

Université Grenoble Alpes Doctoral Charter

First and Last Names: Automatically incremented by Adum

This charter is to be adopted and signed as is, with no additions or deletions.

REFERENCES

Having regard to the French Education Code and its Article L612-7 relating to the third cycle of higher education,

Having regard to Decree No. 2019-1123 of October 31, 2019 creating Université Grenoble Alpes and approving its statutes, especially Article 14,

Having regard to the Decree of May 25, 2016 establishing the national framework for studies and the procedures leading to the award of the national doctoral degree, including Articles 12 and 13,

Having regard to the Decree of May 25, 2016 establishing the national framework for studies and the procedures leading to the award of the national doctoral degree,

Having regard to the European Commission's European Charter for Researchers aimed at establishing minimum principles between researchers and institutions employing researchers or funding them in the European Union and Associate States in the context of research programs.

Preamble

Université Grenoble Alpes

The Université Grenoble Alpes (hereafter referred to as “UGA”), has been an experimental public institution of a scientific, cultural and professional nature (EPE) since January 1, 2020. In this capacity, UGA is comprised of several component institutions, including the Institut Polytechnique de Grenoble (Grenoble INP), the Institut d’Etudes Politiques de Grenoble (IEP),

and the Ecole Nationale Supérieure d'Architecture de Grenoble (ENSAG). The *Collège des études doctorales* (hereafter referred to as "CED") is a transversal structure within the UGA. It is responsible for doctoral policy, organizing doctoral studies and implementing the conditions for awarding PhDs and the habilitation for directing research (HDR), as well as being responsible for the career integration and professional follow-up of PhD students.

Doctoral studies

In accordance with Article 1 of the Decree of May 25, 2016 as modified, *"Doctoral studies are studies in and through the conduct of research and a professional research experience. It generates new knowledge. [...] It focuses on work of scientific, economic, social, technological or cultural interest."*

The PhD thesis is a personal research work carried out by the PhD student. It must therefore present new and original elements. It leads to the award of the PhD after the thesis defense, subject to a favorable decision of the jury.

The status of the PhD student

In accordance with the European Charter for Researchers, PhD students are researchers at the beginning of their career who have committed themselves to a thesis under the guidance of a thesis supervisor. They must be recognized as professionals; they have the same rights and duties as other researchers in the units that host them. They benefit from student status for certain advantages, such as access to university studies and equipment, libraries, and CROUS catering rates.

They integrate into a research team in their host research unit as researchers and contribute to the scientific life of the team and the unit. They are entitled to discuss their thesis subject freely with others, within the limits of potential confidentiality clauses.

The Charter

This charter establishes the principles that underlie the relationship between the various participants in the UGA PhD program. All participants co-sign the charter and undertake to implement it in its current form: PhD students, thesis supervisors, heads of research units, heads of public and other institutions¹ as mentioned in the third paragraph of Article 10 of the Decree of May 2016, as modified, and Doctoral School (ED) directors.

The charter is based on:

- the laws cited in the references,
- UGA statutes,
- CED statutes and rules and regulations,

¹ *Industrial and commercial public establishments with research missions, private educational or research institutes, private research foundations, private companies or administrations,*

- procedures for administrative enrollment and thesis defense approved by the UGA Board of Directors and the mission statement the doctoral schools (Eds) and the Doctoral College (CED), in accordance with the various disciplines and their diversity.

UGA is committed to ensuring that the principles set out in this charter are respected during preparation of the PhD.

This charter, which establishes a frame of reference for all those concerned, is not intended to replace existing regulations concerning the PhD or research.

The charter thus presumes that those involved in PhD studies at UGA are aware of and committed to respecting national legislation as well as the rules and regulations that apply to them, and in particular those of the CED, the doctoral school in which they are enrolled, and those of their host research unit.

Article 1: The PhD, a stage in a personal and professional project

The preparation of a thesis must be part of a personal and professional project that is clearly defined in terms of its goals and requirements. It requires clarity of the objectives pursued and the means used to achieve them.

The PhD student's desired professional future (or career plan) must be discussed at the time of applying to carry out a PhD. It is the PhD student's responsibility, with the help of their thesis supervisor, to address this issue with the support of the doctoral school, the *Comité de Suivi Individuel* (CSI – whose organization and expertise are defined in article 3.2), the CED, as well as by contacting potential future employers in the public or private sector, in France or elsewhere.

The PhD student must receive information on the academic and extra-academic opportunities in their field. The ED and the PhD student's thesis supervisor provide national statistics on the future of recent PhD graduates and information on the careers of PhD graduates educated in their host research unit.

Article 2: Thesis subject and conditions for completion

The choice of thesis subject depends on an agreement between the PhD student, the thesis supervisor and the research unit supervisor. This subject must be defined in such a way as to allow the completion of the work within the time limit set (three years for a full-time PhD, six years for a part-time PhD). It must be formally defined at the time of enrollment and must be in line with one of the scientific specialties of study of the ED.

The future PhD student must be informed of the number of theses currently being supervised by the supervisor they are applying for, as the supervisor can only supervise a limited number of theses as determined within each ED and indicated in its rules and regulations and in accordance with the framework defined in the CED rules and regulations.

All or part of the research work assigned to the PhD student is carried out in a research unit affiliated with their doctoral school of enrollment.

The research work can also be conducted in public industrial and commercial establishments with research missions, private educational or research institutes, private research foundations, private companies or administrations.

In application of the present charter, a study agreement, signed by the thesis supervisor, the PhD student and, where applicable, the manager of the PhD student's host company or organization, sets out the conditions for the completion of the PhD. Article 12 of the Decree of May 25, 2016 as modified lists the elements that must be specified in the study agreement.

The candidate and their thesis supervisor(s) must notify the director of the ED, under the supervision of the director of the research unit and, if applicable, by the head of the company or organization hosting the PhD student, of the conditions of the PhD student's scientific, material and financial resources while preparing the thesis.

This agreement may be modified as needed during re-enrollment by an agreement signed by all parties. In accordance with the last paragraph of Article 12 of the Decree of May 25, 2016 as modified, UGA is responsible for its implementation.

Article 3: Thesis supervision and monitoring

3.1 ACTORS OF THE PHD

UGA encourages PhD students to carry out their research work in respect of the principles of scientific integrity and ethics in research. PhD students receive training in the principles and requirements of ethics in research and scientific integrity. The students undertake to respect them for the duration of their PhD studies. UGA, thesis supervisors, laboratory directors and all those who supervise or participate in a PhD student's work pledge to encourage and support this commitment. After the defense and awarding of the title, the doctor takes an oath to respect the principles and requirements of scientific integrity in the course of their professional career, whatever the sector or field of activity.

The role of thesis supervisor is performed in accordance with the provisions of Article 16 of the Decree of May 25, 2016 as modified.

PhD students must have access to structured and regular scientific supervision, as well as access to study programs that will help them to acquire a broader scientific culture and pursue their career.

The PhD student agrees to:

- carry out the research project as initially determined,
- take the courses offered by the CED and their ED in fields such as disciplinary training and career development as well as multidisciplinary courses, including a course on ethics in research and scientific integrity,
- contribute to the life of the research unit and team,
- defend their thesis within the established deadlines,
- comply with the regulations of the laboratory or research team of which they are a part,

- respect intellectual property rules and systematically cite their sources. Failure to comply with this clause may result in disciplinary sanctions.
- leave their documents and results to the laboratory or research team in a usable form. In accordance with current legislation on intellectual property, inventions and software produced by the PhD student in the context of the missions entrusted to them under the PhD contract are the property of their employer. With regard to results protected by an intellectual property right other than software and inventions, the PhD student retains ownership subject to the application of any contracts signed with their employer.

Upon completion of the PhD, the PhD graduate undertakes to respond to any survey conducted by the UGA concerning their integration and career path.

The thesis supervisor (conjointly with the co-supervisor, where applicable):

- ensures that the research topic is feasible and monitors and supports its completion. They are the first line of responsibility in supervising the PhD student scientifically.
- helps the PhD student to integrate into the scientific community in their field of research,
- ensures that the PhD student follows the proposed study plan,
- ensures that they have the material and financial means necessary to carry out their project,
- holds regular discussions with the PhD student to ensure that their research, skills acquisition and writing are progressing well,
- establishes a schedule for research work with the PhD student,
- proposes an active contribution to the writing of articles in peer-reviewed journals in which the PhD student's name will appear,
- encourages the PhD student to engage in activities to promote and communicate their research work.

The research unit director:

- is responsible for the successful integration of the PhD student in their research unit,
- contributes to supporting the student during the PhD,
- ensures that the PhD student has the material and financial conditions required for the successful completion of the PhD,
- undertakes to monitor the professional development of the PhD student in collaboration with the CED.

The director of the ED, assisted by and in conjunction with the council of the ED, where applicable:

- ensures, at annual PhD enrollment, that the scientific, material and financial conditions are in place to guarantee the successful conduct of the PhD student's research work, in compliance with the rules defined by the CED's and ED's rules and regulations,
- promotes scientific interaction among PhD students and with the scientific community,
- offers PhD students disciplinary and interdisciplinary activities that foster the acquisition of a broad scientific culture,

- ensures that each PhD student receives training in ethics in research and scientific integrity,
- raises PhD students' awareness of the issues in open science and of disseminating research work among society,
- raises PhD students' awareness of the fight against sexist and sexual abuse, harassment and all forms of discrimination,
- sets the conditions for the implementation of the PhD student's individual monitoring committee (CSI; according to the terms and conditions defined in article 3.2), ensures that it meets and works and that its composition remains as constant as possible throughout the PhD studies, and takes any measure necessary concerning the PhD student's situation and the progress of their studies if problems are raised by the CSI.
- is required to report any such situation of which it is made aware to UGA's anti-sexist and sexual abuse, discrimination and harassment unit,²
- offers special training and support to thesis supervisors and those supervising or participating in the PhD student's work to prevent any form of discrimination, harassment and sexist and sexual violence,
- elaborates and implements systems to support career prospects in the public and private sectors once the PhD has been obtained, monitors the careers of trained doctors and publicly and openly publishes the results within their scope,
- contributes to European and international relations as part of cooperation initiatives with foreign higher education institutions and research centers,
- ensures, when research is carried out as part of a company or government partnership, that the terms of the study agreement are applied.

3.2 INDIVIDUAL MONITORING COMMITTEE (CSI)

An individual PhD monitoring committee is set up at the beginning of the thesis.

The composition, organization and operating procedures of this committee are set by the council of the ED and detailed in its internal regulations in accordance with article 13 of the Decree of May 25, 2016 as modified. The members of the CSI obligation of independence from the thesis supervisor(s) that it requires.

Before each re-enrollment, it assesses the PhD student's working and learning conditions and research progress through interviews in three distinct stages: a presentation and discussion of progress, an interview with the PhD student without the thesis supervisors, and an interview with the thesis supervisors without the PhD student.

It provides a substantiated opinion and recommendations on the progress of the thesis project in a report of the interview and sends it to the director of the ED, the PhD student and the thesis supervisor.

They are especially attentive to any form of discrimination, moral or sexual harassment or sexist behavior. If there are any problems, the PhD student's individual monitoring committee notifies the doctoral school.

² <https://www.univ-grenoble-alpes.fr/formulaire-de-declaration/formulaire-de-declaration-relatif-a-des-violences-sexistes-et-sexuelles-vss-des-discriminations-ou-de-harcelement-sexiste-et-sexuel-a-l-universite-grenoble-alpes-811422.kjsp?RH=1613053000807>

Article 4: Study programs followed during the thesis

During their PhD program, the PhD student must validate the number of study hours required by UGA in the CED's internal regulations, by following the study modules proposed by their ED and the CED's education department, or study activities recognized as equivalent by their ED or the CED.

The PhD student must undertake training in ethics in research and scientific integrity and will also receive training in teaching and learning if it supports their teaching mission.

A portfolio is produced containing an individualized list of all the PhD student's activities during their PhD, including teaching, dissemination of scientific culture, involvement in community life or technology transfer, and highlighting the skills they have developed while preparing the PhD. The PhD student updates it regularly.

Article 5: Duration of the thesis

In accordance with Article 14 of the Decree of May 25, 2016 as modified, the reference period for the preparation of a thesis is three years for full-time research and six years maximum for a part-time PhD.

Extension: Annual extensions beyond the above-mentioned reference periods may be granted on an exceptional basis by the President of UGA, upon the recommendation of the thesis supervisor and after the opinion of the individual monitoring committee (CSI) and the director of the ED, following a substantiated request from the PhD student. Any extension must remain exceptional.

Suspension: In exceptional cases, following a substantiated request from the PhD student, an uninterrupted suspension of up to one year may be granted once by the President of UGA with the approval of the employer, the thesis director and the director of the ED. During this period, the PhD student temporarily suspends their studies and research work but must remain enrolled at UGA. This period is not counted in the duration of the thesis. The UGA guarantees the PhD student who suspends their studies that they will be re-enrolled in the PhD program for the academic year following the suspension.

Re-enrollment: In all cases, PhD studies require an annual renewal of the PhD student's enrolment in July/September/October/November of each year, failing which, in the absence of any response to the ED's messages, the PhD student will automatically be considered as having withdrawn from the PhD.

At the beginning of each academic year, a thesis follow-up report co-signed by the PhD student, the thesis supervisor and the research unit director must be attached to the re-enrollment file.

Termination of the thesis: This may result from the PhD student withdrawing from the program; not being re-enrolled at UGA; or being refused re-enrollment by the ED directors. If the PhD student withdraws, they must inform the ED of their decision in writing. If re-

enrollment is refused, the director of the ED notifies the PhD student of the decision and its reasons, after receiving the opinion of the thesis supervisor and the individual monitoring committee (CSI). The PhD student has two months to request a second opinion from the Research Commission of the UGA Academic Board. The decision not to renew enrollment is taken by the President of UGA, who notifies the PhD student.

Article 6: Writing the thesis, defense and graduation

Ethics: The PhD student is reminded that appropriating and reproducing the work of others without citing sources constitutes plagiarism and is therefore subject to sanctions.

Defense: The thesis supervisor, in consultation with the PhD student, submits the names of the external committee members (rapporteurs) and the composition of the jury to the ED director, in accordance with the regulations, as well as the date and place of the defense. The defense must be public, unless an exemption is granted by the President of UGA. The defense is authorized by the President of UGA on the proposal of the ED directors and on the basis of a defense dossier guaranteeing a jury and regulatory defense conditions. The title of Doctor is awarded after the thesis defense if the PhD student is declared eligible by the jury.

Graduation: The awarding of the doctorate degree is conditional upon submitting a corrected thesis.

Taking the oath: After the defense, the admitted PhD student takes the doctoral oath of scientific integrity with the following text:

"En présence de mes pairs.

Parvenu(e) à l'issue de mon doctorat en [xxx], et ayant ainsi pratiqué, dans ma quête du savoir, l'exercice d'une recherche scientifique exigeante, en cultivant la rigueur intellectuelle, la réflexivité éthique et dans le respect des principes de l'intégrité scientifique, je m'engage, pour ce qui dépendra de moi, dans la suite de ma carrière professionnelle quel qu'en soit le secteur ou le domaine d'activité, à maintenir une conduite intègre dans mon rapport au savoir, mes méthodes et mes résultats."

For non-French PhD students who so desire, a version of the oath can be read in English:

"In the presence of my peers.

With the completion of my doctorate in [research field], in my quest for knowledge, I have carried out demanding research, demonstrated intellectual rigour, ethical reflection, and respect for the principles of research integrity. As I pursue my professional career, whatever my chosen field, I pledge, to the greatest of my ability, to continue to maintain integrity in my relationship to knowledge, in my methods and in my results."

Article 8: Publication and promotion of the thesis

The quality and impact of the PhD can be measured through the publications or patents and industrial reports that will be derived from the work, whether it is the thesis itself or articles produced during or after the PhD period.

Affiliation: The PhD student must authorship of all their work in accordance with the rules in force in their laboratory.

Archiving and communication: UGA has an electronic archiving and communication program for theses. Online publication of the thesis is subject to the prior agreement of its author. The PhD student signs a document defining the conditions of dissemination of the thesis and attesting to the absence of any plagiarism.

Article 9: Mediation procedure

In the event of difficulties or conflicts, the parties involved must first try to find a solution within the institution. The conflict resolution system rests on the director of the ED, who is the first point of contact.

The ED defines the mediation procedure in its internal regulations in order to be equally attentive to the points of view of all parties involved.

If mediation fails, the ED and/or the PhD student may request access to a higher mediation body within the CED.

PhD student support: The PhD student has the right to be assisted by a PhD student representative elected to one of the bodies of their laboratory, the ED, the CED or other bodies of Université Grenoble Alpes in all their dealings.

Saint-Martin-d'Hères, **day month year**

Signatories

PhD student Date: Signature	Thesis supervisor Date: Signature
Research Unit Director Date: Signature	Director of the Doctoral School Date: Signature

President of Université Grenoble Alpes, Date: Signature	Head of the institution in which the research work is to be carried out (if applicable) Date: Signature