

Charter for hosting PhD Students

FOREWORD

As a research establishment, INED has a responsibility to contribute to training and research. So we host PhD students from a variety of disciplines and higher education establishments, both French and international, and undertake to support them in properly preparing and defending their theses.¹

In accordance with the European Charter for Researchers,² INED considers PhD students to be researchers in their own right and is committed to a hosting policy designed to provide them with the right conditions for doing and publicizing their thesis work, enhancing their skills and developing their professional network. This policy is based on three pillars: practical hosting for the PhD students, scholarly support during the production of their theses and preparation for their career development.³

This charter formalizes a set of practices established at INED. It promotes diverse and coordinated supervision, by one or two mentors (supervisor/co-supervisor) at least one of whom is attached to INED. It is intended to ensure uniformity among the many procedures for overseeing PhD students hosted at INED, by promoting best practice from the university partners where the PhD students are enrolled.

This charter defines the roles and commitments of each of the people concerned by the preparation of a doctoral thesis at INED as a resident PhD student, with the aim of establishing strong, regular and trusting cooperation. It applies to the PhD students, their supervisors and the heads of the research units hosting them at INED. It provides a reference complementary to but not replacing the charter of the student's doctoral school.⁴ More generally, it is part of the active partnership policy that INED is developing with institutions of higher education and accords with the obligations of the PhD students and their thesis supervisors in their respective universities. It must be signed by all partners and the director of INED, who is guarantor of the hosting conditions within INED. The charter lays down the hosting conditions of PhD students and is a moral commitment by the thesis partners to apply a set of good practices for the regular and coordinated supervision of PhD students.

¹ December 2022 version.

² Accessible at https://euraxess.ec.europa.eu/sites/default/files/am509774cee_en_e4.pdf

³ More at "INED policy on hosting PhD students", <https://www.ined.fr/fr/recherche/accueil-doctoral/politique-accueil/>

⁴ The doctoral school charter is a legal requirement in accordance with Decree dated 26 May 2016 (Art. 12).

1. ROLES AND COMMITMENTS OF PhD STUDENTS

PhD students hosted at INED are affiliated to one (main) research unit and, in some cases, a secondary one. Like other researchers, they will take part in all the unit's activities. They spend most of their time preparing their theses. In order to complete their thesis and make the most of their studentship at INED they will establish relations with other INED researchers who may advise them how to produce and promote their thesis work and develop their careers. The students undertake to apply the following set of good practices.

Conduct of the thesis. PhD students hosted at INED undertake to

- establish a work plan upon their arrival – in collaboration with their supervisors – with a view to completing their thesis within the PhD funding period (generally three years), since it should preferably be defended before the end of the funding contract or any possible extension;
- stay in touch with their supervisors, by arranging regular meetings with them (ideally, at least once a quarter) and writing a memorandum after each of these meetings summarizing the content of the discussions and forwarding it to them. To facilitate coordination, each supervisor must be kept informed of discussions between the PhD student and the other supervisor, if they have been held separately;
- submit an activity report in May each year, which will be reviewed by the INED's PhD student assessment committee.⁵ This activity report consists of two forms to be filled in by student and supervisor, the student's updated CV, and an outline of the thesis text (optional for first year students) and any scholarly material produced;⁶
- arrange an annual meeting with their supervisors to (1) review the past year, (2) jointly define the remaining stages for the completion of the thesis, (3) plan any necessary extension of the funding contract beyond Year 3, and (4) discuss the student's post-doctoral career plans. On the basis of a document submitted by the student (a report on the progress of the thesis accompanied by scholarly materials), the participants will discuss the content of the research, any training requirements, opportunities for the development and organization of the PhD student's work. The format of the meeting is flexible. It can take place remotely (video). It is recommended that the meeting be arranged three or four weeks beforehand if necessary, in particular when the supervisors are not in the same country. It can be open to other researchers, for example as part of a research unit meeting (or of a laboratory), during which PhD students present their work and at which their supervisors are present. If such a meeting has already been planned as part of the PhD students' university studies, there is no need to duplicate it. In any event, this meeting must take place before submitting the activity reports to the INED PhD student assessment committee;
- report any difficulty without delay to at least one of the supervisors and/or the doctoral affairs coordinator and/or the head of their hosting unit, whether financial, social,

⁵ This committee reviews the PhD students at INED on an annual basis. It is responsible for assessing the progress concerning the work on the thesis in order to ensure that it will lead to the presentation of a thesis before the end of the PhD funding contract. Where necessary, the committee can make recommendations of all kinds to ensure that the thesis can be completed on schedule (review of goals, adjustment of working methods and timetable etc.). It does not produce in-depth commentaries on the content of the work submitted. This committee (INED I) is not the "individual monitoring committee" specified in the 2016 decree, and does not replace it.

⁶ For example: **Year 1.** An advanced thesis draft, which could be used as its introduction. It should comprise a description of the research question, a theoretical justification of the topic based on a thorough literature review, a presentation of the main research hypotheses (even provisional ones) and a methodological discussion of the data and analytical techniques to be used. **Year 2.** A research text to support the thesis (a possible draft chapter, conference paper, article, etc.). **Year 3.** At least two new texts to support the thesis. These should include original findings from the research undertaken.

- psychological or physical experienced during their research work . This information will, of course, remain strictly confidential;
- make regular back-ups of their work. If necessary, to contact our IT department;
- contribute to documenting INED's research work – uploading any publications and papers to our open archive Archined, helping with the annual Scientific Activity Analysis and Monitoring (MASAS) return.

Research ethics. PhD students undertake to respect the rules concerning scholarly research, in particular to

- organize their work so as to keep track of major stages in their research,⁷ including any discontinued lines of research;
- respect the confidential nature of certain documents, results or data, particularly relating to forthcoming publications or those embargoed by the publisher;
- comply with current regulation for the protection of personal data and use of such data for the sole purpose of research;⁸
- comply with intellectual property rules and avoid of any form of plagiarism that may lead to disciplinary proceedings and even civil or criminal action;
- cite INED as per our charter⁹ in the author affiliation line of any papers, publications or other form of publicity carried out during their time at INED.

Training, development and preparation for post-doctoral period

- To develop their skills, PhD students at INED are encouraged to take part in training courses organized by the Institute and ask about specific external training courses at the department for managing training.
- The scholarly activities we run are part of PhD students' training, even if they are not directly linked to their thesis. PhD students will take part in their research unit's meetings and are encouraged to regularly take part in INED's Monday seminars to keep up with progress in the population sciences.
- More broadly, PhD students are encouraged to participate in their unit's scholarly life on the same terms as the other researchers: helping with producing journal items, holding seminars, taking part in a unit research project, etc.
- PhD students will take an active part in our activities for PhD students (Year 1 welcome day, PhD student monthly workshops, annual doctoral day, regular update meetings, etc.).
- PhD students intending to continue in an academic career are warmly encouraged to gain some teaching experience compatible with their thesis work, so as to prepare themselves properly for that post-doctoral career;

⁷ A regularly updated data management plan (DMP) is of great use in organizing and anticipating all stages in the data lifecycle. It is a formal document detailing how you obtain, record, analyse and use your data both during and after your research project. It specifies the methods and processes used to create, supply, maintain, preserve and protect your data. The *Grand Équipement Documentaire* (GED) provides courses and support in managing DMPs.

⁸ Here contract researchers must coordinate with the Data Protection Officer (DPD) when dealing with personal data. Some forms of processing also need to be officially recorded (e.g. data from French national health data systems [SNDS]).

⁹ http://intraned.ined.fr/c/document_library/get_file?uuid=4ed0d81c-f236-49fb-9c35-caf32bcd666a&groupId=10165

- In order to gain experience in oral presentation and discussing research work, PhD students will present their work at internal INED seminars at each stage of their research: unit meetings, PhD student workshops, INED's Monday young researcher sessions, etc.
- The quality of research work is mainly assessed by one's peers, via papers given at national or international congresses and in journal publications. Publications are also an essential factor for PhDs' initial career path. So PhD students are encouraged to take part in symposia to present their first significant results and prepare articles without waiting for their thesis to be completed. Resources are available at INED for PhD students who attend symposia (when a communication is accepted, to chair a session, join a roundtable discussion or organize a scholarly event jointly or alone) to help with the writing of texts in French or in English, to be published in one form or another (working papers, articles for peer-reviewed journal, etc;).
- *The PhD student is encouraged to join with other researchers, a primarily their supervisor, to prepare publications. In such cases, the author line should reflect each person's actual contribution as laid down by publishing norms.*¹⁰
- On completion of the thesis, PhD students undertake to upload it to the INED open archive Archined, except as otherwise indicated (confidential thesis).¹¹
- Once the thesis has been defended and up to five years after the PhD students' time with us, they will be asked to fill in our annual survey of the careers of researchers hosted by INED during their thesis or post-doctoral work (DDD survey), designed to enhance our support for our contract researchers' career advancement.

Compliance with administrative rules at INED. PhD students undertake to

- comply with existing rules and regulations appropriate to their employment status;¹² as a rule, be present on INED premises at least part-time. As for all INED researchers, working from home is allowed, and mobile working is accepted. However, they should agree with their supervisor on their hours present and inform them of any major change. PhD students employed by INED must have a mission order (which may be permanent) when they work off INED premises, even in the Paris region;
- take holidays as specified by their employer and inform their INED supervisor, even when the employment contract is with another institution;
- provide INED administration during their stay with all the information necessary to update their professional and administrative status — particularly their annual thesis re-registration certificate;

¹⁰ Putting one's name to an article represents scholarly research in a manner that goes beyond formal considerations, which may justify being mentioned in the acknowledgements. An author must have substantially contributed to the drafting of the article (definition of topic and/or methodology, analysis of the data, interpretation of the results, drafting, advanced revision), must have approved the version submitted for publication, must be able to present and defend the results in public. These criteria are standard in most academic associations and universities that publish their rules of ethics concerning authorship. Examples are <http://rio.msu.edu/authorshipguidelines.htm> and <https://www.icmje.org/recommendations/browse/roles-and-responsibilities/defining-the-role-of-authors-and-contributors.html#three>

¹¹ In which case, one may choose between an archive listing with no upload, and restricted access.

¹² See

https://intraned.ined.fr/group/ined/admin?p_p_id=20&p_p_lifecycle=1&p_p_state=exclusive&p_p_mode=view&_20_struts_action=%2Fdocument_library%2Fget_file&_20_folderId=17422&_20_name=DLFE-4404.pdf

- (for INED employees) accept only such other tasks or sources of remuneration as allowed by INED's current rules on holding multiple posts.¹³

Finally, it is understood that doctoral contracts are for a period of three years and that INED provides the resources needed to ensure that the thesis is completed by the end of Year 3. If the thesis period is extended, PhD students undertake to seek further funding for Year 4. This should begin well before the middle of Year 3. This funding may come from to an ATER post that provides some teaching experience, a research contract, research grant, etc. INED does not fully fund a thesis Year 4, but can offer partial funding from a half-time ATER post or other career-advancing experience (research contracts, international mobility, etc.), funded by other sources for at least six months full-time or twelve months half-time. Further months to promote the thesis research may be offered if applied for during the initial three-year thesis funding period.

2. ROLES AND COMMITMENTS OF SUPERVISORS

Each PhD student hosted at INED is generally supported by two academics who jointly supervise their thesis, one from the student's affiliated higher education institution and the other a tenured junior or senior INED researcher. INED researchers duly habilitated by a doctoral school are allowed to be the sole supervisor of an INED-hosted PhD student. The supervisors undertake to collaborate to ensure the successful conduct of the thesis.

Progression of the thesis. The supervisors undertake to

- support PhD students in their exploration of the thesis subject to ensure that it is in keeping with the state of the art, academic standards, professional openings, promotion possibilities and the time allowed for completing the PhD thesis, as defined by the duration of the funding contract;
- support PhD students in establishing a progressive and realistic work plan (with intermediate stages), which will enable them to finish the thesis before their various PhD funding expires;
- encourage PhD students to produce intermediate written material and provide them, in return, with constructive comments within a reasonable time;¹⁴
- be available more broadly to respond to PhD students' requests within a reasonable time, in particular to arranged intermediate stage meetings replies must be given. s;
- take part, with their co-supervisor if there is one, in an annual meeting arranged by the PhD student to (1) review the past year; (2) define together the remaining stages for completion of the thesis; (3) plan post-Year 3 funding, where necessary; and (4) discuss the student's post-thesis career plans. This meeting is also a useful occasion to prepare the annual monitoring documents required by INED.
- each year after this meeting, fill in the form for the assessment committee;
- identify any blocks or difficulties as early as possible, and help implement solutions (reorientation, change in data sources, etc...) to ensure that the thesis is properly continued;

¹³ Concerning permission to take on multiple posts, see Decree n° 2016-1173 dated 29 August 2016 https://www.legifrance.gouv.fr/loda/id/JORFTEXT000033076338?init=true&page=1&query=2016-1173+&searchField=ALL&tab_selection=all

¹⁴ Given the limited time allowed to complete a thesis, one month would generally be an acceptable response time. At all events, the timetable for submitting these materials and comments must be systematically agreed with the PhD student.

- ensure there is a proper balance in the student's working time between thesis research, teaching, training, promotion, consultancy and their collaboration with their host research unit, so that the unit work does not hinder the thesis work but still provides professional experience;
- if need be, immediately warn PhD students that their work is not in keeping with the timetable established, or up to the academic standards required.

Requirements and resources. The supervisors undertake to

- estimate PhD students' training needs and help to see that these are satisfied;
- support PhD students' efforts to obtain the necessary data for the thesis, if need be;
- verify that PhD students are sufficiently trained and equipped so as not to take unnecessary physical or psychological risks during their research, if need be;
- ensure that the necessary funding for the payment of students as well as that provided for carrying out research work is available for the duration of the thesis preparation and support them in finding it and/or adapting their work programme; in particular, from the very start of Year 3, encourage them to look for funding arrangements for a possible Year 4;
- encourage PhD students well before they submit their theses to start looking for post-doctoral work and more broadly their first job.

Promotion of the PhD student's research. The supervisors undertake to

- encourage PhD students to make their work known i.e. ensure that they are aware of opportunities to present it at seminars and symposia; encourage them to publish their work in the most appropriate scientific journals (even in the form of working papers) without waiting till they complete their theses;
- comply with the rules and best practice in the professional standards and ethics of scholarly research, particularly concerning the selection and order of authors which should reflect the PhD student's major effective intellectual contribution to any publications based on their thesis; this includes cases where the supervisor proposes a joint research project with the student;
- inform students of the authorship presentation rules (to cite both doctoral school and INED) when promoting their research (papers and publications);
- help PhD students to integrate into national and international networks during the thesis and the transition-to-work period following the defence of the thesis;
- support young PhD in learning professional skills, such as preparing their thesis defence, setting up a post-thesis position (see below) and applying for competitive posts.

3. SPECIFIC ROLES OF INED SUPERVISOR AND HEAD OF INED HOSTING RESEARCH UNIT

The INED supervisor and the head of the hosting research unit should ensure the full integration of PhD students within INED, and, in particular, within the research unit.

Training

- To train PhD students in the presentation and discussion of their work, the head of the research unit plans opportunities at unit meetings for, ideally, a presentation of their projects during the first months after their arrival and a presentation of research results during Year 2 or Year 3.

- The INED supervisor and the head of the hosting unit facilitate the integration of PhD students into the life of the unit, but to a reasonable extent in order not to hinder the progress of the thesis.
- The INED supervisor and the head of the hosting unit encourage PhD students to take part in scientific events held at INED (INED Mondays, thematic seminars, etc.). They also help them set priorities concerning which seminars to follow, depending on their centres of interest, their training needs and the progress of their thesis;

Resources

- The INED supervisor and the PhD student agree on the hours to be spent on INED premises in line with their work contract (in the case of INED employees) or hosting agreement (all others).
- The INED supervisor and the head of the hosting unit inform and advise PhD students with regard to all the available resources at INED (IT, internal and/or external training courses, documentation, administrative help...);
- The INED supervisor puts down in writing the PhD student's requirements or helps them do so for the annual budget plan; in particular the budget necessary to enable PhD students to attend conferences and scientific meetings outside INED (at least one conference in each of Years 2 and 3) and for fieldwork, if resources permit;
- Jointly with the PhD student and the doctoral affairs coordinator, the INED supervisor will forward to the relevant INED departments any problem the student may have with their official documents (INED and university status, residence permit for non-EU students, etc.) so that they may do their thesis work without these concerns.
- The INED supervisor and the head of the hosting unit, together with the doctoral affairs coordinator and the relevant departments inside and outside INED, ensure that the PhD student is aware of their entitlements to annual holidays, sickness leave, remote working, "right to disconnect", include those students who work contract is with another body (externally funded hosting).
- The INED supervisor ensures that PhD students are not given tasks to accomplish outside the sphere of their thesis that may prejudice their thesis work or career advancement.
- The INED supervisor and the head of the hosting unit will advise the PhD about the departments and officers (scientific integrity, professional ethics/whistle-blower protection, female-male equality, racism and antisemitism, ethics committee) they may need, and inform them of the appropriate procedures.

Follow-up

- The PhD student is entitled to ask the head of the research unit, as well as INED risk prevention officers, doctoral affairs coordinator and staff representatives (union officials) to raise any question concerning their working conditions and avoidance of professional risk.

4. POST-THESIS PERIOD

For those PhD students who wish to pursue an academic career, promoting their thesis work is crucial. Even before the thesis defence, they are encouraged to showcase their research in publications and scholarly papers. Indeed, INED will fund three months of thesis research promotion if it is applied for within the initial three-year thesis funding period. The first years

after defending the thesis comprise the most intense promotion work. During this time, it is often necessary to access IT resources, particularly the secure data that underpin the thesis.¹⁵ It may also be useful for producing an article or applying for a research grant. A young researcher's academic affiliation is decisive for their visibility before they obtain a permanent post. Our post-thesis support is intended for these "INED-affiliated PhDs".

The table in Appendix 1 presents three forms of support, corresponding to the various stages in the writing and promotion of the thesis:

- Thesis period, directly covered by this charter;
- Post-defence support, immediately after the thesis (Column 2), formally extending support to the end of the academic year (31 August) when the thesis is defended, whether or not the student re-registers at university; application for this must be made at the annual monitoring committee meeting preceding the thesis defence year;
- Post-thesis support as such (Column 3), offering INED affiliation, occasional hosting on the premises, on condition a written plan is submitted for promoting the thesis and preparing for a job, support available for a limited period (one year,, renewable once); this plan must be submitted at the annual monitoring committee meeting at the end of the post-defence support year.

The principles behind this post-thesis support are to support solely those publications of research directly related to the thesis — no introduction of new projects — and to help with career advancement and the preparation of applications for posts.

MONITORING AND APPEAL PROCEDURES

- The procedures for monitoring PhD hosting and post-thesis support are summarized in Appendix 1.
- The doctoral affairs coordinator is the main contact for the PhD student and their supervisor for any questions about hosting.
- On the first Monday in October each year, the coordinator arranges a welcome afternoon for new PhD students, post-docs and contract researchers, and presents the main principles of our hosting policy and the resources we make available to young researchers.
- Each year, the PhD students elect representatives to ensure that requests and problems both collective and individual are properly forwarded, in direct contact with the coordinator.
- The coordinator holds regular meetings with all hosted PhD students to take stock of INED's hosting arrangements and discuss any unresolved problems.
- In the event of non-compliance with the principles laid down in this charter, the signatory partners may raise the matter with the doctoral affairs coordinator or the director of INED. They may also approach the trade union representatives. In case of disagreement, the Director may appoint a mediator. In any case, both sides will be given a hearing; For INED PhD students and employees, if difficulties persist, the joint consultative committee (CCP), which covers untenured staff, may be appealed to.

¹⁵ On condition that extended access complies with the research project or can be obtained.

<p>PhD student (first name, last name): date: Signature:</p>	<p>-</p>
<p>Director of INED, <i>Magda Tomasini</i> date: Signature:</p>	<p>Head of the hosting unit (first name, last name): date: Signature:</p>
<p>Supervisor (first name, last name): Thesis supervisor / co-supervisor* date: Signature:</p>	<p>Supervisor (first name, last name): Thesis supervisor / co-supervisor* date: Signature:</p>

* Delete as appropriate

APPENDIX 1

HOSTING AND SUPPORT FOR PhD STUDENTS AT INED DURING AND AFTER THEIR THESIS WORK

	Resident PhD student	Post-defence affiliated PhD (during thesis defence university year)	Post-thesis affiliated PhD (one year, renewable once)
Access	Selection committee and INED director select PhD contracts and assess externally funded hosting applications as they are submitted.	Status granted to all PhDs hosted at INED until end (31 August) of their thesis defence university year. To be applied for at annual monitoring meeting before defence, not subject to re-registration.	Applications must be submitted at annual monitoring meeting during post-defence year. Status granted for one year (renewable once).
Activities	PhD research and possibly teaching. Training received at doctoral school and INED. Preparing post applications. Involvement in hosting unit or units' scholarly life.	Scholarly promotion of research done during the thesis in articles or chapters in edited works. Preparing post applications.	Scholarly promotion of research done during the thesis in articles or chapters in edited works. Preparing post applications.
Academic authority at INED	INED supervisor	INED supervisor	INED supervisor
Obligations			
Be present on INED premises (separate from total working time)	Part-time and full-time except for justified reasons (to be agreed with INED supervisor)	None (see office access conditions below)	None (see office access conditions below)
Cite INED affiliation	See INED publication presentation principles		
Be affiliated to one or two Rus (one main)	Affiliated and active	Affiliated	Affiliated
Sign hosting agreement referencing PhD hosting charter	Yes, except for INED employees (for whom a work contract referencing charter)	Yes	Yes
Comply with INED regulations: rules of procedure, IT charter	Yes	Yes	Yes
Comply with GDPR and observe data confidentiality	Yes	Yes	Yes
Have activity monitored	Yes, by PhD annual assessment committee	No	No (except for renewal)
Inform doctoral affairs co-ordinator of final departure date and return access badge	Yes	Yes	Yes
Access to INED funding			
Remuneration	INED employee or other PhD funding	Not from INED	Not from INED
Payments from project budget for data access fees and publication fees*	Yes	Yes, solely for thesis-related expenses	Yes, solely for thesis-related expenses
Payments from project budget for conferences, research missions, other research expenses*	Yes	No	No
Payments from project budget for travel for post interviews*	Yes	No	No

Funding for long-term missions (DRIP)	Yes (during contract period)	No	No
Access to other INED resources			
Office and workstation	Access to work space and desktop workstation (bookable solely during hours present)	Access to work space and desktop workstation (bookable solely during hours present, if available)	Access to work space and desktop workstation (bookable solely during hours present, if available)
IT account	Yes	Yes	Yes
Page on INED website	Yes	Yes	Yes
GED library loans and other resources	Yes	Yes	Yes
Reprographics	Yes	Yes, solely to print thesis or thesis-related publications	Yes, solely to print thesis or thesis-related publications
Internal INED training courses	Yes	Yes	Yes
External INED training courses*	Yes	No	No
Administrative and legal services and support (e.g., data protection registration, response to calls for applications)*	Yes	Yes, if project submitted of type ERC or AMSC	Yes, if project submitted of type ERC or AMSC
Translation, publishing*	Yes	Yes, solely for thesis-related work	Yes, solely for thesis-related work
Welfare benefits			
INED restaurant access	Yes (subsidized price)	Yes (subsidized price)	Yes (subsidized price)
INED annual school equipment grant (AAES)	Yes for INED employees (> 6 months)	No	No
National insurance cover (sickness, unemployment, pension, etc.)	From employer (INED or other)	No	No
Contribution to daily travel expenses	From employer (INED or other)	No	No
Maternity leave, sickness leave	As per regulations**	n.a.	n.a.
<p>* Access to these resources requires advance agreement from the INED academic authority.</p> <p>** E.g. An INED employee who takes maternity leave will be paid by INED if she has been employed for at least 6 months. INED will claim these daily allowances from the CPAM health insurance agency. If she has been employed for less than a total of 6 months, she will receive the allowances directly from the CPAM. The general rule is that the employee stops work in her 7th month of pregnancy (6 weeks before term + 14 days' prenatal sick leave).</p> <p>In the case of employee PhD students, Article 14 of Decree dated 26 August 2022 amending Decree dated 25 May 2016 laying down the national training framework and procedures for awarding a national doctor's degree, specifies that "if the PhD student has taken leave for maternity, paternity, child fostering or adoption, parental leave or sickness leave longer than four consecutive months or work accident leave of at least two months, the period required to prepare the PhD may at the student's request be extended by a period equivalent to that leave".</p> <p>n.a.: not applicable</p>			