

UNIVERSITÉ DE TECHNOLOGIE COMPIÈGNE

ED71 "Sciences pour l'ingénieur" Doctoral School Doctorate Charter

Centre de recherches Royallieu - CS 60 319 - 60 203 Compiègne cedex - France
tel. 03 44 23 44 23 - www.utc.fr

Pursuant to:

- the Decree no 2009-464 of April 23 2009, as modified, relating to contractual doctoral candidates in public institutions of higher education or research
- the Ministerial Order of 25 May 2016 establishing the framework for doctoral education and the conditions for the awarding of doctorates in France
- the French National Charter for Research Integrity of January 2015
- the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers of 11 March 2005
- the statutes of Université de technologie de Compiègne
- the University's Scientific Advisory Committee's pronouncement of 9 December 2022
- the deliberation of the Université de technologie de Compiègne Board on 15 December 2022 approving the adoption of the Université de technologie de Compiègne Doctorate Charter

Preamble

A doctorate, the highest degree awarded in France, is awarded in recognition of education that train an individual for research through doing research. Doctoral education may directly follow other academic studies before an individual has embarked on a professional career, or they may be undertaken later, including as a validation of professional experience. A doctorate is pursued in an accredited public institution of higher education, within a doctoral school and under the guidance of a thesis supervisor, as provided for in the Ministerial Order of 25 May 2016 establishing the framework for doctoral education and the conditions for the awarding of doctorates in France.

The doctorate is recognized in the scientific sphere and in the socioeconomic fabric of France, Europe, and the wider world. Doctoral education forms part of a project of personal and professional development with specific goals and requirements. It combines education at a high level and professional research experience with a view to acquiring transferable scientific skills.

The doctorate involves creating new knowledge, through individual work carried out in a team environment; the open dissemination of this knowledge helps to enlighten the public, the public authorities and society at large. At the heart of doctoral education is an innovative piece of research work embodied in a thesis.

In its doctoral training, as in all its activities, Université de technologie de Compiègne, a member of the Alliance Sorbonne University, undertakes to observe and to ensure the observance of fairness towards and between its members, and to ban and to combat any form of discrimination in relation to gender, ethnic and cultural heritage, sexual orientation, disability, or socioeconomic status.

Article 1: Purpose and scope of the Charter

Together with the provisions of the Internal Regulations of the Doctoral School, the present Charter sets out the rights and obligations of those involved in doctoral training, especially in relation to the supervision and monitoring of doctoral candidates. Université de technologie de Compiègne ensures that the Charter is implemented, and provides relevant information to the community.

The present Charter has been drawn up in compliance with the Ministerial Order of 25 May 2016 relating to doctoral education, and with the recommendations and guidelines of the French National Charter for Research Integrity. It is part of a coordinated policy for doctoral education backed by Sorbonne University's College of Doctoral Schools, of which the ED71 Doctoral School is a member.

The present Charter upholds the scientific excellence of the doctorate. It lays down the principles and values governing doctoral education, concerning in particular the relation between doctoral candidates and thesis supervisors, as well as relations between all those contributing directly or indirectly to a doctoral study project.

The present Charter applies to everyone involved in doctoral training at Université de technologie de Compiègne.

It is implemented by the directors of research units and by the director of the Doctoral School, who agree to its terms, and who via their signature undertake to respect the Charter when a doctoral candidate registers.

It is implemented by doctoral candidates and their thesis supervisors and, where appropriate, by each the head of any institution (as defined in Article 10 of the Ministerial Order of 25 May 2016 establishing the framework for doctoral education and the conditions for the awarding of doctorates in France) within which research may be carried out. They jointly sign the Charter when the doctoral candidate first registers at Université de technologie de Compiègne, or at the renewal of registration, if the Charter has come into effect after their first registration.

The provisions of the present Charter are not retroactive. Provisions in earlier doctorate charters cease to apply from the time the present Charter is signed by the different parties and comes into effect.

Where applicable, Université de technologie de Compiègne will ensure that the terms of the present Charter are not contravened by any joint supervision or partnership agreement made with another institution or organization.

Article 2: The study agreement

In compliance with the Ministerial Order of 25 May 2016 relating to doctoral education, an individual study agreement, signed by the thesis supervisor, the doctoral candidate and, where appropriate, by the head of the doctoral candidate's company or host organization at his or her first registration, sets out the arrangements and conditions under which the doctoral education will take place. Where required, this agreement may be modified each time the registration is renewed.

Article 3: Doctoral education at Université de technologie de Compiègne

3.1. Université de technologie de Compiègne seeks to foster critical, independent thinking, intellectual rigour, and an uncompromising quest for knowledge, helping doctoral candidates to carry out their research in accordance with principles of research ethics and scientific integrity. Doctoral candidates have access to training in the principles and requirements of research ethics and scientific integrity. They commit to respecting them throughout their doctorate. Université de technologie de Compiègne, the director of the Doctoral School, the thesis supervisors, the directors of research units and all persons supervising or participating in the work of a doctoral candidate will do everything they can to help them honour this commitment.

3.2. Université de technologie de Compiègne helps its doctoral candidates to become part of a research environment at the local, national, and international levels.

3.3. Université de technologie de Compiègne supports doctoral candidates in the promotion and application of their research; it urges them to become well informed about work being done in their field of specialization, both in France and abroad. To this end, Université de technologie de Compiègne encourages and supports travel and exchanges on the part of doctoral candidates.

3.4. In consultation with the thesis director and the Director of the Doctoral School, doctoral candidates establish an individual study programme that will be of use to them in their research project and in their future professional career. This individual study programme is intended to broaden their knowledge and to enable the acquisition of transferable skills.

3.5. It is Université de technologie de Compiègne's express wish that as many doctoral candidates as possible are in receipt of contractual remuneration for the pursuit of their doctoral education.

When preparing for registration, the thesis supervisor, the director of the research unit, the Director of the Doctoral School, as well as the candidate, will look into available sources of finance and take all possible measures in order that remuneration may be provided.

Article 4: Embarking on doctoral education

4.1 The doctoral research project

4.1.1. The pursuit of a doctorate is based on an agreement entered into freely by the doctoral candidate, the thesis supervisor and where applicable the co-supervisor, in close cooperation with the research unit, the Doctoral School and the University.

4.1.2. This agreement defines the doctoral research project and the conditions for its conduct; it provides for the acquisition of scientific skills at a high level and of professional know-how. The conditions for the conduct of research relate in particular to the scientific environment, to supervision, to the provision of digital, material, financial and human resources, and in some cases to clauses of confidentiality.

4.1.3. Every project is approved by the Doctoral School after having checked its scientific validity and innovative nature, as well as the feasibility of its completion within the deadlines laid down in the Ministerial Order of 25 May 2016 relating to doctoral education.

4.2 Undertakings made in relation to doctoral education

4.2.1. The Doctoral School's admissions policy is based on explicit, published criteria and on fair, transparent procedures as described in its Internal Regulations.

4.2.2. The Doctoral School informs prospective doctoral candidates about available equipment, financial and human resources, and about the number of doctoral candidates supervised by their prospective thesis supervisor. The maximum number of doctoral candidates authorized for a thesis supervisor is laid down in the Doctoral School's Internal Regulations. The Doctoral School provides doctoral candidates with information about career prospects on the basis of surveys conducted locally and nationally.

4.2.3. The thesis supervisor acts in accordance with the ethics and integrity incumbent on him or her in this role. He or she is responsible for providing a doctoral project's scientific leadership.

The thesis supervisor takes responsibility for the doctoral candidates who report to him or her.

He or she supervises them individually and undertakes to meet with them regularly in dedicated work areas on the University premises in order to support them in their thesis work. He or she makes sure that doctoral candidates acquire an ability to work independently as they pursue their research.

4.2.4. The thesis supervisor helps doctoral candidates to become part of the scientific community, giving them relevant information and putting them in touch with professional contacts who can assist them as regards the conduct, promotion and application of their research locally, nationally and internationally. He or she helps them to establish themselves professionally, and creates conditions in which they can acquire expertise and put it to effective use.

4.2.5. A co-advisor can provide a doctoral candidate with additional scientific input. Where applicable, the various roles and responsibilities of those involved in the guidance and monitoring of a doctoral candidate are set out explicitly in an individual study agreement.

Supervisors and advisors are offered training and support to assist them in this role.

4.2.6. Doctoral candidates undertake to play an active part in the life of their research unit and doctoral school, and to attend courses to expand their scientific culture, enhance their skills and prepare them for a career. They give their thesis supervisor regular progress reports regarding their work and any difficulties that they may have encountered. In discussion with the doctoral candidate the thesis supervisor checks the scientific validity of the research methods and the results obtained. The doctoral candidate must show initiative and creativity in the conduct of his or her research. All doctoral research must be in accordance with the French National Charter for Research Integrity and with codes of practice relevant to the pursuit of knowledge and publication in that particular scientific field.

4.2.7. Where the doctorate is being pursued on a part-time basis, the candidate undertakes to free up sufficient time to properly carry out his or her research.

Article 5: The conduct of doctoral education

The Doctoral School makes sure that doctoral education is conducted properly, and that the timetables and undertakings mentioned in the present Charter are respected. Particular attention is paid to the individual monitoring of doctoral candidates with respect to their research project and their career plans.

5.1 The individual study programme

5.1.1. The doctoral candidate establishes an individual study programme relevant to his or her research and plans for the future, and attends courses with the aim of broadening his or her knowledge and acquiring transferable scientific skills that will be of use not only during the doctoral research project but also in his or her subsequent professional career. This study programme includes a mandatory component relating to research ethics and scientific integrity. Great importance is placed on laying the foundations for a future career in accordance with the doctoral candidate's intentions, which may become clearer during the course of doctoral education.

5.1.2. The Doctoral School and Sorbonne University's Doctoral Institute offer cross-disciplinary and specialized courses, and organize activities and initiatives to assist doctoral candidates in their career preparations. Thesis supervisors and the Doctoral School have a responsibility in helping doctoral candidates to establish their individual study programme. The thesis supervisor undertakes to ensure that those under his or her responsibility have the time to attend courses and to contribute to the life of their research unit and the life of the Doctoral School.

5.1.3. The doctoral candidate undertakes to attend the courses in which he or she has asked to be enrolled and to take part in workshops and information days organized by the University and the Doctoral School. His or her research schedule must be organized accordingly.

5.1.4. The doctoral candidate maintains a detailed record or portfolio of the activities in which he or she has taken part, including courses, scientific outreach and technology transfer; this document is intended to exhibit the capacities and skills acquired as part of doctoral training.

5.2 The individual monitoring committee

5.2.1. A doctoral candidate's individual monitoring committee makes sure that the doctorate is progressing smoothly.

It is the role of this committee to monitor the doctoral candidate. The committee checks that doctoral education is proceeding as intended and on course to be completed in the allotted time, with reference to the present Charter and the individual study agreement. It interviews the doctoral candidate to assess his or her situation in relation to education and progress made in his or her research.

The candidate's career plans are discussed, and the committee checks that his or her study programme is well adapted to the current research project and to those career plans. It makes sure that the candidate has sufficient awareness concerning issues of research ethics and scientific integrity.

The committee looks out for any indications of conflict, discrimination, or harassment, and where necessary alerts the appropriate bodies in order that the problem be addressed. The committee is not involved in the supervision of the candidate's research work.

5.2.2. The membership, organization and operation of the committee are established by the Internal Regulations of the Doctoral School that are agreed by a vote of the Board of the Doctoral and approved by the UTC Board. The committee must have at least two members. The Doctoral School seeks to ensure the independence of the members of the monitoring committee in relation to the thesis supervisor.

5.2.3. The monitoring committee is convened at least once a year up to the doctoral candidate's final registration. Each meeting of the committee must include a face-to-face talk between the committee members and the candidate. The thesis supervisor gives the monitoring committee his or her opinion regarding the progress of the candidate's doctoral education. In addition to the meetings that are scheduled at the start of doctoral education, the doctoral candidate or the thesis supervisor may at any time ask the Doctoral School to convene the monitoring committee. The Doctoral School may also request additional meetings of the monitoring committee in cases where it considers that they may be useful.

5.2.4. The monitoring committee formulates recommendations and sends a report of the meeting with the doctoral candidate to Director of the Doctoral School, to the candidate, and to the thesis supervisor. This report is mandatory for the doctoral candidate to be able to re-register.

5.3 Duration of doctoral education – temporary suspension

5.3.1. Doctoral education within the Doctoral School, as a general rule, require what amounts to three years' full-time work devoted to research. In other cases their duration cannot exceed six years.

5.3.2. In exceptional circumstances a doctoral candidate may request a temporary suspension of his or her doctoral education, explaining his or her reasons. The maximum duration of suspension is one year, indivisible, and no more than one period of suspension can be granted to any doctoral candidate. Temporary suspensions are granted by the UTC Director on the recommendation of the thesis supervisor and the Director of the Doctoral School. The period of suspension is not counted in the duration of doctoral education.

Doctoral candidates in receipt of specific funding towards their doctorate must obtain the agreement of their employer and the funding organization in order to temporarily suspend their doctoral education. The employment contract is suspended during the period of suspension.

During the suspension the doctoral candidate suspends his or her education and research. Rules and obligations relating to the confidentiality of research continue to apply throughout the suspension. Doctoral candidates must respect these obligations and be vigilant in protecting any intellectual property rights that relate to their work.

5.3.3. Failure by the doctoral candidate to respect his or her undertakings can lead to the termination of his or her doctoral education and, where applicable, of his or her employment contract according to the terms and conditions contained therein. The termination of doctoral education is pronounced by the Director of Université de technologie de Compiègne on the recommendation of the thesis supervisor and the Director of the Doctoral School.

Where the thesis supervisor has failed to respect his or her undertakings, the Director of the Doctoral School may recommend to the Director of Université de technologie de Compiègne that the doctoral candidate be assigned a different supervisor.

Article 6: The defence

The defence must take place at the latest during the year of the last registration allowed. The thesis is assessed by an expressly created, gender-balanced examination committee. The make-up of the examination committee and the rules governing the appointment of members are set out in the Ministerial Order of 25 May 2016 relating to doctoral education and in the Internal Regulations of the Doctoral School. Members of the committee are chosen for their scientific or professional expertise in the field of research concerned.

In its deliberations the examination committee considers the scientific quality of the candidate's research, the extent to which it is original and innovative, and the candidate's ability to place this research in its international scientific context. It deliberates with all the impartiality and neutrality that a reasoned assessment of the research demands. The examination committee is the guarantor of the scientific excellence of the doctorate.

At the end of the defence and in case of admission, the doctor takes an oath, individually committing herself or himself to respect the principles and requirements of scientific integrity in the course of her or his professional career, whatever the sector or the field of activity. The Doctors' Oath of Scientific Integrity is as follows:

"In the presence of my peers.

With the completion of my doctorate in [doctoral speciality], 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, to my methods and to my results".

Article 7: Follow-up of doctoral graduates

Université de technologie de Compiègne undertakes to keep doctoral candidates informed about career opportunities to which they might reasonably aspire after completing their doctoral education. To this end the University conducts surveys and communicates the results to doctoral candidates.

Université de technologie de Compiègne doctoral graduates undertake to provide information about their career moves for a number of years after their defence. They agree to respond to questionnaires sent to them and to notify their changes of address.

Article 8: Mediation and conflict resolution

8.1. Where there is a dispute or a disagreement, the doctoral candidate or thesis supervisor is encouraged to get in touch as early as possible with the Director of the Doctoral School, who can invite him or her for a confidential interview. It is the role of the Director of the Doctoral School (or of another person invited by the Director of the Doctoral School to deputize for him or her in this role) to promote calm discussion and to seek a suitable outcome that is acceptable to all parties.

8.2 The doctoral candidate or thesis supervisor may also ask someone from UTC, in an individual capacity, to bring his or her experience and judgment – in ethical matters or in questions of secularism or scientific integrity – to bear on the conflict. Provided that both parties agree, he or she will bring them together with the aim of re-establishing a calm dialogue between them or of drafting a report to be sent to the UTC Director.

8.3. If the conflict cannot be resolved either by the mediator or by the Doctoral School, the Director of the Doctoral School or either of the parties may bring it before the Conflict Resolution Commission.

This Commission represents doctoral candidates and thesis supervisors in equal measure; it considers carefully the points of view of each party, formulates recommendations, and presents advisory opinions to the UTC Director, who where applicable decides the action to be taken.

The membership and operation of this Commission are set out in the Internal Regulations of the Doctoral School.

Article 9: Dissemination, value creation and intellectual property

The thesis supervisor and the director of the research unit guide the doctoral candidate to ensure that the best possible use is made of his or her work.

9.1. Within the limits of his/her confidentiality agreements, the doctoral candidate is encouraged to attend the scientific events organised by the Doctoral School, during which each candidate has the opportunity to present his or her work. The director of the research unit will enable the doctoral candidate to attend national or international events under the same conditions as the permanent members of the unit.

9.2. In the doctoral candidate's publications and daily work, he or she undertakes to remain informed about and to abide by the various laws and rules in force, in particular those concerning the protection of personal or health data and the possession of human biological material or genetic resources, governed by the Nagoya Protocol.

9.3. The doctoral candidate undertakes to refrain from any communication or publication without first obtaining the consent of his or her thesis supervisor. Doctoral candidates must include Université de technologie de Compiègne's normalized signature on all publications, in compliance with the guidelines that are in operation.

9.4. The doctoral candidate must be named among the authors of all publications directly related to his/her work, even after the thesis defence. These publications must be freely available, and as widely as possible. They are to be placed in an open archive, and in particular HAL (*Hyper Articles en Ligne*).

9.5. The doctoral candidate is bound by an obligation of secrecy with respect to third parties. He or she undertakes to preserve the confidentiality of research results obtained, and of all information, know-how and equipment encountered in his or her research project, in his or her time spent in the research unit, and in work done jointly with other organizations or companies. This undertaking lasts until the information, know-how and equipment become part of the public domain.

9.6. Where the candidate's research give rise to results likely to produce value, an invention declaration will be made, listing the doctoral candidate as one of the contributors. If a patent application is registered, the doctoral candidate will be named as an inventor – or as an author, in the case of software registration. The percentage contribution of each person listed in the invention disclosure is determined jointly by the contributors.

9.7. Since different disciplines use different criteria in assessing the quality of research, it is for the director of each research unit to set out what the scientific community expects of doctoral candidates in the field or discipline concerned, in particular with regard to publications, conference communications, intellectual property (patents, software, brands, etc.) and industrial report, and to communicate this information to the Doctoral School.

Final provisions – signature

The doctoral candidate, the thesis (co-)supervisor, the director of the research unit, the Director of the Doctoral School, the Director of Université de technologie de Compiègne and, where appropriate, the head of the institution in which the research may be carried out, declare via their signature on the candidate's registration application that they have read and taken note of the various provisions of the Doctorate Charter implemented at Université de technologie de Compiègne in application of the Ministerial Order of 25 May 2016 establishing the framework for doctoral education and the conditions for the awarding of doctorates in France, approved by the Université de technologie de Compiègne Board (*conseil d'administration*) on 15 December 2022 on the recommendation of the University's Scientific Advisory Committee.

They undertake to abide by the clauses of the Charter.