



DOCTORAL CHARTER

Passed during the October 10th 2022 council session of the Collège Lorrain des Ecoles Doctorales (CLED – Lorraine
College Board for Doctoral Studies)
Favourable opinion by the Scientific Council of the Université de Lorraine on October 18th 2022
Passed by the Executive Board on November 08th 2022

Main legislative and regulatory sources governing the doctorate:

Education Code and notably article L612-7;
Decree no. 2009-464 of 23rd April 2009 relating to contractual PhD students (PhD student employed on a fixed term contract to undertake a doctorate as opposed to being funded as a student) from state higher education and research institutions, amended by Decree no. 2016-1173 of 29th August 2016.

Order of 25th May 2016 defining the national framework for training and the methods leading to the delivery of the national doctoral degree, amended by Order of 26th August 2022.

The 31st August 2022 note from the French Office for Scientific Integrity on the doctoral oath of scientific integrity.

SURNAME(S) and FIRST NAME(S) of the PhD STUDENT:

The doctoral charter defines the reciprocal commitments of the thesis supervisor, the PhD student and the research unit. Its aim is to guarantee the high scientific quality of the thesis and the excellence of the support and training of the PhD student, over the entire doctoral period.

As soon as he or she registers, the PhD student signs this charter with the thesis supervisor and, if required, the thesis co-supervisor.

It is signed at the time of the first enrolment of the PhD student, by all the parties involved in the doctorate: PhD student, thesis supervisors, heads of research unit, heads of public institutions, and when applicable, heads of public industrial and commercial institutions with research missions in private training or research institutions, private research foundations, private companies and administrations.

The Université de Lorraine, in the context of its education and training mission, welcomes and trains PhD students. The Université de Lorraine commits to ensuring that the doctorate preparation combines high level training and professional research activity.

The doctoral school, in partnership with the host research unit(s), ensures a support and training mission. The doctoral training is training in and via research and a professional research experience.

The director of the research unit and the head of the doctoral school ensure that the rights and obligations set out in this charter, for which the university is the guarantor, are adhered to, following approval from the research unit and the doctoral school board.

An individual training agreement is concluded between the PhD student, the thesis supervisor and, if required, the thesis co-supervisor. This contract is in accordance with article 12 of the Order of 25th May 2016 and specifies the hosting conditions on the part of the doctoral school and the host research unit.



Article 1 - THE DOCTORATE, A SCIENTIFIC AND PROFESSIONAL PROJECT

Preparing for the doctorate is done in a research environment and must be within the context of a clearly defined project in terms of the means and goals, as well as its demands. It implies clarity in the objectives pursued and the means implemented to achieve them. The doctorate is a professional research experience.

For each PhD student's enrolment, as of the first year, the thesis supervisor and the monitoring committee, assess the progress of the project and propose required adjustments. The doctoral school and the research unit also ensure monitoring according to the methods specific to each of them and which are evoked in the individual training agreement.

The PhD student receives information on the academic and extra-curricular opportunities in his or her area which should help him or her to build his or her professional project. The PhD student specifies, as early as possible, the professional direction that he or she is considering. In order to ensure that information on the opportunities is provided to future PhD students from the laboratory, all doctors must inform their thesis supervisor (and, if required, the thesis co-supervisor) as well as the head of the doctoral school, of their professional situation for a period of five years after obtaining the doctorate. The processing of this data on professional life will be done in accordance with the French amended Act no. 78-17 of 6th January 1978 relating to information technology, data files and civil liberties.

Article 2 – THE SUBJECT

Doctoral enrolment implies that the subject, the context of the thesis and the host team have been defined.

The subject of the thesis leads to the undertaking of a work that is both original and educative, the feasibility of which is within the time period provided by the Order of 25th May 2016. The choice of thesis subject relies on the agreement between the PhD student and the thesis supervisor, and, if required, the thesis co-supervisor(s) and is formalised at enrolment. The thesis supervisor, and, if required, the thesis co-supervisor(s) called upon due to recognised expertise in the relevant research field, must help the PhD student to bring out the innovative nature of the subject in a scientific context and ensure it is up-to-date. He/She/They must also ensure the PhD student is motivated.

Article 3 – THE FUNDING AND MEANS

3.1 Funding

Pursuant to the Order of 25th May 2016, the head of doctoral school ensures that the PhD student has the means of subsistence required to undertake the doctorate.

During enrolment on the doctorate, the PhD student's funding means are established according to the practices in force in the doctoral school that he or she depends upon.

The thesis supervisor and, if required, the thesis co-supervisor(s), the host laboratory director and the head of the doctoral school inform the candidate on the possible resources and their time period for the preparing of the thesis (doctoral contract, regional, industrial, voluntary sector funding, salaries, etc).

3.2 Means

The means allowing the work to be carried out and the methods for its implementation are defined in the individual training agreement. The PhD student is fully a part of his or her host laboratory or unit. The research unit director guarantees that the PhD student has access to the same facilities as the other researchers from the unit to accomplish his or her research work (equipment, means, notably computing, documentation, seminars and conferences, transport).

The PhD student is subject to the same obligations as the members of the laboratory. He/she must be aware of the internal regulations of the laboratory, if they exist. In particular, he/she commits to respecting the instructions regarding diligence, discipline, ethics, professional secrecy, health and safety and being in order in terms of the laboratory (equipment, keys, etc.). The thesis supervisor and the laboratory director will do everything possible to promote the use of a laboratory notebook within the relevant disciplines. The laboratory notebook is the property of the laboratory and cannot be removed from its



premises whatever the reason. The PhD student will, for the purposes of writing his or her thesis, be able to obtain a copy of the laboratory notebook.

The thesis supervisor(s) is/are advised to encourage the PhD student to get involved in the laboratory life and take part in the tasks and responsibilities of the research unit which can be of a group and/or educational nature. The thesis supervisor(s) will ensure that these tasks are a part of the doctoral project.

In the event of co-supervision of a student, the laboratory director commits to providing the PhD student with proof of this activity.

Article 4 - THE DOCTORAL TRAINING

The PhD student must adhere to the doctoral school rules as defined in the individual training agreement and in the internal regulations where they exist.

The thesis supervisor(s) will inform the PhD student of the options for undertaking teaching, development or expertise tasks throughout his or her doctorate. If he/she is a contractual PhD student, he or she must comply with the specific obligations provided by Decree no. 2016-1173 of 29th August 2016 amending the Decree no. 2009-464 of 23rd April 2009 relating to contractual PhD students from state higher education and research institutions.

In order to deepen and widen his or her field of expertise, disciplinary and cross-disciplinary courses will be offered to him/her in accordance with the training plan defined in the training agreement. The thesis supervisor and the co-supervisor must advise him or her and facilitate participation in these courses. The courses validated by the doctoral school will be able to be highlighted in the PhD student's portfolio. The university provides various other training tools like training tools on identifying skills and mock interviews to make pursuing a career easier.

One or more placements in a company and/or external laboratory may be added to this range of additional courses.

Article 5 – THE THESIS SUPERVISION, MONITORING AND PROCESS

The conditions of supervision are set out in article 16 of the Order of 25th May 2016. When the thesis co-supervisor does not meet those conditions, he/she may benefit from an Authorization to Co-Supervise Theses (ACT) by decision of the head of the institution and following the recommendation of the scientific council.

5.1 Roles and commitments of thesis supervisors

They are responsible for the research project and its monitoring. As experienced researchers, they are required to build and nurture a constructive and supportive scientific relationship in a way that will guarantee a successful knowledge transfer and development of the PhD student's career. Right from the preliminary discussions, he/she must also help the PhD student to specify his/her research topic and prompt him/her to think about the elements that will eventually help filling out the individual training agreement, including the complementary trainings that he/she will attend during the doctorate. The latter must also be in relation to the PhD student's future career plan. By accepting the position of thesis supervisor (and the possible thesis co-supervisor), they commit to:

- Personally supervising the PhD student and devoting a significant part of their time to him/her; Before enrolment as a PhD student, the supervisor must inform him/her of the number of PhD students who are currently under his/her supervision and responsibility;
- Providing appropriate individual monitoring, holding regular working meetings with the PhD student under their responsibility to analyse the project progress and define possible new directions that he/she could take in light of the results obtained. The thesis supervisor has the duty to inform the PhD student of the positive appraisals and the objections and criticisms that his or her work may give rise to;
- Helping the PhD student to acquire the necessary research methods, tools and approaches for a successful appropriation of the thesis subject, the proper conduct of the thesis and the completion of the research project;
- Ensuring that the PhD student's work complies with the deontology rules, scientific integrity and research ethics;



- Ensuring that the PhD student have access to the necessary conditions and means for him/her to successfully complete his/her research project;
- Directing the PhD student, as being his/her first contact person, to other university bodies and services where necessary;
- Actively contributing to the structuring of articles, resulting from doctoral work in which the PhD student takes part as author or co-author (by paying special attention to the valorization of research results as first author, including after thesis defence). These articles will be submitted for publication in peer-reviewed journals or proceedings;
- Encouraging the PhD student to participate in activities to promote and relay the research work and findings across local, national, and international events;
- Helping the PhD student to integrate into the wider academic and professional community, i.e., that goes beyond his/her research field and area of specialization;
- Ensuring the intellectual and personal well-being of the PhD student within his/her working environment. Not making comments or behaving in a way that may appear inappropriate and maintaining professional boundaries in the PhD student / supervisor relationship.

5.2 Roles and commitments of the PhD student

The preparation of a doctorate is part of a training program that consists in training towards and through research. It implies the realization of a personal and professional project clearly defined in its aims and requirements.

By enrolling in a doctorate, the PhD student commits to:

- Getting acquainted with the conditions under which he/she will complete his/her doctorate;
- Completing the research project in due time by adopting an appropriate time and pace of work (also adapted to his/her status), by putting in the necessary rigor and by proposing new ideas, methods or techniques;
- Informing the thesis supervisor as well as the head of the research unit and doctoral school of any obstacles he/she may encounter in the progress of his/her research work;
- Submitting to the thesis supervisor any progress notes and interim reports that would allow him/her to assess the project's progress;
- Complying with deontology rules, scientific integrity and research ethics;
- Presenting his/her research work and results during events organised within his/her research team/unit and outside of it;
- Publishing doctoral work only upon prior agreement of his/her supervisor and respecting the confidentiality agreements imposed by contractual commitments made to external partners;
- Remaining in charge of his/her own thesis and therefore gaining scientific autonomy as the project progresses so that the defended thesis shows his/her capacity to produce original scientific research.

5.3 The individual monitoring Committee

An individual PhD student monitoring committee ensures the course progresses properly by relying on the doctoral charter and the training agreement. It assesses, in an interview with the PhD student, the conditions of his/her training and the progress of his/her research. It formulates recommendations and sends a report of the interview to the head of the doctoral school, the PhD student and the thesis supervisor.

Notably, it endeavours to prevent any form of conflict, discrimination or harassment and must address with the PhD student his/her working conditions in their broadest sense

The way in which the committee is formed, organised and operates is established by the doctoral school board. The members of this committee do not take part in the supervision of the PhD student's work.

Article 6 – THE LENGTH OF THE DOCTORATE

The guideline length for preparing a thesis is three years full time dedicated to research and six years maximum part time.

All PhD students must be registered at the start of each university year, except in certain cases of an intermission.

6.1 The intermission



In accordance with the Order of 25th May 2016, the PhD student can request to temporarily suspend his or her research for a maximum period of one year, not counted as part of the doctorate time period although the PhD student remains enrolled during the intermission period. The procedure for requesting intermission can be viewed in the institution or attached doctoral school. The different stakeholders must ensure that this year is not just an intermission in the training but also in the PhD student's research activity. The institution must ensure that no pressure is placed for this intermission year to be used for undeclared work. Moreover, it must also ensure that the thesis supervisor does not make the intermission year a standard part of the running of the doctorate.

6.2 The extension

When the thesis is not defended at the end of the anticipated guideline period, the PhD student must request an exceptional enrolment for each additional year.

Any special re-enrolment request must be justified and accompanied by a document summarising the progress of the work, specifying back-planning and giving a provisional defence date. This document must be signed jointly by the thesis supervisor and co-supervisor. The special re-enrolment is authorised by the head of the institution, at the proposal of the thesis supervisor and following the opinion of the thesis monitoring committee and the head of the doctoral school.

The extension must not substantially alter the nature and quantity of the research work as was defined initially.

In the event of an extension of the doctorate, the funding of the PhD student will occur in accordance with the clauses in place in the doctoral school upon which he or she depends.

6.3 The withdrawal

The doctoral school must promptly be notified of the early termination of a doctorate by the PhD student and his/her thesis supervisor.

Article 7 – THE THESIS DEFENCE

The authorisation of the thesis defence before the third enrolment is subject to a decision from the head of the institution following the advice of the head of the doctoral school and subject to a proposal from the thesis supervisor, at the justified request of the candidate.

To be able to defend the thesis, the PhD student must have confirmed the amount of training required by the associated doctoral school. All PhD students must account for training in ethics and scientific integrity. Equally, he/she provides paper copies to the members of the panel, when they have requested it. The institution therefore ensures the printing of the thesis from a digital medium.

The thesis supervisor and the thesis co-supervisor suggest, to the head of the institution, via the head of the doctoral school, the make-up of the panel and the thesis defence date in accordance with the regulatory procedures in force in the institution at which the student is enrolled.

With reference to the 4th December 2012 and 13th October 2015 decisions of the Scientific Council of the Université de Lorraine, thesis defences have to take place on the premises of the Université de Lorraine, or in institutions belonging to the Lorraine CORIS (Comité de Coordination et d'ORIENTATION Scientifique - Scientific Coordination and ORIENTATION Committee) that link together the Université de Lorraine and the actors of public research in Lorraine: INRIA, INRAE, CNRS, INSERM and CHRU of Nancy).

Article 8 - RESPECTING COPYRIGHT – THE RIGHT OF QUOTATION

In accordance with article L.122-4 of the Intellectual Property Code, any partial or whole representation or reproduction undertaken without the consent of the author or his/her beneficiaries or assignees is illegal. The same applies for translation, adaptation or transformation, arrangement or reproduction by any technique or process. In addition to the cases of article L.122-5 of the Intellectual Property Code, the PhD student must apply for the necessary authorisations from authors and their beneficiaries.



When images or figures are reproduced, the PhD student will submit a request to the author or his/her beneficiaries.

Following the presentation of work giving rise to an assessment, "academic plagiarism" consists of presenting as one's own, work that is wholly or partially comprised of the texts of another, while omitting, deliberately or through negligence, citations for their references.

The illicit reproduction of a protected work can take the following forms:

- Recopying all of the content of a completed model (whatever the medium), presented as your own;
- Reproducing, via copy-paste or any other process, all or a part of existing documents, without citing the sources;
- Paraphrasing (summarising in very similar terms) or repeating the formal structure of existing original works¹;
- Translating a text without reference to the original source.

As far as this concerns behaviour presumed to be misleading and not allowing the actual competencies, the analytical capacity or the development of the PhD student's personal work to be measured, suspected plagiarism² can give rise to disciplinary proceedings for fraud under the conditions provided by articles R712-9 et seq. of the Education Code.

Article 9 – THE CONFIDENTIALITY

Due to his or her participation in the activities of the laboratory, the PhD student will be required to have knowledge of information relating to research projects (especially industrial) which are being developed there. The PhD student commits to considering, and keeping as strictly confidential, the information, results and knowledge of whatever nature it may be that he or she could gather, until it has been made accessible to the public through no fault of his or her own, by direct disclosure (publication, oral presentation, etc.), by protection in terms of intellectual property or by any other form.

This confidentiality is extended to all the research activities of the other university laboratories of which the PhD student may have knowledge.

This overall confidentiality requirement from the PhD student shall remain in force throughout the duration of his or her thesis and for five (5) years following the end of the thesis, subject to contrary applicable stipulations, notably in the event of a partnership with third parties.

Article 10 – THE INTELLECTUAL PROPERTY – THE PUBLICATION AND PROMOTION/UTILISATION OF THE THESIS

10.1 Intellectual property

Throughout their course, the PhD student will benefit from professorial, scientific and technical support from the University and will have access to knowledge and expertise from it. In this environment, he or she may obtain results subject to intellectual property rights (such as, but not limited to, expertise, patents, software, databases, copyrights, etc.). In this case, the PhD student, in partnership with his or her thesis supervisor, will approach the Promotion/utilisation and Copyright department of the University as soon as possible.

10.2 PhD student inventor or author remuneration procedures

10.2.1 Employed PhD students

The employed or equivalent PhD student shall be subject to the legal regime on the use of inventions/works of employees provided for by French Intellectual Property law.

10.2.2 Non-employed PhD Students

¹Council of State, 23rd February 2009, "Mme B-R" (Mrs B-R), Appeal No.310277

²Suspected plagiarism can also give rise to legal proceedings from "plagiarised" authors, as plagiarism can be understood as an infringement offence (violation of copyright) and is punishable by civil or criminal law.



The results obtained by a PhD student who is not employed (or equivalent) will be managed as follows: the works and inventions obtained by the PhD student belong to him or her. In the case of works and inventions obtained by the PhD student with third parties (other researchers from the laboratory, etc.), they will be subject to co-ownership.

If after contact with the Promotion/Utilisation and Copyright department of the University as provided for in article 10.1.1 here-above, the University expresses its interest, the parties will negotiate, in good faith, the conditions for the promotion/utilisation of said results in the best joint interests of the PhD student who is not employed (or equivalent) and the University, as required as part of a rights assignment.

10.2.3 *Inventor's Right / Author's Right*

In any event, if the PhD student can be recognised as an inventor or author under the meaning of the Intellectual Property Code, his or her name shall be mentioned in this regard on the title of the intellectual property concerned and/or publications.

10.3 Publication

Considering the importance of the publications, patents and industry reports coming from the work, the thesis supervisor (and, if required, the thesis co-supervisor), must encourage the PhD student to publish throughout his or her thesis, and more generally to ensure the circulation of his or her work, notably via taking part in symposia, seminars, etc. However, if the information contained in a publication or presentation project must be subject to protection in terms of intellectual copyright (notably patents, a declaration to the software protection agency, etc.), it is advisable that the publication (or presentation) is able to be delayed for a period defined beforehand, in consultation with the thesis supervisor and the Promotion/utilisation and Copyright department of the University. Any publication or communication shall respect the procedure in place within the University.

The PhD student will be mentioned as the author or co-author of any publication mentioning his or her thesis works.

10.4 Right of the disclosure of the work

It is advisable that the PhD student is committed, in accordance with the publication affiliation methods in place in the University to:

- not publishing anything on his or her thesis work without consultation with his or her thesis supervisor
- respecting the confidentiality conditions which have been imposed on him or her and the usual consultation practices with possible external partners, or the rules established contractually when the funding of the thesis is ensured in part by a partner.

10.5 Laboratory notebook

The thesis supervisor and, if required, the thesis co-supervisors will put in place all the means to ensure the promotion of the use of laboratory notebooks by the PhD student, which will ensure the traceability of the work. Following the thesis, the laboratory notebook shall remain the property of the University. The PhD student will be able to receive a copy of it.

Article 11 – THE MEDIATION PROCEDURES

An individual PhD student monitoring committee ensures the smooth running of the course and notably prevents any form of conflict, discrimination or harassment. It can play a mediation role and must therefore inform the director of the laboratory and the head of the doctoral school of any potential or stated conflict.

Any persistent conflict between the PhD student and the thesis supervisor (and, if relevant, the thesis co-supervisor), shall be brought to the attention of the laboratory director, who will strive to solve it.

If the conflict persists, the PhD student, the thesis supervisor (or the thesis co-supervisor(s)), or the laboratory director refer it to the head of the doctoral school. The head will call on a mediator who, without taking away his or her responsibilities, listens to the parties and offers a solution that is acceptable to all. The mission of mediator implies impartiality.

In the event mediation fails, the PhD student or one of the other signatories of this charter can request, from the Head of the Institution, for the nomination by the Scientific Council of a mediator coming from the university community, possibly from



outside of the institution. Finally, a final recourse can be made with the Head of the Institution authorised to take all the recommendations required in order to resolve the conflict between the thesis supervisor (and, where relevant, the thesis co-supervisor) and the PhD student. As a last resort, the Head of the Institution is authorised to designate, with the agreement of the PhD student, a new thesis supervisor.

Contractual PhD students can appeal to the Joint Advisory Committee for Non-Permanent Staff (CCP-ANT) *for any reason concerning the application of a work contract.*

In all these processes, the PhD student can be supported by a member of the institution, chosen by him/her.

Article 12 – THE SUBMISSION AND THE DISTRIBUTION OF THE THESIS

The provisions of the Order of 25th May 2016 relating to the submission, description, distribution and conservation methods of theses or works presented via a thesis defence in preparation for the doctorate apply.

At the time of the thesis defence, the PhD student commits to submitting his or her definitive thesis in accordance with the aforementioned provisions and methods in place in the institution at which he or she is enrolled.

The thesis manuscript is written in French in accordance with the law, except in the case of a joint internationally supervised doctorate (cotutelle). However, in the event that the PhD student is not a French speaker or the PhD student is a French speaker but one of the examiner report writers is not a French speaker, the thesis manuscript can be written and the thesis presented in a foreign language, following the agreement of the head of the doctoral school and the Vice Chair of the Scientific Council. In this case a 5 to 10 page French abstract of the manuscript is required. In the event a doctorate is carried out via international joint supervision (cotutelle), the language in which the thesis is written is therefore defined by the international cotutelle agreement concluded between the contracting institutions.

When the distribution is authorised, the methods are defined by the institution at which the student is enrolled.

Article 13 – GENERAL PROVISIONS ON SCIENTIFIC INTEGRITY

The Université de Lorraine promotes PhD students' research work in compliance with scientific integrity and research ethics requirements. PhD students have access to training in the principles and requirements of research ethics and scientific integrity. They commit to respecting them during the whole duration of their doctorate. The Université de Lorraine, the heads of the doctoral schools, the thesis supervisors, the heads of the research units and each person supervising or participating in the work of the PhD student, undertake to encourage and support this commitment.

At the end of the defence, and in case of admission, the new doctor takes an oath, individually committing to respect the principles and requirements of scientific integrity during his/her entire professional career, whatever the sector or field of activity.

The doctor's oath related to scientific integrity reads as follows:

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 14 - MISCELLANEOUS AND TRANSITIONAL PROVISIONS

The CLED (Collège Lorrain des Ecoles Doctorales) Board shall examine the possible modification proposals of the present Doctoral Charter every year. These modification proposals shall give rise to a vote by the boards of the doctoral schools.