

- SURNAME / FIRST NAME OF THE PHD STUDENT:.....

# Charter for PhD Students

## PRÉAMBULE

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As a research establishment, INED has a responsibility to contribute to training and research. In this context, it hosts PhD students from a variety of disciplines and from a variety of higher education establishments, whether French or foreign, undertaking to support them to enable them to prepare and defend their thesis in the best possible conditions. In accordance with the European Charter for Researchers,<sup>1</sup> INED considers the PhD students to be researchers in their own right and is committed to a policy of welcome destined to motivate and foster their personal and professional development. This policy is based on two pillars: the practical welcome extended to PhD students and the support given to them during the preparation of their thesis.<sup>2</sup>

Through the various provisions, this charter formalizes a set of practices established at INED. It promotes diverse and coordinated supervision, provided by one or two mentors (supervisor co-supervisor) at least one of whom is attached to INED. It aims to ensure the uniformity of the many procedures for overseeing PhD students hosted at INED, by promoting the University partners in which the PhD students are enrolled. Under the ministerial order of 25 May 2016,<sup>3</sup> it is obligatory to set up an "individual supervision committee" for all PhD students enrolled in a French university, whose "composition, organization and mode of operation are determined by the council of [each] doctoral school."<sup>4</sup>

This charter therefore defines the roles and responsibilities of each of the partners concerned by the preparation of a doctoral thesis at INED, with the aim of establishing strong, confident and regular cooperation. It concerns the PhD students, their mentors and the head of the research unit hosting them at INED. It must be signed by all partners. It is also signed by the director of INED who is guarantor of the hosting conditions within the Institute.

This charter has no legal status. It consists of an institutional commitment by INED with regard to the hosting conditions of PhD students and a moral commitment by the thesis partners to respect a set of good practices enabling a regular and coordinated supervision of PhD students. The charter for PhD students does not replace the doctoral charters of the universities in which the PhD students hosted at INED are enrolled. It has been formulated to coordinate flexibly with the obligations of the PhD students and their thesis supervisors in their respective universities. More generally, it is part of the active partnership policy that INED is developing with institutions of higher education.

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<sup>1</sup> Document available on: <http://ec.europa.eu/euraxess/index.cfm/rights/index>

<sup>2</sup> For further details, see the document "INED policy on hosting PhD students".

<sup>3</sup> <https://www.legifrance.gouv.fr/affichTexte.do?cidTexte=JORFTEXT000032587086>

<sup>4</sup> Article 13 of the decree of 25 May 2016.

## 1. THE ROLES AND RESPONSIBILITIES OF PHD STUDENTS

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PhD students hosted at INED are affiliated principally to a research unit. Like other researchers, they must take part in all the activities of the unit. They spend most of their time preparing their thesis and are encouraged to be autonomous and take initiative. In order to complete their thesis and make the most of their studentship at INED, they undertake to respect a set of good practices listed below.

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

- Establish a work plan upon their arrival – in collaboration with their mentors – with a view to completing their thesis within the PhD funding period (generally 3 years), the defense preferably taking place at before the end of the funding contract;
- Maintain constant contact with their supervisors, in particular by regularly taking the initiative to organize meetings with them (ideally, at least once per quarter) and by writing – after each of these meetings – a memorandum summarizing the content of the discussions and which is transmitted to them. To facilitate coordination, each of the mentors must be kept informed of discussions held between the PhD student and the other mentor;
- Establish relationships with as many researchers as possible at INED who could give advice for the completion of their thesis, for the promotion of their research and for their entry into the professional world;
- Submit an activity report in June each year, which will be reviewed by the PhD student selection and assessment committee at INED.<sup>5</sup> This activity report consists of three parts: a form to fill in, a progress report on the thesis and scientific materials;<sup>6</sup>
- Organize an annual meeting with their supervisors (dissertation committee) enabling (1) to review the past year and (2) to define together the remaining stages for the completion of the thesis before the end of the PhD funding contract. On the basis of a document submitted by PhD students (a report on the progress of the thesis accompanied by scientific materials), the purpose of this meeting is to enable a discussion to take place on the content of the research, training requirements, opportunities for the development and organization of the PhD students' work. The format of the meeting is flexible. It can take place at a distance (telephone conference) if necessary, in particular when the mentors 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 mentors 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

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<sup>5</sup> The role of this committee is to recruit and oversee 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. For further details, see the note "PhD student selection and assessment committee at INED: role and functioning".

<sup>6</sup> **Year 1:** an advanced thesis project, which could serve as an introductory chapter to the thesis. It must contain a presentation of the research question, a theoretical justification of the subject based on a thorough review of the literature, a presentation of the principal research hypotheses (even if provisional) and a methodological discussion on the data and analytical techniques to be employed;

**Year 2:** a research text contributing to the thesis (a chapter possibly in a provisional version, a paper presented at a symposium, an article...);

**Year 3:** at least two new texts to contribute to the thesis. These texts must include original research results.

- submitting the activity reports to the PhD student selection and assessment committee, i.e. before 1 June.
- Indicate without delay any difficulty to at least one of the mentors and/or to the doctoral affairs coordinator and/or to the head of their hosting unit, whether these difficulties be of a social, psychological or physical nature experienced during the undertaking of their research. This information will, of course, remain strictly confidential;
- Make regular back-ups to save their work.<sup>7</sup>

**Scientific ethics.** PhD students undertake to respect the rules concerning scientific research, in particular:

- Respect of the confidential nature of certain documents, results or data;
- Protection of individual data and use of these data solely within the framework of the thesis;
- Respect for intellectual property and exclusion of all forms of plagiarism,<sup>8</sup> for which the authors run the risk of disciplinary sanctions and/or prosecution;
- Reference to INED in the signature of all papers, publications or other forms of promotion of the work carried out during the hosting period at the institute.

### **Training, development and preparation for post-doctoral period:**

- To develop their skills, PhD students at INED are encouraged to take part in training sessions organized by the Institute or to request specific external training sessions at the department for managing training;
- Participation in scientific activities is an integral part of PhD students' training, even if they are not directly linked to their thesis. PhD students are invited to take an active part in the scientific life of the Institute (INED's Monday seminars, meetings and research unit seminars...);
- PhD students are encouraged to participate in the scientific life of the unit to which they are attached on the same terms as the other researchers: collaboration in unit activities such as the coordination of a column in a journal, the organization of seminars, participation in a research project of the unit<sup>9</sup>
- PhD students must be present at activities organized at INED for PhD students (PhD student workshop, doctoral days, INED's 4th Monday seminar...);
- PhD students are warmly encouraged to teach in order to prepare in the best possible conditions their integration into academia (for those who intend to pursue their career in this domain);
- In order to gain experience in oral presentation and in the discussion of their work, PhD students are encouraged to present their work at internal seminars at INED during the different stages of progress of their work: research unit meetings, PhD student workshops, INED's Monday seminars...
- The quality of research work is essentially assessed through peers, in the form of scientific publications or conferences in national or international congresses. Furthermore, publications are an essential factor for the professional integration of young doctors. Therefore, PhD students are encouraged to take part in symposia and to

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<sup>7</sup> To this purpose PhD students are invited to contact the IT department at INED.

<sup>8</sup> Good examples of what constitutes or not plagiarism can be found on <https://www.uottawa.ca/about/sites/www.uottawa.ca/about/files/plagiat.pdf> (in French) or on <https://www.uottawa.ca/about/sites/www.uottawa.ca/about/files/plagiarism.pdf> (in English)

<sup>9</sup> This collaboration is not considered as a creation in terms of intellectual property.

- prepare articles, which present their first significant results without waiting for their thesis to be completed. Resources are available at INED for PhD students who can attend symposia and workshops to help with the writing of texts in French or in English, to be published in one form or another (working papers, articles for journals...);
- With the aim of training in scientific writing, PhD students can contact their supervisors, or even other researchers, to propose the co- writing of an article and thus, by so doing, receive active support for the promotion of their work.<sup>10</sup> Given the formative role of such activities and the importance for PhD students of publishing their research in order to enter the professional world, it is advisable that this kind of collaboration take place as soon as possible during thesis preparation. Furthermore, these collaborative projects should cover a topic directly related to the PhD student's thesis and the student should be the lead author (or other useful position reflecting his/her contribution, according to the discipline), with due respect to publishing norms;<sup>11</sup>
  - On completion of the thesis, PhD students undertake to submit a copy (in electronic format) to the secretariat of doctoral studies.

**Compliance with administrative rules at INED.** PhD students undertake to:

- Respect the existing rules and regulations;<sup>12</sup>
- As a rule, be present on the premises of INED at least on a part-time basis; or failing that, and, on an exceptional basis, inform their INED mentor and the doctoral affairs coordinator of the time spent. PhD students employed by INED must have a mission order (possibly permanent) when they work outside the premises of INED;
- Provide the administration services during the studentship years and for several years after the completion of the thesis, with all the information necessary for the follow-up of the evolution of their professional situation;
- For INED employees: Only accept other forms of remuneration permitted by the existing concurrent remuneration rules at INED.<sup>13</sup>

Finally, it is understood that PhD students are normally funded for a period of three years and that INED makes available all possible means in order to ensure that the thesis is completed at the end of the third year. PhD students undertake to seek alternative funding for their 4<sup>th</sup> year in the case of the extension of the duration of the thesis. The search for additional funding must be envisaged well before the middle of the third year. This funding can notably be linked to an "ATER" post (research and teaching assistant at a French university), which will provide teaching experience, to a research contract, to a grant etc. INED does not provide funding for a 4<sup>th</sup> thesis year.

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<sup>10</sup> PhD students shall previously ascertain whether restrictions are imposed or not by their doctoral school, certain universities strictly limit the number of co-written articles that PhD students may include in their thesis.

<sup>11</sup> Signing an article is the confirmation of a scientific study, which goes beyond simple writing advice. An author must have contributed substantially to the conception of the article (definition of the subject and/or the methodology, data analysis, interpretation of results, writing, in depth review), must have approved the version submitted for publication, must be able to present and defend the results in public. These criteria correspond to the standard agreed by the majority of scientific associations and universities, which publish their ethical rules regarding copyright/authorship. See for example <http://rio.msu.edu/node/1103>

<sup>12</sup> <http://www.ined.fr/en/research/PhD-students/hosting-phd/>

<sup>13</sup> For concurrent remuneration authorizations, see Decree no. 2016-1173 of 29 August 2016

<https://www.legifrance.gouv.fr/affichTexte.do?cidTexte=JORFTEXT000033076338&categorieLien=id>

## 2. THE ROLES AND RESPONSIBILITIES OF THE DISSERTATION COMMITTEE

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Each PhD student hosted at INED is followed by a thesis committee as defined in the preamble to this charter. The mentors included in the committee undertake to collaborate to ensure the successful conduct of the thesis.

**Progression of the thesis.** The mentors 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, with academic standards, with professional openings, with promotion possibilities and with 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 the PhD funding contract expires;
- Encourage PhD students to produce intermediary written works and provide them, in return, with constructive comments within a reasonable time;
- Be available to respond to PhD students' requests within a short time limit, in particular for the organization of meetings or the review of intermediary productions. As a general rule, and given the limited time available for thesis completion, a maximum period of one month seems to be a reasonable time limit within which replies must be given. In any event, work or commentary deadlines should systematically be defined in collaboration with PhD students;
- Participate in an annual meeting of the dissertation committee, organized by the PhD student enabling (1) to review the past year and (2) to define together the remaining stages for completion of the thesis before end of the PhD funding contract (further details above in the section devoted to PhD students' responsibilities);
- After the meeting of the dissertation committee, fill in each year the follow-up form for the selection and assessment committee;
- Identify critical situations (blockages or difficulties) as early as possible, whether they are due to the PhD student or the mentors, and help to implement solutions (reorientation, change in data sources, etc...) to ensure that the thesis may be pursued under optimal conditions;
- If need be, the mentors must immediately warn PhD students that their work is not in keeping with the timetable established, or up to the academic standards required.

**Needs and resources.** The mentors undertake to:

- Estimate PhD students' training needs and verify that these are satisfied;
- If need be, support PhD students' efforts to obtain the necessary data for the realization of 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;
- 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;
- From the beginning of the third year, the supervisors must encourage PhD students to seek financial solutions for a possible 4<sup>th</sup> year or for a post-doctoral position.

**Promotion of the PhD student's research.** The mentors 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 as quickly as possible in the most appropriate scientific journals (even in the form of working papers); help them to weigh up the consequences of their choices (notably in cases where the conditions related to making their work known create copyright restrictions);

- Help PhD students to develop their integration in national and international networks during the thesis and also during the transition period following the defense of the thesis.

### 3. THE ROLES OF INED MENTOR AND HEAD OF THE HOSTING RESEARCH UNIT

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The INED mentor and the head of the hosting research unit have the responsibility to 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 the 2<sup>nd</sup> or 3<sup>rd</sup> year;<sup>13</sup>
- The INED mentor and the head of the hosting unit encourage PhD students to take part in scientific events organized at INED (INED Mondays, thematic seminars...). They also help them to determine priorities concerning which seminars to follow, depending on their centres of interest, their training needs and the progress of their thesis;
- The INED mentor and the head of the hosting unit facilitate the integration of PhD students into the life of the unit, but in a reasonable manner in order not to prevent the progress of the thesis.

#### Resources

- The INED mentor 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...);
- Depending on resources available, they plan the budget necessary to enable PhD students to attend conferences and scientific meetings outside INED (at least one conference in the 2<sup>nd</sup> and 3<sup>rd</sup> year of the thesis);
- They verify that PhD students benefit from an adequate administrative situation (INED and university status, residence permit for non EU PhD students) enabling them to complete their thesis under good conditions. If need be, they help them get their papers in order. To do so, they may seek help from the doctoral affairs coordinator or competent departments at INED;
- They define with PhD students their timetable at INED;
- They ensure that the PhD students are not given tasks to accomplish outside the sphere of their thesis destined to offset possible shortfalls in technical or administrative resources.

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<sup>13</sup> If the mentors are present at the meetings, they can be considered as the equivalent of the annual meeting of the dissertation committee.

### **Follow-up.**

- The head of the research unit ensures that the PhD student's thesis subject corresponds to one of the unit's research projects;
- The head of the research unit may be requested by the doctoral affairs coordinator and/or the selection committee to give an opinion on the progress of the thesis;
- The INED mentor and the head of the hosting unit ensure that the PhD students respect the citation rules (dual enrolment in their doctoral school and INED) when disseminating their research work (papers and publications);
- They are encouraged to support the young doctors in their search for employment, notably through the organization of oral mock exams in order to prepare for the defense or before recruitment competitions;
- If need be, they provide support to ensure the professional follow-up of PhD students.

In the event of non-compliance with the principles laid down in this charter, the signatory partners may raise the matter initially with the doctoral affairs coordinator and, secondly, with the director of INED.

**PhD student (first name, name):**

date:

Signature:

**Director of INED,**

*Magda Tomasini*

date:

Signature:

**Head of the hosting unit**

(first name, name):

date:

Signature:

**Mentor (first name, surname):**

Thesis supervisor / co-supervisor\*

date:

Signature:

**Mentor (first name, surname):**

Thesis supervisor / co-supervisor\*

date:

Signature:

\* Delete as appropriate