

Doctoral Charter of the Institut Polytechnique de Paris Doctoral School

1. THE DOCTORAL CHARTER, DEFINITION AND AIMS

The Charter defines a certain number of values and principles which form the basis of the relationship between the doctoral student and the thesis supervisor and, more generally, all the stakeholders involved in a doctoral training project.

It emphasizes the need for partners to keep each other clearly and explicitly informed of their respective aims at each stage in the doctoral training program.

It highlights the active role of each individual and their shared responsibilities throughout the course of the doctoral program.

This Charter is intended to be informative, providing clear indications and establishing a **reference framework** for the Institut Polytechnique de Paris and HEC, which must be adopted by the persons concerned. It is not intended to recall, supplement or replace the **regulations in force** relevant to the doctorate. The Charter assumes that the stakeholders in doctoral training at the Institut Polytechnique de Paris and HEC are aware of, and have undertaken to comply with, all the requirements of national legislation, in addition to the rules of procedure concerning them.

In particular, each person is required, **as an individual**, as the **head of an entity** (research team or unit, doctoral school, service entities, etc.), or as a **member** of a **commission, committee or jury** to **prevent disputes, discrimination and harassment** by basing themselves on the specific measures and procedures, to **notify each of the participants concerned** of the existence of such measures and the means to access them and to contribute, at their level, to handling difficulties and resolving disputes.

Pursuant to this Charter, an **individual training agreement**, signed upon enrollment to the doctorate program and renewable annually, describes the specific engagements and terms for each individual doctoral training project.

2. SCOPE OF APPLICATION

The Doctoral Charter of the Institut Polytechnique de Paris applies to all doctorate stakeholders at the Institut Polytechnique de Paris and HEC.

It is applied by each **research unit director** and by the **doctoral school director**. They will sign the Charter upon its **entry into effect**.

It is applied by each **doctoral student** and their **thesis supervisor**. They will jointly sign the Doctoral Charter upon the doctoral student's **first enrollment** in the doctorate at the Institut Polytechnique de Paris or, upon entry into effect of the Charter, at the time of re-enrollment in the doctorate.

The provisions of the Doctoral Charter are not applicable retroactively. The provisions of any doctoral charters which are no longer in effect are no longer applicable.

3. COMMISSIONS, COMMITTEES AND JURIES

The thesis defense juries, the doctoral students' individual monitoring committees, commissions and admission juries play an essential role in quality assurance for the doctoral training process. They contribute to ensuring that the student's doctoral degree brings optimal **benefit** to the doctors and enjoys a high level of **recognition** among those who call on their skills and expertise.

The Charter specifies the roles and responsibilities of these commissions, committees and juries involved in the main steps of the preparation of a doctorate, and what is expected of them.

The rules and arrangements governing the composition and appointment of these commissions, committees and juries fall under the national framework for doctoral training and the procedures and internal rules of procedure of the Doctoral School. They encourage the fostering of gender equality.

3.1 THE THESIS DEFENSE JURY

Certain features of doctoral training, in particular **training by project** and the **originality requirement**, imply that each doctoral thesis is **unique** and must thus be assessed by a **tailor-made** defense jury. The composition of this jury is listed on both the doctoral diploma and on the cover page of the thesis.

The national doctoral degree is issued by the president of the accredited establishment upon the **proposal of the thesis defense jury**. The doctoral degree is an **internationally-recognized national higher education degree**. The jury must be composed in such a way as to be able to **legitimately declare in the name of higher education** on an international level, that the doctoral degree may be issued to the doctoral student in accordance with the international criteria relative to this degree.

The thesis presents a series of **original scientific works**. Each member of the jury, taken individually, is not necessarily required to be a specialist in all aspects of the topics presented in the thesis, but as a whole, the jury must constitute a group of experts with acknowledged skills in the field of the thesis and in a position to comment on each aspect of the latter and on the originality of the works presented from an international perspective.

This defense is an assessment: the panel must thus guarantee the **neutral, arms-length** view that is essential to this assessment. It is for this reason that it must be composed mainly of members outside of the doctoral project, with no established interest, or relationship of subordination or authority between each other or with the stakeholders in the student's doctoral training.

3.2 THE INDIVIDUAL MONITORING COMMITTEE

The individual monitoring committee is an advisory body which oversees, via an interview with the doctoral student, the proper execution of the the latter's doctoral training, in accordance with the Doctoral Charter and the individual training agreement.

The rules governing the composition and organization of the monitoring committees are set out in the rules of procedure of the doctoral school, in close collaboration with the research teams and units making up the doctoral school. These rules ensure that the individual monitoring committee does not replace the thesis supervisor, but acts a **complement**, providing a **neutral and external** point of view on the execution of the doctoral project for the **constructive use** of each party.

- The individual monitoring committee follows the progress of the doctoral student in their ability to **present their research**, demonstrate the **quality and innovative nature** of their work and place said work in its **international scientific context**;
- In particular, the individual monitoring committee guides the doctoral student in clearly presenting and defending the scientific approach and directions which are being taken;
- The individual monitoring committee also endeavors to ensure the timeliness of the doctoral student's project and its completion within the given deadline;
- The individual monitoring committee also steers the doctoral student in their reporting on the progress of their **doctoral training**, on the development of their scientific culture and international

perspective, in addition to the preparation of their professional career and the development of their expertise and skills;

- The individual monitoring committee ensures that the doctoral student benefits from collective training and is aware of research ethics and integrity, and that he or she is aware of and applies the guidelines relevant to scientific publications.

In the event of a dysfunction, the individual monitoring committee may recommend that the director of the doctoral school propose a mediation or summon a conciliation commission (see § V).

3.3 THE DOCTORAL ADMISSION COMMISSION OR JURY

Doctoral admission is based on **explicit and public** criteria, is conducted according to transparent, open and fair procedures, as defined by the **Doctoral School of the Institut Polytechnique de Paris**, and applies **internationally-recognized principles**, in particular those set out in the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers.

Doctoral schools appoint doctoral admission commissions or juries in order to implement this common admission policy, with the terms specified in their rules of procedure. They may also delegate this implementation in their rules of procedure to admission commissions or juries designated by other entities, provided that they fulfill all the required provisions.

The doctoral admission commission or jury evaluates the **research aptitudes of each candidate**, their **understanding of the innovative nature of their research topic**, their ability to place it in the international scientific context and the quality of their presentation. The doctoral admission commission or jury deliberates on the candidate's ability to successfully complete their doctoral project within the terms of its execution, in particular the host research unit or team and the management of the doctoral project.

The doctoral admission commission or jury also ascertains whether the candidate's linguistic skills and abilities are sufficient to enable their integration into a research unit and the proper execution of their work. When the candidate does not have a diploma conferring a master's degree, the commission or jury indicates whether the skills and diplomas acquired by the candidate justify an exemption to the requisite diploma provision for enrollment in the doctorate.

4. THE DOCTORAL TRAINING PROJECT STAKEHOLDERS

4.1 THE DOCTORAL STUDENT

The doctoral student is a researcher currently in training. Enrollment in the doctorate grants them rights and imposes duties and obligations; vis à vis the doctoral school organizing their doctoral training, vis à vis the establishments (accredited, for the preparation of the doctorate, international co-supervision) which authorize their enrollment and which issue the diploma, vis à vis the host research unit, vis à vis the host establishment of the research unit which ensures or oversees the management thereof, vis à vis a financial backer and /or their employer, vis à vis their thesis supervisor who ensures the scientific management of their doctoral project and vis à vis their co-authors whose names are definitively linked with that of the doctoral student.

The doctoral student is entitled to:

- Within the doctoral school, the same rights of expression, vote and representation in general assemblies, unit boards and doctoral school boards as the other members of such boards and assemblies;
- The same rights of access as the research staff of their research unit to the premises and facilities of the establishments to which the research unit is affiliated, subject to specific and justified restrictions;
- A working space within the research unit, a designated desk and the means necessary to execute the doctoral project and disseminate their work and results;
- Access to group training in the framework of their doctoral training, intended to consolidate their scientific culture, provide an international perspective and prepare their professional career;
- The possibility to follow training courses and attend seminars organized by the research unit, in the same capacity and conditions as the unit's permanent research staff;

- An international perspective (possibility to disseminate their works on an international level and access the work of other researchers in an international context, to exchange with international experts in the field, to benefit from seminars by international experts and international mobility opportunities, etc.);
- The recognition, in the framework of the diploma supplement, of each of their activities within the scope of that which is normally taken into account in the assessment of researchers (scientific output, international mobility, teaching, promotion, mediation or expertise activities; group responsibilities, representative activities or elective offices, etc.);
- Access to information regarding both academic and extra-academic career prospects after their doctorate. To this end, they must be able to consult the professional activity of former doctoral students of their research unit and doctoral school (access to statistics on doctors' careers, contact with alumni networks, etc.);
- Access to a mediation or dispute settlement tool;
- The right to be consulted on the offer and execution of the doctoral training of the Institut Polytechnique de Paris; the right of access to reports on surveys and consultations carried out among all the doctors, doctoral students and other stakeholders in doctoral training at the Institut Polytechnique de Paris.

The doctoral student also has the following duties and responsibilities:

- To comply with the requirements of the national regulations, the internal rules of procedure and all procedures of the Institut Polytechnique de Paris relevant to the doctoral program;
- To comply with the health & safety requirements and the internal regulations of the host research unit, the host establishment of the research unit and their employer;
- To actively acquire knowledge of research ethics and integrity; to comply with the ethical codes and practices of their field and with the ethical standards laid down by the various national ethical codes; to formally undertake not to commit acts of plagiarism; to comply with the rules of copyright, the rules and requirements related to the signature of publications, the dissemination of research results (transmission to open archives and confidentiality) and to intellectual property;
- To fully endeavor to ensure their work is original scientific work and not to reproduce prior research carried out elsewhere; to know how to place their work in the international scientific context;
- To inform their thesis supervisor regularly on the progress of the doctoral project and to validate with them the scientific quality of the approach followed and the results obtained; to ensure their project complies with the duration established for its execution; to commit to a work and discussion schedule relative to the progress of their work with their thesis supervisor;
- **For the purpose of the thesis defense** and from the outset of the preparation of the thesis, **to learn** to present their research work, to demonstrate its quality and innovative nature, to place it in its scientific context; to effectively **make use of all opportunities provided** to develop their skills (as of admission to the doctorate, activities organized by the research unit or doctoral school, during seminars or conferences and during interviews with the individual monitoring committee);
- **To disseminate their research work** using the various means made available to them (seminars, conferences, congresses and publications, etc.) with the explicit consent of their thesis supervisor;
- To engage in **scientific discussions** with other doctoral students and, more broadly, with the scientific community as a whole; to request critical feedback from their thesis supervisor, their network and the scientific community;
- To undertake all the necessary measures for the **safe-keeping and security of the data and results obtained**; the data collection and analysis methods, the results and, where appropriate, the detail of such data must be always be available, upon request from the competent authorities;
- With the support of the individual monitoring committee, to establish a progress report on their **doctoral training** relative to the development of their skills, their scientific culture and their international opening, in addition to the preparation of their professional career;
- To transmit to the director of the doctoral school, for a period of **5 years** after the defense of their doctorate, information concerning their **career development** and publications based on their doctorate. The transmission of this information is essential so that new doctoral students of the same school may be fully informed of the career prospects open to them;
- To contribute, on their level, to the measures ensuring the quality of the doctorate; to support the **promotion** and contribute to the **renown**, on their level, of the IP Paris doctorate.

The doctoral student is placed under the **control and responsibility** of their thesis supervisor. For each academic year, this responsibility is borne by a **single thesis supervisor**. This thesis supervisor is the only person who **signs**, in the capacity of thesis supervisor, the administrative acts related to doctoral training at the Institut Polytechnique de Paris.

The thesis supervisor is responsible for the **scientific management** of the student's doctorate. This responsibility may be **jointly** shared by the thesis supervisor and a **thesis co-supervisor**. **Co-directors** may also contribute to the scientific management of the doctoral student. In this case, the contributions, roles and responsibilities of each person must, from the outset of the preparation of the thesis, be **clearly defined and explicit** between the members of the management team and **explained to the doctoral student**.

The thesis supervisor has the following roles and responsibilities:

- **To define the subject** of the doctoral project in consultation with the doctoral student; to ensure that it is **original** and will not reproduce prior research carried out elsewhere; to ensure its **feasibility** within the planned **duration** for the project and in the framework of the **research unit** and its partners; to ensure, in consultation with the head of the research unit, the adequate integration of the doctoral project into the unit's scientific project and the taking into account of the requirements of the national policy on research and innovation;
- To ensure that all the **scientific, material and financial conditions** are in place to guarantee the proper execution of the doctoral student's research; to inform applicants for enrollment in the doctorate of the opportunities for financial aid and the procedures required; to verify with the head of the research unit the unit's capacity as host and to ensure that the doctoral student has access to all equipment and data essential to the proper conduct of their work;
- In order to ensure the supervisor's **availability**, to limit the number of doctoral students (for a maximum supervision rate of 300%) simultaneously placed under their control and responsibility to **six** persons, except under specific provisions established by the doctoral school or subject to derogation; to inform each doctoral student of the number of doctoral students under his/her responsibility;
- When the **scientific management** of the doctoral project is shared with a co-supervisor, and when several co-directors participate in the management of the doctoral student, to ensure the **coordination** of the management team and the **clarity and coherence** of information provided to the student by members of said team;
- To ensure the doctoral student's awareness of the **research ethics** and **integrity**, to ensure that the student is informed of such issues from the outset of their doctorate and complies with these principles; to monitor the doctoral student's compliance with the rules and regulations for the signature of publications, the dissemination of research results (dissemination via open archives, confidentiality) and those relative to intellectual property; in addition to compliance with national regulations, the internal rules and procedures of the Institut Polytechnique de Paris and health & safety rules; to inform the student of measures to deal with disputes, harassment and discrimination;
- To ensure the proper **integration** of the doctoral student into the scientific community and particularly the research unit; to contribute to actions conducted in their research unit to integrate doctoral students into said unit; to ensure, at his/her level, that the doctoral student has scientific discussions with other doctoral students and with the scientific community as a whole;
- To be informed regularly by the doctoral student of the progress of the doctoral project; to ensure regular follow-up; to devote adequate attention and time to the student; to accompany their gradual independence; to build a constructive and positive relationship with the doctoral student in order to implement the conditions necessary for the effective transfer of knowledge and the development of their skills; to assist the doctoral student in identifying their strengths and weaknesses and to encourage them to develop their skills;
- To ensure that the doctoral student takes the constraints of time into account and that their research work is carried out in line with the doctoral project duration; to notify the doctoral student of external problems or constraints they may be unaware of and of opportunities that may arise;
- For the purpose of the thesis defense, to encourage and assist the doctoral student, from the outset of the preparation of the thesis, to highlight the quality and innovative nature of their research work, to place such work in its scientific context and to develop their presentation skills; to ensure also that the doctoral student makes full use of opportunities provided to them to develop these skills (on admission to

the doctorate, at events organized by the research unit or doctoral school, during seminars or conferences and during interviews with the individual monitoring committee);

- To assist the doctoral student in identifying additional training pertinent to their research or professional career; to contribute to doctoral group training organized by the student's doctoral school or those offered on a doctoral college level (doctoral lecture cycles or round tables, etc.);
- To assist the doctoral student in the preparation of their professional career; to remain informed of the doctors he/she has trained;
- To participate in the defense jury, take part in doctoral monitoring committees of the doctoral school, in admission commissions or juries of the doctoral school; and generally contribute at his/her level to measures ensuring the quality of doctoral training; to assist in the **promotion** and contribute to the **renown**, on his/her level, of the doctorate of the Institut Polytechnique de Paris.

4.3 THE DIRECTOR OF THE RESEARCH UNIT

The director of the research unit ensures the relevance of the doctoral project to the **scientific policy of the research unit**. He/she ensures its originality, its feasibility in the planned duration of the project and in the framework of the research unit and its partners. He/she ensures that the requirements of the national policy on research and innovation are taken into account.

He/she contributes, on their level, to the **renown** and possible **promotion** of the doctorate degree of the Institut Polytechnique de Paris.

He/she ensures that all the **scientific, material and financial conditions** are in place to guarantee the proper execution of the doctoral student's research.

When such conditions are in place, he/she undertakes to fully **integrate** the doctoral student into their research unit, in compliance with the terms set out between the **establishments to which their research unit is affiliated**. In all cases, he/she notifies the establishment hosting the research unit and legally responsible for the **placement** of a doctoral student in their premises. He/she monitors the quality of the placement, the implementation of general measures relative to the proper integration of doctoral students into the research unit and the working conditions of doctoral students in said unit.

The doctoral school federates a group of research units to organize the training of doctoral students. In this context, the director of the research unit **maintains close relationships with the doctoral school** and ensures the **coherence** of actions led in their research unit in terms of doctoral training with those conducted by the doctoral school or college.

In particular, he /she ensures that their research unit, **in liaison with the doctoral school**, offers or participates in the organization of scientific exchanges and activities designed to consolidate the **scientific culture** of doctoral students and **provide them with an international perspective**.

He/she contributes, on their level, to the quality process of the doctoral training, to the proper execution of all procedures and processes, derogations granted and measures for mediation and the settlement of disputes.

The director of the research unit ensures that information pertaining to the research unit is brought to each doctoral student's knowledge upon their arrival, in particular:

- On the **general organization of the research unit**, its internal regulations or procedures, the regulations and procedures of the establishments to which the research unit is affiliated or those of the Institut Polytechnique de Paris which are applicable to the research unit, the ethical rules and health & safety measures in effect in the research unit; the rules relative to the signature of scientific production; existing measures for training in the research ethics and integrity, copyright and intellectual property, the dissemination of research works (confidentiality, dissemination via open archives) and the **prevention of disputes, harassment and discrimination**;
- On the **scientific orientations of the research unit**, and where appropriate, of the research team in which the doctoral student is integrated and on the relevance of the unit's general scientific project to the requirements of the national policy for research and innovation;

- On the general terms in which doctoral students are prepared and supported in the research unit; on the premises and work spaces at their disposal;
- On scientific events open to research unit members and in particular lecture cycles or science days; on the scientific exchange frameworks, between doctoral students or the scientific community as a whole, organized by the research unit, the doctoral school or networks of which the research unit is a member and on the training possibilities open to research unit members;
- On the integration measures and networks or associations of doctoral students which exist within the research unit or of which it is a member; on the European and international openings of the research unit and the career development of doctors from the research unit.

4.4 THE DIRECTOR OF THE DOCTORAL SCHOOL

The doctoral school, **in close collaboration** with its federated research units or teams, **organizes the training of doctoral students** and **prepares their professional careers**, in the framework of missions which are entrusted to the doctoral school on accreditation of the doctoral policy of the Institut Polytechnique de Paris.

The director contributes, on his/her level, to the **renown** and **promotion** of the doctorate degree of the Institut Polytechnique de Paris.

Prior to the first enrollment in the doctorate, the director of the doctoral school:

- Informs applicants to the doctorate of the admission terms, the requisite skills, possible financial aid, the supervision potential of the doctoral school and the nature, designation and rates of professional activity following graduation from the doctorate;
- implements a **doctoral recruitment policy**, based on explicit and public criteria, which are open and fair and conducted according to **internationally-recognized principles**, in particular those set out in the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers, which promotes originality, scientific risk-taking, and the international and inter-disciplinary opening of engaged doctoral projects;
- Ensures that all the **scientific, material and financial conditions** are in place to guarantee the proper execution of the doctoral student's research; he/she participates in seeking funding and suggests its allocation in order to enable doctoral students to prepare and present their thesis in optimal conditions;
- Proceeds with the recording in national registers of the doctoral subjects chosen by the doctoral students and their possible development, thus **ensuring the originality and innovative nature** of the proposed new subject (STEP).

During the preparation of the doctorate, the director of the doctoral school:

- Organizes, in close collaboration with the research units, scientific exchanges between doctoral students and more broadly the scientific community as a whole, offers doctoral students group activities and training courses, encourages inter-disciplinarity, the acquisition of a broad scientific culture including knowledge of the international research framework, enabling the development of their transferable skills to serve their research and professional projects and ensures that each doctoral student receives training in research ethics and integrity;
- Contributes to European and international openness, in the framework of cooperative actions conducted with foreign higher education institutes or research centers;
- Ensures the application of the Doctoral Charter and compliance with the internal rules & procedures and national legislation; ensures the prevention of disputes, discrimination and harassment; implements and ensures the proper execution of mediation tools and the resolution of disputes linked to the doctoral training;
- Makes provision for a quality system for the training program, in particular by setting up individual monitoring committees for doctoral students; provides training or specific guidance for doctorate managers and ensures the transparency and monitoring of the proper execution of all procedures, processes and derogations granted;
- Contributes to programs supporting graduate doctors in the development of their career in private and public sectors and organizes, in association with the departments of the establishments concerned, the monitoring of the career path of graduate doctors.

Once preparation of the thesis is complete, the director of the doctoral school:

1. **Proposes reviewers** to examine the thesis, further to the opinion of the thesis supervisor, examines jury proposals, oversees their proper composition and ensures compliance and issues an approval authorizing the defense of the thesis;
2. Ensures the collection and transmission of information relative to the defense of theses and the future career of doctors; also transmits information regarding the duration of the theses defended and those withdrawn.

5. MEDIATION AND DISPUTE SETTLEMENT

In the event of difficulties or disputes, the parties concerned must endeavor to reach an amicable settlement. The dispute settlement system is provided by the doctoral school, which offers its services in the resolution of disputes, when the latter arise in the framework of the preparation of a doctorate. This possibility provided by the doctoral school is not exclusive; it is complementary to other possible means of dispute settlement within the research unit, with the employer or via trade unions, etc. The following principles serve as guidelines for the settlement of disputes:

- Disagreements and disputes are in no way exceptional and calling on the doctoral school to settle a dispute must not be stigmatizing or seen as a last resort, but on the contrary as an **amicable measure** to be engaged **as soon as possible**, before problems become too difficult to resolve;
- A fair balance must be found between **the reflection period** required by each party to organize the dispute settlement in adequate conditions, with hindsight and without haste, to prepare discussions and reach the best conclusions, and the **settlement period** which must be sufficiently brief to enable each party to move forward;
- The best solutions are those which the disputing parties have reached themselves, if possible through mediation. The task of a mediator is to hear the disputing parties, to bring them together in order to confront their points of view and to assist them in reaching a solution. The mediator has no form of authority, other than that of the trust placed in them by each party. It is strongly advised to call on a mediator and the doctoral school will provide assistance in finding a mediator upon request from the disputing parties;
- If a **solution is not reached through mediation** or if the parties concerned do not wish to seek a solution with a mediator, the doctoral school may thus decide to set up a conciliation commission, in accordance with the provisions defined in a procedure of the Doctoral School of the Institut Polytechnique de Paris. The task of the conciliation commission is to devise solutions and put forward recommendations;
- The individual monitoring committee may, where necessary, notify the director of the doctoral school of the need for mediation or for the implementation of a conciliation commission.
The conciliation commission is composed in such a way as to be **equally attentive to the points of view of each party concerned**. When the conciliation commission has been recommended by the individual monitoring committee, the doctoral school may draw on the support of this committee to compose the commission.

The solutions or recommendations put forward must be preceded by **separate discussions between the commission and each party** and a discussion **between the parties**, led by the commission.

Within a framework guaranteeing anonymity, the doctoral school **shares** analyses of situations requiring settlement actions on its part, in order to collectively draw conclusions and make constructive use of such to **prevent** future disputes and **heighten awareness** among all stakeholders in doctoral training.