Doctoral Charter
common to institutions of the Lyon Saint-Étienne site, member and associate institutions of the Université de Lyon

Foreword

The doctorate is governed by the French Decree of May 25, 2016 as amended, which sets out the national framework for the course and procedures leading to the award of the national doctorate diploma, in accordance with the recommendations and principles of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers.

At the Lyon Saint-Étienne site, administrative enrollment, thesis preparation and the award of the doctorate diploma are ensured by the accredited institutions, member and associate institutions of the Université de Lyon:

. Université Claude Bernard Lyon 1
. Université Lumière Lyon 2
. Université Jean Moulin Lyon 3
. Université Jean Monnet
. Université Gustave Eiffel
. École normale supérieure de Lyon (ENS Lyon)
. École Centrale de Lyon (EC Lyon)
. Institut national des sciences appliquées de Lyon (INSA Lyon)
. VetAgro Sup
. ENTPE
. Mines Saint-Étienne
. ENSAL

The preparation of a thesis is based on a freely-entered-into agreement between the doctoral student and the thesis director[1] within a specific framework, which includes the research unit, the doctoral school, the enrollment institution and the Université de Lyon. This agreement covers the choice of the subject and the required working conditions for the progress of the corresponding research activities. The thesis director and the doctoral student have respective

[1] *Here and throughout the document, the term "thesis director" will refer to the director and any potential co-directors.*

rights and duties that are specified in the individual training agreement, which is an educational tool for specifying expectations between both parties.

This charter defines the reciprocal commitments between the doctoral student and the thesis director. It commits them to complying with the rules of ethics, according to the regulations in place in doctoral schools and institutions. Its purpose is to guarantee the proper progress of thesis preparation.

The institutions awarding the doctorate, the Université de Lyon and the doctoral schools undertake to act together, in order to ensure that the principles formalized in this charter are respected during the preparation of the thesis. In case of an international co-supervision of a thesis or a partnership with an extra-university organization that gives rise to an agreement, the head of the enrollment institution ensures that the latter does not contravene the principles of this charter.

This charter must be signed at the time of initial enrollment in the thesis by all the doctoral parties: the doctoral student, the thesis director, the research unit managers and the heads of institutions, as mentioned in the third paragraph of Article 10 of the Decree of May 25, 2016 as amended.

This single charter is applicable to all doctoral students enrolled in the doctoral schools of the Lyon Saint-Étienne site, and may be supplemented by specific provisions included either in an amendment drafted by the enrollment institution or in the internal regulations of each doctoral school. In the event of a contradiction between these documents, the provisions of the institution of administrative enrollment shall prevail.

1. The thesis as a stage in a personal and professional project

The preparation of a thesis must be part of a personal and professional project that has been clearly defined in the individual training agreement. This includes expectations, objectives and the means used to achieve them.

The doctoral student's research work is a professional activity carried out within the framework of a research unit recognized by the doctoral school and an accredited institution on the Lyon Saint-Étienne site. The doctoral degree confers the title of doctor and validates a high level of research training associated with innovative research work. Doctoral students are researchers in their own right, gaining recognized professional experience.

From an administrative point of view, the doctoral student has student status. In accordance with Article 12 of the Decree of May 25, 2016 as amended, which specifies the content, an individual training agreement must be drawn up. This agreement is signed by the thesis director, the doctoral student and, if necessary, by the head of the host company or organization, no later than six months after the initial enrollment in the thesis. It can be amended annually at the time of re-enrollment. Its application is guaranteed by the institution in which the student is enrolled.

To carry out his/her research under proper conditions, the doctoral student must have sufficient resources. A level of funding comparable to that provided by the doctoral contract must be sought, and priority must be given to funding in the form of work contracts. If the doctoral

student's financial resources come from a professional activity not directly related to the thesis (for example: teaching, liberal profession), the thesis will be considered as part-time (at least 50% of the working time). The funding plan for the duration of the thesis is drawn up at the time of initial administrative enrollment and appears in the individual training agreement. The doctoral student's research work must be compatible with the duration of the proposed funding.

The Université de Lyon, the enrollment institutions and the doctoral schools undertake to maintain a website and to provide doctoral students with all the information they need about the professional integration support measures offered, job opportunities and the future of doctoral students. This information will allow them to define their professional project, which will then be further developed throughout the thesis to enrich their portfolio of skills. For the duration of the thesis, and for the purposes of information and training, doctoral students are required to take part in cross-disciplinary training modules, including modules to support professional integration, according to the procedures set out by the doctoral school, and to take part in activities and events organized by the doctoral school, the enrollment institution and the Université de Lyon.

More generally, the doctoral student is required to respond to the requests of his/her doctoral school and his/her enrollment institution, and to refer to their respective websites in order to access the information necessary for his/her training and the smooth progress of his/her thesis.

2. Definition of the subject and feasibility of the thesis

The subject of the thesis leads to the production of personal work that is original, innovative and formative, and whose feasibility is within the prescribed time frame of three years (for full-time theses) or six years (for part-time theses) and that meets the requirements of the disciplines concerned. The thesis director ensures that the doctoral student develops critical thinking and acquires autonomy in the course of his/her research activity.

The choice of the thesis subject is based on an agreement between the doctoral student and the thesis director, formalized before the administrative enrollment in the first year of the doctorate.

<u>Commitment of the thesis director</u>

The thesis director must be affiliated with the doctoral school. Prior to enrollment, he/she must initiate dialogue with the doctoral student in order to:

- Identify the innovative character and the topicality of the proposed subject in the scientific context (state of the art),

- Inform him/her of the constraints inherent to the project,

- Introduce him/her to the research unit (other doctoral students, teachers, research and support staff, programs and funding...) and the position of the project among the scientific themes developed within this framework,

- Inform him/her of the major phases of the thesis work (scientific work and promotion),

- Consider together possible external cooperation and the international mobility of the doctoral student,

- Examine with the doctoral student the methods of funding (doctoral contract, CIFRE, research contract or any other type of salary and grant) which will ensure his/her material autonomy and enable him/her to complete the work within the allotted time,

- Evaluate the prospects of professional opportunities.

This dialogue leads to the drafting of a research project developed by the doctoral student and supervised by the thesis director. This project will be clearly described in the individual training agreement.

The thesis director undertakes to define the resources (materials and useful data) necessary to carry out the work and ensures that the doctoral student has free access to them. To this end, the doctoral student is fully integrated into his/her research unit. He or she has access to the same facilities as tenured researchers to carry out his/her research work (equipment, computer facilities, documentation, digital resources, possibility of attending seminars, conferences and congresses and of presenting his/her work).

Commitment of the doctoral student

The doctoral student is represented in the bodies of his/her research unit, of his/her enrollment institution and in the board of the doctoral school.

The doctoral student agrees to:

- Respect the provisions made at the time of administrative enrollment, on the nature of the subject, the duration and the schedule of the thesis,

- Regularly contact his/her thesis director to inform him/her of the progress of his/her work, of any difficulties encountered and to orient the subject according to the results,

- Respond to the requests of his/her thesis director when the latter deems it necessary for the proper pursuit of the work,

- Report regularly on the progress of his/her research during the thesis monitoring committee meetings, in accordance with the procedures set out in the doctoral school's internal regulations,

- Respect the ethics and principles of scientific integrity, and in particular the principle of authenticity of his/her thesis, as well as the confidentiality of some of his/her work, if applicable (see paragraph 6),

- Hand in, if necessary, the laboratory notebook and all the data produced during the thesis to the thesis director,

- Respect the internal regulations and the rules of community life shared by all the members of his/her research unit,

- Follow the courses and events in which he/she is registered,

- Take part in the life and activities of the doctoral school to which he/she belongs and to respect its internal regulations,

- Inform the institution, the doctoral school and his/her thesis director as soon as possible of any change in his/her doctoral program (interruption, break, withdrawal, etc.) or of any situation that could affect the program.

- Inform their doctoral school, their enrollment institution and the Université de Lyon of their career development for a period of five years after obtaining their doctorate, specifically by answering the integration surveys that will be sent to them.

3. Supervision and thesis monitoring

Role and commitment of the thesis director

The thesis director must facilitate the integration of the doctoral student into the hosting research unit.

The thesis director informs the future doctoral student of the number of theses currently being supervised, as well as the maximum supervision rates authorized by the doctoral school, in accordance with the supervision policy of the enrollment institution.

The thesis director undertakes to devote a significant amount of his/her time to the scientific and personal supervision of the doctoral student, who must be able to meet with him/her as often as necessary for the proper pursuit of his/her work.

The thesis director is fully responsible for the scientific supervision of the doctoral student's thesis work; this responsibility cannot be delegated. The scientific guidance of the doctoral project may, however, be provided jointly with a co-director, in accordance with Article 16 of the amended Decree of May 25, 2016.

The thesis director undertakes to regularly monitor the progress of the work and to discuss any new directions it might take in light of the results obtained. He or she has a duty to inform the doctoral student of the positive assessments or objections and criticisms that his/her work may give rise to, notably during the individual thesis monitoring committee (CSI) and, of course, during the thesis defense.

Role of the doctoral school in the preparation of the thesis

The doctoral school provides training and follow-up for doctoral students:

- It endorses the research projects and any additional activities entrusted to them,

- It enforces the policy of recruitment, supervision and monitoring of doctoral students (including the CSI), as set out in the internal regulations; in particular, it is responsible for organizing recruitment procedures for doctoral contracts,

- It organizes training courses that are complementary to those offered by the Université de Lyon, in order to support the research work and prepare young doctoral graduates for their careers,

- It ensures that the rules governing the doctorate are respected, in particular the aspects of scientific ethics and research deontology. These aspects will be the subject of an annual plan presented to the research committee of the enrollment institution,

- It informs doctoral students of all scientific activities relevant to them, and makes them aware of the importance of open science and scientific mediation, and of international openness,

- It defines the organization procedures of the thesis monitoring committees in its internal regulations (frequency, composition, expectations) and ensures the smooth running of the thesis,

- Should it become aware of acts of violence, discrimination, moral or sexual harassment, sexist behavior or any psychosocial risks, it makes a report to the listening and advice center or to the dedicated bodies of the enrollment institution.

The enrollment institution ensures the ethical framework and scientific integrity of the thesis project with the doctoral school.

Jury and defense

The procedures for setting up the jury and for the defense must comply with the legislation in force and must be approved by the institution where the doctoral student is enrolled.

The head of the institution determines the composition of the jury and the date of the defense, on the proposal of the thesis director in consultation with the doctoral student, and after consulting the director of the doctoral school. The defense is conditioned by the prior submission of the manuscript to the library. The defense is authorized by the enrollment institution following the advice of the reporters and must take place during the last year of authorized enrollment and in the enrollment institution (except in exceptional situations, which must be authorized in advance by the enrollment institution).

4. Duration of the thesis

In keeping with the spirit of doctoral studies and in the interest of the doctoral student, the reference duration of the thesis is three years for a full-time thesis, and up to six years for a part-time thesis. In this case, the individual training agreement must indicate the total duration of the thesis as well as the periods devoted to thesis work.

For a full-time doctoral student, at the end of the second year, the foreseeable deadline for the defense will need to be discussed at the thesis monitoring committee, in light of the progress of the research work.

If the research cannot be completed within the three-year full-time equivalent period, an additional enrollment may be granted by the head of the enrollment institution after the opinion

of the director of the doctoral school, upon a motivated request from the doctoral student and the thesis director, according to three particular circumstances:

- Extension granted in the case of maternity/paternity leave, parental leave, childcare or adoption leave, long term sick leave or occupational accident, according to the legislation in force,

- Extension granted to a doctoral student with a disability,

- Exemption linked to a specificity of the research inherent to certain disciplines or to a specific level of risk.

Such agreement does not automatically grant continued funding of the doctoral student. As such, the possibilities of funding for the completion of the thesis should be explored by all parties.

In order to comply with the prescribed duration, the doctoral student and the thesis director must respect their commitments described in paragraphs 2 and 3 of this charter. Repeated breaches of these commitments will be the subject of a joint report between the two parties, leading, if necessary, to a mediation procedure (see paragraph 7).

Gap year

In accordance with the regulations in force, a period of uninterrupted leave of absence of a maximum duration of one year may take place only once, by decision of the head of the enrollment institution, after agreement with the employer, if applicable, and the approval of the thesis director and the director of the doctoral school. The gap year will not be included in the duration of the doctorate. This interruption of thesis work is based on a well-thought and justified proposal, in such a way that it does not interfere with the recognition of the research work. It is important to ensure that no influence is exerted on the use of the gap year for the pursuit of the thesis.

Abandonment of the thesis

Should the doctoral student decide to abandon the thesis, he/she must inform his/her thesis director, the director of the research unit, the director of the doctoral school, the institution where he/she enrolled and his/her employer, if applicable, in writing. The doctoral student may ask the management of the research unit for a certificate specifying the nature and duration of the work carried out as well as the context of the research, which he or she may use at his/her discretion.
If a doctoral student does not re-enroll administratively in the thesis within the time limit set by the enrollment institution, he or she will be removed from the list and the thesis will be declared abandoned in the national thesis file.

5. Publication and promotion of the thesis

The quality and impact of the thesis can be measured by the papers presented in reference colloquiums, publications in peer-reviewed journals or patents that will be derived from the

work, whether this involves the thesis document itself or articles written during or after the preparation of the manuscript.

The doctoral student may only publish work related to his/her thesis in agreement with his/her thesis director. Conversely, the doctoral student must be listed as an author on any written publication resulting from his/her work.

Depending on the discipline, there are different ways to measure the quality of publications; it will be up to the doctoral schools to ensure that the theses defended meet a level of quality commensurate with the expectations of the discipline concerned.

From the beginning of the thesis, the thesis director and the doctoral school must explain what is expected in terms of publications, and more generally what the community (and in particular the National Council of Universities) expects from a thesis in the discipline concerned. They must also inform the doctoral student of the signature policy of the articles. Any issues that might restrict the possibility of publishing (financial constraints, confidentiality clauses, etc.) will also be presented to the doctoral student. Any intellectual property issues that may be associated with his/her work or with the overall activities of the research unit will be clearly explained, in accordance with the rules in force in the unit. If there is a particular clause related to confidentiality, it must be clearly specified in the individual training agreement.

After the defense, the doctor undertakes to submit to his/her thesis director his/her final manuscript and its electronic version. He or she shall comply with the rules of submission and dissemination in force at the enrollment institution within a maximum period of three months.

6. Ethics and respect of scientific integrity

The Université de Lyon and the enrollment institutions promote the conduct of doctoral students' research work in compliance with the requirements of scientific integrity and research ethics Doctoral students have access to training in the principles and requirements of research ethics and scientific integrity. They agree to adhere to them for the duration of their doctorate. The Université de Lyon and the enrollment institutions, the directors of the doctoral schools, the thesis directors, the directors of the research units and all those involved in the work of a doctoral student undertake to encourage and support this commitment.

After the defense and in case of admission, the doctor takes an individual oath, committing to respect the principles and requirements of scientific integrity in the continuation of his/her professional career, whatever the sector or field of activity.

The doctoral oath of scientific integrity is as follows:
"In the presence of my peers. Having completed my doctorate in [xxx], and having thus practiced, in my quest for knowledge, the execution of demanding scientific research, cultivating intellectual rigor, ethical reflexivity and respect for the principles of scientific integrity, I pledge, insofar as it is within my power, in the continuation of my professional career, whatever the sector or field of activity, to maintain integrity in my approach to knowledge, my methods, and my results."

7. Listening and advice centers, mediation procedure

At any time, the doctoral student may approach the listening and advice center or the dedicated bodies of the enrollment institution should he/she be subject to any acts of violence, discrimination, moral or sexual harassment, sexist behavior or any psychosocial risks.

In the event of a dispute regarding the execution of the thesis, mediation within the research unit is first sought.
In the event of an ongoing conflict between the doctoral student and the thesis director (or possibly the director of the research unit), the director of the doctoral school to which the student belongs and the institution where the student is enrolled must be informed, regardless of the status of the thesis. The director of the doctoral school may then call upon a mediator, or set up a mediation committee which, without divesting anyone of their responsibilities, listens to the parties, proposes one or more solutions and has it (or them) accepted by all with a view to completing the thesis. The mediator's mission requires impartiality. He or she must be chosen from among the management team of the research unit or the doctoral school.

If this mediation procedure fails, the doctoral student, the management of the research unit or of the doctoral school may ask the head of the enrollment institution to appoint a mediator, or a mediation committee outside the doctoral school, through its research committee or the body that acts in its place. If at the end of this procedure, it becomes apparent that the preparation of the thesis cannot continue in the planned configuration or must be interrupted, each of the parties involved must be informed.

According to his/her wishes, the doctoral student may be assisted, at all stages, by a representative of the doctoral students elected to the board of his/her doctoral school or to one of the bodies of the enrollment institution.

In the case of an interruption of the thesis, as in the case of a voluntary abandonment, the doctoral student may request a certificate from the management of the research unit. This certificate of research will specify the context, nature and duration of the work performed.

8. Temporary and miscellaneous provisions

This charter applies to all doctoral students enrolling in one of the accredited institutions of the Lyon Saint-Étienne site from the beginning of the 2022-2023 academic year.

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Amendment for ENS de Lyon

To Doctoral Charter, common to institutions of the Lyon-St Etienne site, members and associate insitutions of the Université de Lyon

The purpose of this amendment is to provide additional elements to the doctoral charter, common to the institutions of the Lyon-St Etienne site, members and associates of the COMUE Université de Lyon :

1. All All students enrolled in thesis at ENS de Lyon must comply with the provisions of **the Rules of Study of ENS de Lyon;**
2. The annual funding conditions required to enable doctoral students enrolled at ENS de Lyon to carry out their research work **are determined by the deliberations of the Executive Board of ENS de Lyon;**
3. A PhD student employed by ENS Lyon will enroll in PhD at ENS Lyon;
4. At ENS de Lyon doctoral students are led by holders of HDR or research staff accredited by the Scientific Council of ENS de Lyon
5. The Thesis Defense Project (PST) and the manuscript are submitted on ADUM at least 90 days before the requested defense date. The administrative closure periods of ENS Lyon are in addition to this period.