**DOCTORAL CHARTER OF UNIVERSITE CLERMONT AUVERGNE**

Adopted by the Board Meeting of July 06 2018 deliberation No. 2018-07-06-23

**Reference texts**

* Pursuant to the Education Code, particularly articles L.612-7, L.613-3 to L.613-5, L.718-2, D.613-1 to D.613-7, D.613-11 and D.613-17 to D.613-25;
* Pursuant to the Research Code, article L412.2;
* Pursuant to the Order of May 25 2016, setting the national framework for training and terms for the granting of the national degree of the Doctorate;
* Pursuant to the Order of July 1 2016, which amends the Order of May 25 2016, setting the national framework for training and terms for the granting of the national degree of the Doctorate.

The terms “PhD student” and “supervisor” and “co-supervisor” and committee member” used in this charter are generic and represent a male or female PhD student, supervisor, co-supervisor and committee member respectively and at the same time.

The Doctoral Charter is agreed upon by:

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| 1. Ms or Mr   hereafter referred to as the PhD student |
| 1. Ms or Mr.   hereafter referred to as the thesis supervisor |
| 1. Ms or Mr.   hereafter referred to as the thesis co-supervisor (if applicable)   1. Ms or Mr. 2. hereafter referred to as the Research Unit Director with which the thesis is affiliated   Name or acronym of the Research Unit      : |
| 1. Ms or Mr.   hereafter referred to as the Doctoral School Director  Name or number of the doctoral school: |
| 1. Ms or Mr   hereafter referred to as the thesis committee member (if necessary)  University of affiliation: |

**Preamble**

The pursuit of a PhD degree is based on an agreement voluntarily made by the PhD student and the thesis supervisor (and the thesis co-supervisors if there are any), following the agreement of the Research Unit Director and the Doctoral School Director. This agreement is based on the choice of topic and the work conditions required for the research to progress. Therefore, the thesis supervisor and PhD student respectively have rights and duties of a high level of importance.

This charter defines the mutual commitments by recalling the code of ethics that inspires the regulatory provisions in force and the practices that have already been tested in accordance with the diversity of disciplines. Its objective is to guarantee a high level of scientific quality.

Université Clermont Auvergne is committed to taking action so that the principles that are set are also respected during the completion of a dual-degree thesis program.

At the time of enrollment, the PhD student signs the text of this charter with the thesis supervisor, the Research Unit Director and the Doctoral School Director.

This charter defines the overall operational framework in which the rules and regulations for each school specify, if applicable, any specific procedural requirements.

Pursuant to this charter, an individual training agreement, signed during the student’s first enrollment by all the individuals involved, specifies the context of each thesis. This agreement can be modified as necessary during each re-enrollment.

1. **The PhD: a key step in one’s personal and professional objectives**

The PhD student enrolled in a doctorate program in one of the 5 member doctoral schools of the doctoral college of Université Clermont Auvergne (UCA) shall receive the grade and title of “Doctor of Université Clermont Auvergne” from the UCA in the discipline/specialty of enrollment.

The preparation of a thesis is part of the personal and professional objectives, which are clearly defined in their aims as in their expectations. This preparation entails the clarity of objectives pursued and the means implemented to attain them.

PhD research is a genuine professional activity carried out in a laboratory affiliated with a doctoral school at Université Clermont Auvergne. The PhD degree validates the training component. The PhD student is thus considered a research employee acquiring recognized professional experience. From an administrative point of view, the PhD student keeps their status as a student.

In order to carry out their research work properly, the PhD student must have sufficient resources. A level of funding comparable to that which enables the Doctoral contract to be attained must be sought and priority must be given to funding in the form of fixed-term work contracts. If the PhD student’s resources come from professional activities that are not directly linked to the thesis (teaching, for example), one must ensure that this activity leaves them with enough time to properly work on the thesis. UCA reserves the right to require a level of minimum resources for enrollment in the PhD program. When there is a three year financing plan, it is described at the first enrollment. The research work entrusted to the PhD student must be compatible with the duration of the financing.

Special attention must be paid to the information. Doctoral schools commit to maintaining a website and informing PhD students of all information on training courses provided during the thesis, available career opportunities and the career opportunities for doctors. This information shall enable the student to quickly define their professional career path, which will then be refined over the course of the PhD program.

PhD students are expected to follow several courses throughout their thesis for information and training purposes. In this context, there are different types of training:

* mandatory training for each laboratory;
* mandatory training for each Doctoral school;
* mandatory socio-professional modules from the College of Doctoral Schools (OSP). Salaried PhD students, in the CIFRE or VAE program, may potentially request exemptions from this obligation from the director of their Doctoral school of affiliation;
* mandatory research ethics training for all first-year PhD students.

Professional integration support modules shall be attended in accordance with the procedures set out by the Doctoral school. They must participate in activities and events organized in this respect by the Doctoral school and the Doctoral School College. Meanwhile, it is the PhD student’s responsibility to consider their career path by making contact with potential future employers with the support of the Doctoral school and the College (laboratories, universities, companies in France and abroad). This strategy may include participating in one-day PhD student workshops, PhD student-company forums, etc. Depending on the disciplines and laboratories, this supplementary range of courses may include a few weeks stay at the company.

1. **Thesis subject and feasibility**

The scientific project that the PhD student will work on is developed at the time of enrollment in the PhD program, and specifies the subject, the context of the thesis and its compatibility with the host research unit.

The thesis subject results in a work that is both original and informative and ideally feasible within a three year period. The choice of the thesis subject is based on agreement between the PhD student and the thesis supervisor, formalized at the time of enrollment. The thesis supervisor is a member of a contractual Research Unit (UMR, EA *etc*.). They have a recognized mastery of the research field concerned and must assist the PhD student from the outset, in the literature review, or by any other appropriate means, to specify the innovative and original nature of the subject in the scientific context, and ensure its relevance and its possible valorization. The aim of this consultation phase is to:

* decipher the innovative nature and relevance of the subject proposed in the scientific context (literature overview) and evaluate professional career prospects.
* inform the PhD student of the inherent challenges of the subject,
* present the PhD student to the host team (number of PhD students, teaching staff, researchers and technicians, programs and funding, etc.) and the place of the project within the scientific context of the host team,
* plan ahead for the major steps of the thesis work (scientific work and valorization),
* consider potential collaborations with external bodies and the international mobility of the PhD student.

This consultation leads to the writing of the research project developed by the PhD student and supervised by the thesis supervisor.

The thesis supervisor defines and assembles the methods to be implemented to enable the work to be carried out. To this effect, the PhD student is fully integrated in their host unit or laboratory where they have access to all of the facilities established by each laboratory to carry out their research work (Internet, documentation, possibility to attend seminars and conferences and to present their work in scientific assemblies, whether it be the “PhD student conference” or larger assemblies). The PhD student shall not compensate for the inadequacies of the technical supervision of the laboratory and be entrusted tasks that are not involved with the progression of their thesis.

For their part, the PhD student undertakes:

* To respect the provisions taken, at the time of enrollment, on the nature of the subject, the duration and schedule of the thesis.
* To regularly inform their thesis supervisor about the progression of their work.
* To regularly report to the laboratory and the Doctoral school on the progression of their research.
* To comply with the moral code, and particularly the authenticity principle of their thesis, as well as confidentiality of some of their works, if applicable.
* To comply with a certain number of rules regarding communal life that all members of the host team share.
* To attend the courses in which they are enrolled.
* To enroll for university every academic year before December 15.

1. **Management and supervision of the PhD student**

The future PhD student must be informed of the number of ongoing theses that are being supervised by their prospective supervisor, as well as the maximum number of students supervised set by the Doctoral school. A thesis supervisor can only efficiently manage a limited number of PhD students at the same time if they wish to be able to supervise their work with the focus required.

Thesis execution

The PhD student has the right to individual guidance from their thesis supervisor, who undertakes to dedicate a significant amount of their time to them. The principle of regular and frequent meetings must be established in the initial agreement.

The thesis supervisor is solely responsible for the management of the PhD student’s thesis work; such responsibility may not be delegated, except in cases of co-supervision duly notified to the Doctoral school. They must help the PhD student become integrated in their host laboratory.

The PhD student undertakes to submit to their thesis supervisor as many phase notes as their subject requires, and to present their work at the seminars of the research unit hosting them. The thesis supervisor undertakes to regularly monitor the progression of the work and discuss new approaches that they can take depending on the results already acquired. They must inform the PhD student of the positive remarks or objections and criticisms that their work may be the subject of, especially during the thesis defense.

The PhD student’s individual monitoring committee shall be set up in accordance with the specific terms of each Doctoral School. This committee ensures the smooth execution of the curriculum based on the Doctoral Charter and the training agreement. During an interview with the PhD student, they assess the conditions of the training and the progress of the research. They make recommendations and send a management report to the Doctoral School Director, the PhD student and the thesis supervisor.

Role and commitment of the Doctoral School

The Doctoral School is responsible for the monitoring and training of PhD students. It organizes training courses to supplement those of the host laboratory. The PhD student’s obligations regarding training attendance are explained to the student in a written document provided at the beginning of the first year of the program. This document can be downloaded from the Doctoral School website.

The Doctoral School encourages PhD students to develop their scientific activities by organizing or helping them to organize doctoral conferences. It informs PhD students of all scientific events likely to interest them in that respect. It encourages and financially supports PhD student participation in international mobility.

Thesis defense

In conjunction with the PhD student, the thesis supervisor proposes the composition of the thesis defense jury to the President of the University through the Doctoral School Director in compliance with the regulations in force (order of May 25 2016 relating to doctoral training) and the rules of the institution, as well as the thesis defense date. The jury must have at least one member affiliated with the Doctoral School in which the PhD student is enrolled.

As provided for in regulatory texts, the thesis defense is subject to the presentation of two favorable expertise reports. The reports are prepared by the research professors or researchers authorized to supervise research outside of the institution, as for the affiliated research unit and its thesis supervisor.

The thesis defense must take place in the institution of enrollment (with the exclusion of exceptional situations, which must be authorized in advance by the institution of enrollment).

The thesis defense report is sent to the PhD student the month following the thesis defense.

The UCA printing service prints out the copies of the thesis manuscript required for the thesis defense.

Discontinuation of thesis

In the event that the PhD student chooses to leave the program, they must inform the thesis supervisor, the director of the research unit and the director of the Doctoral School. The PhD student may ask the director of the host research unit for a research certificate that may be used at their discretion. This certificate shall specify the nature and duration of the work carried out as well as the research context.

Career Opportunities for Doctors

To facilitate the collection of information and the monitoring of doctors, every doctor undertakes to inform their Doctoral School of their professional future for a period of five years after completing their doctorate. They undertake to respond to all requests from the Doctoral College or Doctoral School about the assessment of their post-doctoral situation. For their part, the thesis supervisor undertakes to maintain contact with their previous PhD students during the same period.

1. **Duration of the PhD program**

A thesis is a step in the research process. It must comply with the deadlines set, in accordance with the spirit of the Doctoral Schools and the interests of the PhD student.

The typical period for the preparation of a thesis is three years of full-time research. The foreseeable date for thesis defense must be discussed as early as the end of the second year, depending on the progress of the research work. The student is re-enrolled at the beginning of each academic year by the Head of the institution, on the proposal of the Doctoral School Director, after consulting the thesis supervisor and, from the third registration, the PhD student’s individual monitoring committee.

If the PhD student has taken a maternity or paternity leave, a childcare or adoption leave, a parental leave, a sick leave of more than four consecutive months or a leave of at least two months following an accident at work, the duration of PhD preparation shall be extended if the person concerned so requests. Based on a substantiated request from the PhD student, a year-long extension may be granted in the form of a derogation from the Head of the institution, on the proposal of the thesis supervisor and after consulting the PhD student’s individual monitoring committee and the Doctoral School Director, The authorization to re-enroll does not imply, from the fourth year onward, that the funding that the PhD student would have received will automatically continue. The possibility of support can be explored, especially PhD students with financial difficulties. The list of the beneficiaries of these derogations is presented every year at the Doctoral School Council and sent to the Research Commission of the Academic Council or to the body fulfilling that role in the institutions concerned.

These extensions do not in any way substantially affect the nature and intensity of the research work as initially defined by common agreement.

On an exceptional basis and upon substantiated request from the PhD student, a continuous gap year of a maximum of one year can be taken once. It is granted by decision of the Head of the institution where the PhD student is enrolled, after the agreement of the employer, if any, and the opinion of the thesis supervisor and the Doctoral School Director. The doctoral program and research work are temporarily suspended but the PhD student may, if they wish, remain enrolled in the institution. This period is not counted in the duration of the thesis. The institution guarantees the PhD student enrollment in the Doctoral program at the end of the gap year.

In any case, the preparation of a thesis requires the PhD student to re-enroll each year at the institution. The student must enroll between the months of September and December. In the event of temporary financial difficulties, the PhD student may, while re-enrolling, ask for an exemption for tuition fees. In this case, they must fill in a specific form to describe their financial situation.

To complete the program within the specified time frame, the PhD student and the thesis supervisor must honor their commitments regarding the work time needed. Repeated violations of these commitments are jointly acknowledged between the PhD student and the thesis supervisor, which leads to a mediation procedure.

1. **Valorization and dissemination of the research results**

The quality and impact of the thesis may be measured through presentations at major conferences, publications in peer-reviewed journals or patents stemming from the work, whether it be from the thesis itself or articles written before or after the preparation of the manuscript.

The different disciplines have various ways of measuring the quality of the publications. It is the Doctoral School’s responsibility to ensure that the theses defended are of a level that corresponds to standard requirements of the discipline in question.

These standards are discussed and understood prior to enrollment: the thesis supervisor explains what is expected in terms of publications, what the community (especially the CNU) expects from a thesis in the field, as well as the policy followed for the authorship of articles. Potential factors limiting the possibility to publish (financial limitations, confidentiality clauses, etc.) are also explained to the PhD student. Intellectual property challenges that may be associated with their work or the overall activities of the laboratory are clearly explained to the PhD student, in accordance with the rules in force in the host laboratory. If there is a particular clause relating to confidentiality, it must be clearly mentioned in the thesis project.

The thesis is valorized as the work progresses.

Any publication derived from the thesis work may only be made with the agreement of the thesis supervisor; conversely, the PhD student must at least be a co-author of any written publication derived from their work.

Any PhD student who has participated in a publication likely to be protected by copyright enjoys moral rights pertaining to this work: the right to respect for their name, position and work, right to disclose, withdraw and reconsider, pursuant to articles L 121-1 to L 121-4 of the French Intellectual Property Code. Nevertheless, an agreement for the assignment of property rights shall be required.

If the PhD student is an employee (UCA or company), their intellectual property rights are governed by ordinary law. The property rights of the patent or software are automatically transferred to the employer, except in copyright cases, for which an assignment agreement is required. If the PhD student is not an employee, they must sign a hosting agreement which includes an agreement to assign their rights to the results of their research.

Agreements signed with private organizations or partner institutions must specify the terms for the publication and valorization of the PhD student’s work.

After the thesis defense, the PhD student undertakes to submit a duly corrected manuscript, and its electronic version to the thesis supervisor, as well as to the BCU services with which they sign a special charter on the electronic filing of their thesis.

1. **Mediation procedure**

**I/ Use of mediation**

This procedure is available to all PhD students and staff that interact with the PhD students of the Doctoral Schools of UCA and/or hosted in research units of UCA.

The aim of the procedure is to offer the individuals involved amicable solutions to potential conflicts, which are not covered under statutory or legal provisions, which the individuals may accept.

It constitutes an optional, preliminary step before the University Mediator’s intervention.

If legal proceedings have already been initiated, this procedure no longer applies.

**II/ Procedure**

A/ Procedure initiation

The person who initiated the procedure shall hereafter be named “the protagonist”.

The protagonist contacts the Director of the Doctoral School concerned in writing (letter or e-mail). However, if the protagonist feels that the the Doctoral School Director’s impartiality is not guaranteed, they can initiate the procedure by contacting any member elected to the Doctoral School Council.

A mediation commission is then formed.

However, if the situation reported by the protagonist involves harassment, the President of UCA, CHSCT and the Prevention Physician shall be notified immediately. The President of UCA shall then decide if the situation will be subject to a mediation procedure or an establishment procedure regarding harassment.

B/ Mediation commission:

It is composed of:

* The Doctoral School Director or the member elected to the Doctoral School Council contacted by the protagonist;
* A representative of the PhD students, chosen by the protagonist among the PhD students elected to the Doctoral School Council or, by default, among PhD students elected to the Research Commission of the Academic Council;
* A member of the Doctoral School Council that do not belong to the protagonist’s host Research Unit, chosen by the Doctoral School Director or a member elected to the Doctoral School Council contacted by the protagonist.

C/ Procedure execution

In accordance with this procedure, all mail and communications are communicated by the Doctoral School Director or a member elected to the Doctoral School Council contacted by the protagonist.

The mediation commission hears all the persons involved in the conflict separately, and then assesses the merit in hearing them collectively.

It may hear any person that can shed light on the situation.

The protagonist may not be represented but they may be accompanied by a counselor of their choosing.

Each hearing is the subject of a written report communicated to the person interviewed.

After hearings are completed, the commission draws up conclusions, which may suggest a solution, and sends them to the protagonist, to all the persons involved in the conflict situation, the President of UCA, the Vice-President for Research and the Vice-President for Work Conditions and Social Climate.

The recipients then have fifteen days to submit their comments or agree to the solution proposed.

D/ Procedure outcome:

* In the event that one of the recipients does not respond, the mediation procedure is considered to have failed.
* In the event that one of the recipients has made comments, they are shared with the other recipients. A shuttle system is then set up until a solution acceptable for everyone is reached, or until the commission deems that all avenues have been thoroughly exhausted.
* If a solution is approved by all, it is recorded in writing and signed by all the persons involved. It is sent to the President of UCA, the Vice-President for Research and the Vice-President for Work Conditions and Social Climate.
* If the procedure fails, in the event of disagreement or continued silence from the persons involved, the latest proposal is shared with the persons in question by registered letter with acknowledgment of receipt, which notifies the closure of the mediation procedure at the Doctoral School. The President of UCA, the Vice-President for Research and the Vice-President for Work Conditions and Social Climate are notified of the failure. The conflict is then referred to the competent authorities (advisory commission for contract PhD students, Disciplinary Unit, etc.).

As is the case for voluntary discontinuation, the PhD student may ask the director of the host laboratory for a “research certificate”. This certificate must specify the nature and duration of the work carried out, as well as the research context. The PhD student may use the document at their discretion.

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| The PhD student | The thesis supervisor | The thesis co-supervisor (if necessary) |
| Last name:  First name:  Date:  Signature | **Last name:**  **First name:**  **Date:**  **Signature** | **Last name:**  **First name:**  **Date:**  **Signature** |

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| --- | --- | --- |
| The Laboratory Director | The Doctoral School Director | The thesis committee member (if applicable) |
| Last name:  First name:  Date:  Signature | **Last name:**  **First name:**  **Date:**  **Signature** | **Last name:**  **First name:**  **Date:**  **Signature:** |