at the EU level, and allow for novel public-private collaborations. The 180 ECTS worth of training will be provided through research, education & practice and will incl. a significant internship.

#### 2. Procedures to be followed:

You will be asked to answer a number of questions related to your professional activities and which are deemed relevant to better understand the policies and governance aspects under scrutiny in the framework of GEM-STONES.

#### 3. Discomforts and Risks

There are no risks in participating in this research.

**4. Benefits**

The benefits to you include the dissemination of a better understanding of your profession within the scholarly community and the public at large. The benefits to society include a better understanding of EU policies and policy recommendations which aim at improving the efficiency and legitimacy of policies and governance in the European Union.

**5. Duration/Time:**

GEM-STONES is funded by the EU programme MSCA-ITN (EJD) from 2016-2020.

**6. Statement of Confidentiality:**

Your participation in this research is confidential. In the event of any publication or presentation resulting from the research, no personally identifiable information will be shared. In need of using data involving individuals, code numbers/letters will be used.

**7. Right to Ask Questions:**

Please contact XXXXX at XXXXXXX with questions, complaints or concerns about this research.

**8. Payment for participation:**

There is no financial compensation provided to participants.

**9. Voluntary Participation:**

Your decision to be in this research is voluntary. You can stop at any time. You do not have to answer any questions you do not want to answer. Refusal to take part in or withdrawing from this study will involve no penalty or loss of benefits you would receive otherwise.

You must be 18 years of age or older to take part in this research study.

\_\_\_\_\_  
Participant Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Investigator

\_\_\_\_\_  
Date



**CONTACT**

**GEM-STONES Project  
Management Office**

C/O Institut d'Etudes  
Européennes  
Université Libre  
de Bruxelles (CP 172)  
39 Av. F.D. Roosevelt,  
B-1050 Brussels

**M:** [pmo@gem-stones.eu](mailto:pmo@gem-stones.eu)

**T:** +32 (0)2 650.49.17



This project receives funding from the European Union's Horizon 2020 Research and Innovation programme under the Marie Skłodowska-Curie Grant Agreement No.722826



**GEM STONES**

[www.gem-stones.eu](http://www.gem-stones.eu)