

# DOCTORAL CHARTER

Having regard to the decree of 25 May 2016 establishing the national framework for training and the procedures leading to the award of the national doctoral degree, as amended by the decree of 26 August 2022;

Having regard to the decree of 1 December 2022 amending decree no. 2014-1673 of 29 December 2014 approving the statutes of the Normandy University community of universities and institutions and the joint award of doctoral degrees with co-accredited institutions;

Having regard to the decision of 19 February 2024 of the Academic Council of Normandie Université;

Having regard to the decision of 25 January 2024 of the Research Commission of the University of Caen Normandy;

Having regard to the decision of 22 February 2024 of the Research Commission of the University of Le Havre Normandy;

Having regard to the decision of 12 January 2024 of the Research Committee of the University of Rouen Normandy;

Having regard to the decision of 25 January 2024 of the Scientific Council of INSA Rouen Normandy;

Having regard to the decision of 20 February 2024 of the Scientific Council of ENSICAEN;

Having regard to the decision of 14 May 2024 of the Research Committee of ENSA Normandie;

Having regard to the charter relating to the submission and dissemination of theses at Normandy University, dated 28 November 2016.

This doctoral charter sets out the principles established by the Community of Universities and Institutions (ComUE) Normandie Université and by the co-accredited institutions responsible for awarding the national doctoral degree. Doctoral students are enrolled in a member institution of Normandie Université.

The terms "doctoral student", "thesis supervisor" and "doctor" used in this charter are generic and refer respectively, to the doctoral student, the supervisor(s), or co-supervisor(s), and the doctor.

## ARTICLE 1 – PURPOSE OF THIS DOCTORAL CHARTER

The preparation of a thesis is based on an agreement freely entered into between the doctoral student and the thesis supervisor at the time of the recruitment of the young researcher in training, and, more generally, with all those involved in a doctoral training project. This agreement specifies the precise definition of the subject and the working conditions, including financial arrangements, necessary for the advancement of the research.

The research work assigned to the doctoral student is carried out, in whole or in part, within a research unit attached to the doctoral school in which they are enrolled. The research work may also take place in public industrial and commercial establishments with research missions, private training or research institutions, private research foundations, private companies, or government departments. In all cases, the conditions for conducting the research work and preparing the doctoral thesis are specified in a training agreement, as described in the decree establishing the national training framework and the procedures leading to the award of the national doctoral degree in force.

The doctoral charter formalises the mutual commitments of the doctoral candidate, the thesis supervisor, the head of the research unit, the head of the doctoral school, and the institution in which the doctoral candidate is enrolled. It is signed by all parties at the time of the doctoral candidate's enrolment.

The various partners involved in this charter are:

- The doctoral student, who undertakes to use all means at their disposal to carry out the research project previously defined and to undertake the training necessary for their research work and the pursuit of their professional objectives;
- The thesis supervisor, who has scientific responsibility for the work, supervises it, and ensures that the doctoral student is able to follow the training courses offered by the doctoral school and the College of

Doctoral Schools (CED);

- The management of the research unit (or the research team for research entities in the private sector or public administration) within which the doctoral student is conducting their research, which ensures the doctoral student's smooth integration into the unit and the quality of the working conditions necessary for the completion of the research undertaken;
- The doctoral school, supported by Normandie Université, which brings together research units hosting doctoral students around a doctoral training programme. It is involved in their recruitment, organises their training, prepares them for their future careers, and ensures compliance with the provisions of this charter;
- The institution at which the doctoral candidate is enrolled.

The provisions of the doctoral charter do not apply retroactively. The provisions of doctoral charters that are no longer in force also do not apply.

## **ARTICLE 2 – DOCTORAL TRAINING: PART OF A PERSONAL AND PROFESSIONAL PROJECT**

Preparing for a PhD must form part of a personal and professional project with clearly defined goals and requirements. It involves setting clear objectives and determining the means to achieve them.

Doctoral students must receive information on all career opportunities in their field. National statistics on the future careers of young PhD graduates, as well as information on the professional trajectories of PhD graduates trained in their research unit and doctoral school, are provided to them by the management of the doctoral school.

In order to enable future doctoral students to obtain reliable and up-to-date information on their career prospects, all graduating doctoral students must inform their thesis supervisor and the director of their doctoral school of their professional plans for a minimum period of five years after obtaining their doctorate. Doctoral graduates also undertake to respond to questionnaires sent by Normandie Université, to notify [enquetedocteurs@normandie-univ.fr](mailto:enquetedocteurs@normandie-univ.fr) of any changes to their email address and telephone number during this period, and to provide and update information for the directories of doctoral graduates maintained by their doctoral school, the Normandie Université doctoral school college (CED), and their institution of enrolment.

The institution where the doctoral student is enrolled will endeavour to maintain an active email address for all its former doctoral students for several years after the award of the doctorate.

Enrolled in a doctoral school, doctoral students must comply with the regulations in force and, in particular, participate in the courses, lectures, and seminars offered. The pursuit of the doctoral student's chosen career path must be discussed with their thesis supervisor and supported by the doctoral school throughout their doctoral training. To broaden their field of expertise, additional training courses are made available. However, it is the student's responsibility, with the support of the doctoral school and their individual monitoring committee (CSI), to define and implement a strategy that will facilitate their future professional integration. This may include participation in seminars or any other training offered by the CED at Normandie Université.

## **ARTICLE 3 – THE SUBJECT AND FEASIBILITY OF THE DOCTORAL PROJECT**

The research subject, the context of the thesis, and the host unit are specified upon enrolment in the doctoral programme.

The research topic should lead to work that is both original and educational, and that can be completed within the planned timeframe. The choice of research topic is based on agreement between the young researcher and the thesis supervisor. The thesis supervisor, chosen for their recognised expertise in the relevant field, must help the doctoral student identify the innovative aspects of the subject within the scientific context and ensure that it is relevant to current issues. They must also ensure that the doctoral student demonstrates initiative and creativity in the conduct of their work.

Prior to the start of the PhD programme, the thesis supervisor and the director of the research unit must define the resources required to carry out the work and ensure access to them. To this end, the PhD student is integrated into their host unit as a full-fledged researcher.

Unless otherwise requested by the doctoral student and the thesis supervisor, and justified and accepted by

the competent authorities (institutions, doctoral schools, etc.), the subject of the doctoral research in preparation is published on the national thesis portal (theses.fr).

## ARTICLE 4 – SUPERVISION, MONITORING, AND PROGRESS OF THE DOCTORAL PROJECT

Doctoral students are entitled to individualised supervision from their thesis supervisors, who undertake to devote a substantial amount of their time to them.

Doctoral students may request information from the doctoral school regarding the number of theses currently being supervised by their thesis supervisor. This is because a thesis supervisor can only effectively oversee a limited number of young researchers at any one time if they are to provide each project with the attention it requires. The maximum number of doctoral students that a thesis supervisor may supervise is determined by the Academic Council of Normandie Université on the recommendation of the relevant doctoral school (this number is specified in the internal regulations of each doctoral school).

The doctoral student commits to a specific timeframe and work schedule. They have a duty to provide regular updates to their thesis supervisor and doctoral school regarding the progress of their doctoral training and any difficulties encountered. To this end, they undertake to submit to their thesis supervisor as many progress reports as their subject requires and to present their work in laboratory seminars. They also undertake to submit an annual report and an end-of-contract report in accordance with the internal regulations of their doctoral school.

The thesis supervisor undertakes to monitor the progress of the work on a regular basis and to discuss any new directions it may take in light of the results already achieved. They have a duty to inform the doctoral student of any positive evaluations, objections, or criticisms that their work may give rise to, and to suggest areas for improvement.

Doctoral students must comply with a number of rules relating to scientific integrity and research ethics (see Article 8) as well as with the standards of community life. They must adhere to the internal regulations of the research unit and the rules in force at the institution where they are pursuing their doctoral studies. Doctoral students may not compensate for any shortcomings in the technical supervision provided by the laboratory and may not be assigned tasks unrelated to the advancement of their research project, except for those assigned to all members of the unit. If their research is carried out in partnership with a company or government agency, doctoral students must not be required to perform additional work unrelated to their doctoral research.

The doctoral student undertakes to engage in scientific exchanges with other doctoral students and, more generally, with the scientific community as a whole, and to seek critical feedback from their thesis supervisor, their professional network, and the wider scientific community.

They undertake to take all necessary measures to ensure the preservation and security of the data and results obtained. Their data collection and analysis methods, results, and, where applicable, detailed data must be accessible, whenever required, at the request of the competent authorities.

The doctoral school is responsible for monitoring the doctoral student, in particular *through* the establishment of a CSI (Scientific Supervision Committee) composed of members who are independent of the doctoral student's supervision team. Its mission is to ensure the smooth running of the programme, to evaluate - in an interview with the doctoral student - the conditions of their training and the progress of their research, to make recommendations, and to send a report of the interview to the director of the doctoral school, the doctoral student, and the thesis supervisor. It also works to prevent any form of conflict, discrimination, or harassment and provides its opinion on re-enrolment in doctoral training from the first year of enrolment onwards, as well as on any re-enrolments in exceptional years.

The thesis supervision team undertakes to help the doctoral student prepare for their professional future, to keep abreast of the professional development of the doctors they have trained, and to inform the doctoral school where the doctors completed their doctorate.

## ARTICLE 5 – FINANCING OF THE DOCTORAL PROJECT

During the standard duration of the thesis (36 months), doctoral students on contract receive a salary for their

research work through an employment contract with their doctoral institution or another employer.

All doctoral students must be able to demonstrate that they have a source of funding meeting the minimum financial requirements specified in the internal regulations of their affiliated doctoral school and approved by the Academic Council of Normandie Université, or else engage in another professional activity for which the doctorate provides additional training (secondary school teachers, psychologists, hospital-university professions, legal professions, etc.).

The scientific, material, and financial conditions for the doctoral student during the preparation of the thesis must be agreed upon by the candidate, their thesis supervisor, the management of the research unit (or research team for research entities in the private sector or administration), and the management of the doctoral school.

## **ARTICLE 6 – DURATION OF THE DOCTORAL PROJECT**

A thesis represents one stage in the process of conducting research and managing a research project. It must adhere to the scheduled deadlines, in accordance with the spirit of doctoral training and in the best interests of the doctoral student.

Doctoral studies within the doctoral school generally involve three years of full-time research. In other cases, doctoral studies may take up to six years. Extensions may be granted on an exceptional basis by the head of the institution offering the programme, in accordance with the amended decree of 25 May 2016.

In exceptional cases, upon a reasoned request by the doctoral student, a single, non-divisible break of up to one or two consecutive semesters may be granted. The doctoral student temporarily suspends their training but may remain enrolled at their institution. This period is not counted towards the duration of the thesis.

In all cases, preparation for a PhD requires the doctoral candidate to renew their enrolment with the institution offering the PhD programme each year, within the deadlines set by the institution. Any interruption of a thesis must be reported to the doctoral school by the doctoral candidate and their thesis supervisor as soon as possible. Any interruption to the thesis initiated by the doctoral candidate is considered a withdrawal.

## **ARTICLE 7 – DOCTORAL TRAINING AGREEMENT**

In accordance with this doctoral charter, a training agreement is signed by the doctoral student, the thesis supervisor, and, where applicable, the head of the company or organisation hosting the doctoral student, upon initial enrolment. This agreement, which may be revised annually, specifies in particular the scientific, material, and financial conditions necessary to ensure the smooth running of the candidate's research work and the preparation of their thesis, as well as the doctoral student's professional project, their individual training path in relation to this personal project, and the objectives for promoting the doctoral student's work.

## **ARTICLE 8 – ADHERENCE TO SCIENTIFIC INTEGRITY REQUIREMENTS**

Normandie Université and the institutions co-accredited for the joint award of the national Doctorate degree promote the completion of doctoral students' research work in compliance with the requirements of scientific integrity and research ethics. Doctoral students have access to training on the principles and requirements of research ethics and scientific integrity. They undertake to comply with these principles and requirements throughout their doctoral studies. Normandie Université, the co-accredited institution of enrolment, thesis supervisors, research unit directors, and all persons supervising or participating in the work of a doctoral student undertake to promote and support this commitment.

At the end of the defence, and after the degree has been awarded, the doctor takes an oath (text of the oath below), committing to uphold the principles and requirements of scientific integrity throughout their professional career, regardless of the sector or field of activity.

Text of the doctoral oath on scientific integrity:

English version of the oath:

*"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 9 – MEDIATION PROCEDURES

Any disagreement or unresolved conflict between the doctoral student and their thesis supervisor, or between the doctoral student and the management of the research unit, must be brought to the attention of the doctoral school management as soon as possible. The latter, in consultation with the parties, will endeavour to remedy the situation and seek a solution acceptable to all.

In the event of mediation failure or a conflict involving the doctoral school management, each signatory to this charter may call upon two mediators, who are appointed by the Research Committee or the Scientific Council of the institution of enrolment: one from the discipline of the thesis and the other from a different discipline. This procedure may also be used when the termination of the doctoral student's work is being considered. During the mediation process, the doctoral student may be accompanied by a teacher-researcher of their choice, elected from one of the councils of Normandie Université or of a Normandy institution where they are enrolled in a doctoral programme.

In all cases, a written report must be prepared, detailing the proposals or decisions made during the mediation. This report, signed by the doctoral student, the thesis supervisor, the director of the doctoral school, and the head of the institution where the doctoral student is enrolled, shall be retained by the doctoral school.

In the event of a decision to discontinue the thesis, and at the request of the doctoral student, the thesis supervisor and the director of the doctoral school will issue a jointly signed "certificate of research activities". This certificate will specify the nature and duration of the work carried out, as well as the context of the research. The doctoral student may use this certificate only within the limits of its intended purpose.

Doctoral schools must establish a framework that guarantees anonymity, allowing the doctoral students to share their experiences of conflict resolution situations.

## ARTICLE 10 – NON-RENEWAL OF DOCTORAL ENROLMENT

If a doctoral student's thesis supervisor refuses to re-enrol them in their thesis, the non-renewal must be communicated by the management of the doctoral school. The doctoral student may request a second opinion from the research committee or the scientific council of their doctoral institution. The final decision regarding non-renewal is made by the head of the institution and communicated to the doctoral student. In any case, a decision not to renew a thesis registration may only be taken in the event of a proven breach by the doctoral student of the commitments outlined in this charter, based on substantiated facts.

## ARTICLE 11 – Thesis SUBMISSION AND DISSEMINATION

The procedures for depositing and disseminating theses, as well as the respective commitments of the author, Normandie Université, and the institution of enrolment, are defined in the charter for the deposit and dissemination of theses. The resulting online publication agreement is signed by the doctoral student and the Presidency or Management of the doctoral enrolment institution.

## ARTICLE 12 – DEFENCE OF THE THESIS

The thesis supervisor proposes to the Presidency or Management of the institution where the doctoral student is enrolled - through the management of the doctoral school - the composition of the jury, as well as the date and location of the defence, in accordance with the regulations and rules specific to Normandie Université and the Normandy institutions where doctoral students are enrolled.

## ARTICLE 13 – CONFIDENTIALITY

As part of their participation in the activities of the research unit and by virtue of their presence on its premises, doctoral students will have access to information relating to research projects conducted within the unit, whether contractual or not. The doctoral student undertakes to treat as strictly confidential any information, results, or know-how of any kind that they may become aware of or collect, until such time as it is made publicly available through no fault of their own. This obligation of confidentiality extends to all research activities of other units or partners that the doctoral student may come into contact with.

The doctoral student acknowledges that they are bound by a duty of confidentiality towards Normandie Université, their institution of enrolment, and third parties. They undertake to maintain confidentiality and not to disclose any or all of this information – whether directly (through publication, oral communication, etc.) or by any other mean - throughout the duration of their thesis and for five years following its completion, unless a contractual arrangement provides otherwise.

## **ARTICLE 14 – COPYRIGHT PROTECTION AND RIGHT OF QUOTATION**

It is emphasized that any form of plagiarism is strictly prohibited.

In accordance with Article L.122-4 of the Intellectual Property Code, any representation or reproduction, in whole or in part, made without the consent of the author or their successors in title or assigns is unlawful. The same applies to translation, adaptation, transformation, arrangement, or reproduction by any means or process whatsoever. Apart from the exceptions mentioned in Article L.122-5 of the Intellectual Property Code (particularly the publication of extracts), the doctoral student must obtain the necessary authorisations from the authors or their successors in title. When reproducing images or figures, the doctoral student shall submit a request to the author or their successors in title.

## **ARTICLE 15 – INTELLECTUAL PROPERTY RIGHTS**

### **15-1 PROPERTY OWNERSHIP RIGHTS**

During the course of their thesis, doctoral students receive academic, scientific, and technical support from Normandie Université, their institution of enrolment, and their research unit, and have access to the knowledge and expertise of these bodies. In this environment, as part of their research project, they may produce results that are subject to intellectual property rights.

The doctoral student undertakes to inform their thesis supervisor and the director of their research unit, and, in the event of exploitable results - including software, databases, and biological materials - the commercialisation departments of the institutions overseeing their research unit and, where applicable, the employer who funds their research work. They also undertake to respect the intellectual property rights associated with such results.

Doctoral students in paid employment are subject to the legal regime governing employee inventions, as set out in the Intellectual Property Code and in accordance with the principles it establishes and adapts (Article L611-7).

The results obtained by non-salaried doctoral students must be exploited in accordance with the Intellectual Property Code (Article L611-7-1). A distinction must be made between inventions created by the inventor in the performance of a contract involving an inventive task and those that are not. The former benefits the institution, while the latter benefits the doctoral student. In all cases, if Normandie Université and/or the institution where the doctoral student is enrolled expresses interest, the parties shall negotiate in good faith the conditions for exploiting the results in the best interests of the non-salaried doctoral student, Normandie Université and/or the institution where the doctoral student is enrolled, if necessary within the framework of a transfer of rights. Otherwise, Normandie Université and/or the institution where the doctoral student is enrolled shall waive their rights in favour of the doctoral student.

If information contained in a draft publication or communication is subject to intellectual property protection (e.g. patent, declaration to the Agency for the Protection of Programmes, etc.), it is agreed that the publication (or communication) may be delayed for a period defined in advance, in consultation with the thesis supervisor and the promotion services of the institutions overseeing the research unit.

If the doctoral student qualifies as an inventor (or author) within the meaning of the Intellectual Property Code, their name shall be mentioned in this capacity on the relevant intellectual property title.

For disciplines that use it, the laboratory notebook remains the property of the supervisory authorities of the laboratories concerned throughout the doctoral programme and after its completion. The doctoral student may receive a copy, in accordance with the confidentiality rules in force. Doctoral students undertake to return all results, including source codes and databases, compiled during their doctoral studies, in their entirety, at the end of the programme.

## **15-2 – PUBLICATION AND PROMOTION OF THE THESIS**

The quality and impact of the thesis can be assessed through the written evaluation of the doctoral student's research, particularly by means of publications, patents, and industrial reports derived from the doctoral student's work, whether from the thesis itself or from articles written during or after the preparation of the manuscript.

The publication of thesis results must comply with copyright laws. The doctoral student must be named as author or co-author on all publications arising from their work. The thesis supervisor undertakes to inform the doctoral student of the rules in force regarding the signing of publications (including names and order of institutions, etc.). Written or oral publications, whether individual or collective, must be preceded by notification to the laboratory management by the author(s) in order to ensure compliance with the obligation of loyalty among its members.

Doctoral students must also have the opportunity to promote their research orally by presenting their work at scientific meetings, doctoral conferences, seminars, or national or international conferences, subject to the following restrictions:

- They must not publish or communicate anything about their thesis work without the consent of their thesis supervisor and the management of their research unit (or research team for entities in the public sector or government departments);
- They must comply with the confidentiality conditions imposed on them and with the usual consultation practices with any external partners, or with the rules established contractually when the thesis is financed in whole or in part by a partner.

The thesis supervisor and the head of the research unit undertake to:

- mention the doctoral student's name as co-author in all written or oral publications resulting from the doctoral student's work, including those published after the doctoral thesis defence;
- encourage doctoral students to publish their work, either independently or as co-authors;
- advise doctoral students on strategies for promoting their work, preparing publications, and improving scientific communication in journals and at conferences;
- cover all or part of the doctoral student's mission expenses when a paper is accepted, in accordance with the rules in force within the research unit, doctoral school, employing institution, or institution of enrolment;
- generally promote the work of the doctoral student.

If the thesis requires confidentiality during and after the defence, the thesis supervisor shall submit a confidentiality request to the President/Director of the institution where the doctoral student is enrolled. The duration of this confidentiality shall be determined according to the situation, the scientific field, and the economic stakes involved.

## **ARTICLE 16 – SPECIFIC PROVISIONS**

If the doctoral programme is carried out as part of a partnership with another institution, the parties shall comply with the specific provisions set out in the partnership agreement, which shall be brought to the attention of the signatories of this charter. This partnership agreement shall be taken into account in the training agreement.

The institution offering the doctoral programme and Normandie Université undertake to ensure that the principles of this charter are upheld for theses prepared within the framework of these partnership agreements.



## COMMITMENT BY THE SIGNATORIES TO THE DOCTORAL CHARTER

The undersigned declare that they have read and understood the provisions of the Doctoral Charter established by Normandie Université and the co-accredited institutions for the joint awarding of doctoral degrees, in accordance with the decree of 25 May 2016, as amended and approved by their central governing bodies.

They commit to complying with them.

**Done at..... on .... /.... /....., in two original copies (one for the doctoral student and one for the institution with which the doctoral student is enrolled).**

|                                                                                                                                                                       |                                                                                                                                                                          |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Date: ...../...../.....</b><br><b>The doctoral student</b><br><i>(surname, first name, signature)</i>                                                              |                                                                                                                                                                          |
| <b>Date: ...../...../.....</b><br><b>Thesis supervisor</b><br><i>(surname, first name, signature)</i>                                                                 | <b>Date: ...../...../.....</b><br><b>Thesis co-supervisor</b><br><i>(surname, first name, signature)</i>                                                                 |
| <b>Date: ...../...../.....</b><br><b>Head of the research unit supervising the thesis</b><br><i>(surname, first name, signature)</i><br><br>Label, no., title, stamp: | <b>Date: ...../...../.....</b><br><b>Head of the research unit co-supervising the thesis</b><br><i>(surname, first name, signature)</i><br><br>Label, no., title, stamp: |
| <b>Date: ...../...../.....</b><br><b>Head of the doctoral school supervising the thesis</b><br><i>(surname, first name, signature)</i>                                | <b>Date: ...../...../.....</b><br><b>Head of the doctoral school co-supervising the thesis</b><br><i>(surname, first name, signature)</i>                                |

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|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><b>Date:</b> ...../...../.....</p> <p><b>The chair or director of the doctoral student's<br/>employing institution</b><br/>(surname, first name, signature)</p> | <p><b>Date:</b> ...../...../.....</p> <p><b>The president or director of the institution with<br/>which the doctoral student is enrolled</b><br/>(surname, first name, signature)</p> |
| <p><b>Date:</b> ...../...../.....</p> <p><b>The Presidency of Normandy University</b><br/>(signature)</p>                                                          |                                                                                                                                                                                       |