

**CODE OF GOOD PRACTICE
OF
CEU INTERNATIONAL DOCTORAL SCHOOL (CEINDO)¹**

Royal Decree 99/2011, of 28 January, regulating official teaching for the Ph.D. degree, provides for the possibility of creating Doctoral Schools, establishing the need for these Schools to adopt a Code of Good Practice.

The Code of Good Practice of CEINDO is considered as a set of rules, principles and commitments that aim to favour research quality and to contribute to the rigour, respect, and responsibility in the development of the research activity through the declaration of conflicts of interest, the promotion of transparency of information and taking special care with the results of the research to avoid possible collisions with the legitimate rights of third parties. It is important to stress that this is a complementary tool that cannot, under any circumstances, displace the application of existing legal rules, especially when the research affects individuals or involves the use of personal data, biological samples of human origin, animal experimentation or the use of biological agents or genetically modified organisms.

This Code of Good Practice shall be subject to the three Universities governing boards, before the members of the Doctoral School can match their commitment to their observance.

GENERAL PRINCIPLES

The Teaching and Research Personnel, the doctoral students, the administration and services and collaborating entities personnel, are part of the CEU International Doctoral School (CEINDO) under the terms set out in the respective specific agreements.

The CEINDO's Management Committee, through its director, shall inform about the content of the Code of Good Practice (CGP) to those persons that are part of the School so they can fulfil this Code. The Secretariat of CEINDO will be in charge of including in the School's webpage a link to the content of the current CGP, for its free access and consultation.

The Management Committee of the School shall ensure that its members adjust to its actions and behaviour in this CGP.

1) Acknowledgement

Doctoral students shall have the legal status of students and the relationship to their respective university as determined by the law in force. The supervisory and tutoring activities of expert researchers, tutors and thesis supervisors shall be recognised in a manner to be determined by the university.

2) Non-discrimination

¹ Approved by the Board of Trustees of Universidad CEU San Pablo, Cardenal Herrera and Abat Oliba during their meeting held on 15 December 2012, with amendments approved by the Board of Trustees on 4 and 6 July 2013.

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There shall be no discrimination between doctoral students regarding sex, age, ethnic, national or social origin, religion or belief, sexual orientation, language, disability, political opinion, social or economic status.

3) Research Environment

The three universities and CEINDO shall ensure a stimulating working and training environment with adequate facilities and equipment, within budgetary constraints, as well as possibilities such as remote collaboration through research networks, and compliance with national or sectoral regulations on health and safety in research.

4) Gender equality

The three universities and CEINDO shall ensure that a representative gender balance at all levels, through means for promoting equal opportunities when hiring personnel and in the subsequent professional phases. These measures shall not affect the quality or competence criteria.

5) Value of Mobility

CEINDO recognises the value of geographical, intersectoral, interdisciplinary and virtual mobility as well as mobility between the public and private sectors as a means to strengthen scientific knowledge and professional development at any stage of the research career, incorporating mobility in the training strategy of doctoral students.

6) Access to profesional guidance

CEINDO shall ensure that doctoral students receive vocational and employment guidance.

7) Intellectual and Industrial Property Rights

CEINDO shall ensure that researchers benefit from, at any time in their career, the eventual exploitation of their R&D results through the appropriate legal protection specially in terms of intellectual and industrial property rights protection.

8) Research Works, Publications and Patents authorship

The status of author does not depend on belonging to a given profession or hierarchical position, nor on the nature of the employment relationship, but on the contribution to research. In order to have the full status of author of a publication or patent it is necessary to: a) have made a substantial contribution to the creative process, in other words, to its conception and design or the analysis and data reading, b) have contributed to the preparing of resulting communications, reports and publications and c) be able to present in detail the personal contribution to the research and discuss the key aspects of the research as a whole.

The solely participation in obtaining resources or collecting data, such as the provision of test subjects, does not necessarily justify authorship, even though they must be named in the acknowledgement section. In those research projects in which using samples, analysis or reports provided by third parties is foreseen, is advisable to priorly establish a procedure in which the potential intellectual contribution to the project as well as to any other dimension related to personal data protection are taken into account.

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9) Co-authorship

When assessing personnel, institutions should positively value co-authorship as it demonstrates a constructive approach to research practice. Therefore, employers and/or funders should develop strategies, practices and procedures that provide researchers, including early career researchers, the necessary conditions to enjoy the right to be acknowledged, mentioned and/or quoted, within their actual contributions, as co-authors of reports, patents, etc. or to publish the results of their own research independently of their supervisors.

10) Conflict resolution

In the event of a conflict, the parties must inform the coordinator of the corresponding doctoral programme, who will act as mediator. If the mediation of the coordinator and, where appropriate, of the academic committee does not resolve the conflict, it must be referred to the Director of the CEINDO, who will decide what is appropriate.

If the doctoral programme is carried out within the framework of an agreement with another institution, the parties must also abide by the provisions of the collaboration agreement, the content of which must be previously known by the parties insofar as relevant.

11) Participation in decision-making entities

The School shall ensure that the different sectors that take part can participate in the decision-making or consultation organisms. For these purposes, the doctoral students shall become part of the different CEINDO Quality Assurance committees, as well as the governing boards, according to the regulations of the member universities of the School.

CEU International Doctoral School adheres to the European Charter for Researchers and a Code of Conduct for the Recruitment of Researchers, that can be accessed on: <http://ec.europa.eu/euraxess/index.cfm/rights/codeOfConduct>

GENERAL PRINCIPLES AND REQUIREMENTS APPLICABLE TO RESEARCHERS

1) Academic freedom

Researchers should direct their work towards the advancement of scientific knowledge for the common good, while enjoying the freedoms of study and research, as well as the freedom to determine methods of problem solving, within the framework of commonly recognised ethical principles and practices.

Doctoral students attached to the CEINDO shall at all times act in full compliance with the internal rules of the university in which they are enrolled. In addition, researchers must accept possible limitations to these freedoms arising from certain research circumstances (supervision, guidance or management activities), from operational constraints such as budgetary or infrastructural reasons, or reasons of intellectual property protection.

2) Ethical principles

Researchers must observe the recognised ethical practices and fundamental ethical principles relevant to their disciplines, as well as the ethical standards set out in the relevant codes of ethics.

3) Professional responsibility

Researchers must ensure that their work is relevant for society and to not duplicate work previously done by others. They must avoid plagiarism of any kind and respect industrial and intellectual property rights, where appropriate jointly, when the research is carried out in collaboration with other researchers.

4) Professional attitude

Researchers should be aware of their field of activity and the possible funding mechanisms available and should apply for the necessary permissions before starting their work or accessing the resources provided. They should also inform managers when their research project is delayed, redefined, or completed, and when it must, for whatever reason, be abandoned or discontinued earlier than planned.

5) Contractual and Legal obligations

Doctoral students must be familiar with the national, sectoral or institutional regulations governing the conditions for carrying out their research. This includes regulations on industrial and intellectual property rights, as well as the requirements and conditions of possible collaborations with funding bodies. Doctoral students must comply with these regulations by delivering the required results, such as theses, publications or reports, as stipulated in the agreement or equivalent document, of which they shall be informed in the thesis commitment.

Especially when the research to be carried out involves the use of human beings and samples, research animals, genetically modified organisms or personal data, the current legislation and the reports, permits and supervision corresponding to the Research Ethics Committees of the universities that make up CEINDO and any other committees that supervise these scientific practices in their respective areas shall be observed.

6) Accountability

Researchers at all levels must accept the principle that research must be transparent and that they must always be able to give an account of their work, given the importance of the opinion of their peers in assessing their findings and the social impact of scientific activity.

Consequently, doctoral students, as researchers in training, are accountable to the School and the University, as well as to Society as a whole, in particular when they receive public and/or private funds, for whose effective and efficient use they are responsible.

Researchers receiving public or private funding for research must also observe principles of sound, transparent and efficient financial management and cooperate with any authorised audit of their research, whether undertaken by the funding bodies or by an ethics committee.

7) Good practice in Research

Researchers must at all times follow safe working practices in accordance with national legislation and the regulations of the three universities, taking the necessary health and safety precautions. They must also be aware of the national legal requirements on data protection and confidentiality and take the necessary measures to comply with them.

8) Results dissemination and exploitation

All doctoral students, guided and motivated by their tutors and thesis directors, must ensure that the results of their research are disclosed and take advantage through communications, transfer to other fields of research, commercialisation and, in particular, dissemination in relevant scientific publications.

8.1.- Publication in peer-reviewed journals

Researchers shall ensure that the results of their work are made known, inter alia, through the publication of articles in peer-reviewed journals. The results of scientific research, in whatever field, should always be subject to peer review, and the publication of results in peer-reviewed journals or other media, as well as in internationally indexed journals with a high impact index, should be pursued.

8.2.- Protection of results with potential commercial interest

If the results obtained in a research project may lead to inventions or applications potentially susceptible of being protected due to their commercial interest, the person responsible for the research project must inform the management of the School and manage the publication of the results taking into account this circumstance.

8.3.- Non-published results

Non-publication or undue delay of research results is incompatible with the proper use of resources. The publication of results of studies in which people have participated as test subjects is an ethical imperative.

8.4.- Repeated publication

Duplicate or redundant publication is considered an unacceptable practice.

8.5.- Bibliographic references to third parties

In publications as well as in patent or utility model files, it is necessary to include the reference of work directly related to the research, while avoiding honorific or unjustified references.

8.6.- Institutional loans and grants

Both in communications to congresses or other types of previous presentations and in the final publication of the results of the research, the institutions, or centres to which the authors

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belong or belonged, where the research has been carried out and the details of the subsidies, grants or financial sponsorship received must be explicitly stated.

9) Engagement with society and presentation in communication media

Researchers must ensure that research activities are made known to society in general terms. This way, the presentation of results on communication media must include an informative explanation, adapted to a non-specialised audience. In this type of public presentations, the name of the authors must be linked to their institutions and, whenever possible, subsidies and grants received shall be mentioned.

10) Premature presentation to the media

A research's communication and dissemination of results to the media is unacceptable. Before the acceptance of their publication or presentation in congresses, they must have been verified.

11) Relation between doctoral students, tutors and thesis directors

The doctoral students, as researchers in training, must maintain a constant relation with the tutors and thesis directors, as well as, where applicable, with representatives of the university, of the CENIDO, with the coordinator of the programme and, especially with the person in charge of the line of research, registering the results of the research, according to the calendars agreed and fixed objectives.

12) Monitoring and Managements Tasks

Tutors and thesis directors, must pay special attention to their work as educators, guides, or communicators in scientific matters, carrying out these tasks according to the highest professional standards. Expert researchers must create a constructive and positive relationship with junior researchers to establish the necessary conditions for an efficient and transparent transfer of knowledge and for the future good development of their careers as researchers.

13) Continuous Academic Evolution

The doctoral students, at any academic period, must ensure the constant improvement and expansion of their knowledge, through their continuous work, in a regulated manner, through seminars and conferences, as well as the possibilities that online learning offers.

GENERAL PRINCIPLES AND REQUIREMENTS APPLICABLE TO PHD SUPERVISION

1) DOCTORAL STUDENTS' OBLIGATIONS

- a)** Studying in a responsible and reflective manner and participating in the academic activities that help to complete their education.
 - b)** Respecting the members of the university community and the personnel of collaborating entities or that offer services with university, as well as taking care and using their goods, equipment, and facilities efficiently.
 - c)** To know and comply with the Organisational and Operational Regulations of the University as well as other implementing provisions.
 - d)** Observing the rules, procedures and deadlines that the School establishes for the correct processing of doctoral final projects.
 - e)** The doctoral students are obliged to act according to the principles of scientific integrity, avoiding or making public any possible conflict of interests in which they
- Code of Good Practice - CEU International Doctoral School (CEINDO) [6]

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- f) The students must commit to the study and research with the intensity and dedication necessary, going to the calls and meetings set by their tutors, directors or, whenever applicable, thesis co-directors, carrying out certain activities in the doctoral students' activities document in the deadlines specified for this purpose and undergoing regular assessment by their tutor, director, and co-director.
- g) The students must maintain a pace of work adapted to the full-time or part-time regime in which they are enrolled. Any change in the agreed deadlines must have the approval of the thesis supervisor and be approved by the academic committee.
- h) The doctoral students must respect the functions and competences of the thesis director, tutor and, whenever applicable, co-director and cannot receive instructions from different persons, without the express authorisation of whom has assumed the thesis supervision.
- i) The doctoral students must commit to the loyal use of information, data and samples that facilitate the thesis director, tutor and, when applicable, co-director and respect the intellectual authorship and property of one or the other.

2) DOCTORAL STUDENTS' RIGHTS

- a) The doctoral students, when admitted, must receive basic detailed information about their responsibilities and rights, specially in relation to deadlines that will have to commit to when preparing and defending their doctoral theses.
- b) In case of students with disability-related special educational needs, every programme's academic committee, by a report prior to their admission, shall determine the convenience of introducing curricular adaptations, alternative itineraries or studies to ensure equal opportunities.
- c) The School's Management Committee, hear the concerning programme's committee, must establish the tools to recognise the knowledge and competences or the professional experience acquired in the past, in accordance with the current legislation and the and the adequacy for the doctoral programme.

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- d) The necessary conditions to promote academic and scientific excellence and addressing equity and social responsibility, avoiding discrimination and restriction of doctoral students' rights, ensuring at all times respect to the principles of merit and capacity.
- e) Every doctoral student must have a tutor that guides their educational process, a director and, whenever applicable, a co-director, with accredited scientific experiences that supervises their academic evolution during the carrying out of the doctoral theses. They shall be freely assigned by the Academic Committee. their replacement shall also be granted, the establishment of the necessary means to allow, when appropriate and in the dully justified cases.
- f) The acceptance of the theses supervision by the director requires mutual acquaintance of supervisor and student, which shall be acquired in interviews in which mutual acceptance for work on a specific doctoral research project can be reached.
- g) The integration of doctoral students in research groups and networks shall be promoted, favouring their research career and national and international mobility.

3) Regular monitoring and supervision of doctoral students

Doctoral students are entitled to regular monitoring and supervision of their research. They must maintain a commitment to mutual collaboration with the supervisor, tutor and, where appropriate, the co-supervisor, in order to present the doctoral thesis project, the preparation and, finally, the defence of the doctoral thesis, in accordance with the established procedures and deadlines.

4) Research plan and doctoral thesis

By the end of the first year, every doctoral student must elaborate their research plan, in which the description of the projects, the aimed objectives, the methodology, the means and their temporary application must be included.

Universities promoting CEINDO shall make sure that the title and content of the doctoral thesis project is not assigned to any other doctoral student during the life of the project. Furthermore, the proceedings for the modification of the title and the content of the thesis will be set out.

5) Confidentiality and data protection

Doctoral students must commit to keep silent regarding data and information that may be considered confidential information and that the thesis director, the tutor or any other member of the research team in which they are part of provide or reveal in an oral, written, graphic or any other manner. Additionally, students are obliged to not reveal, communicate, transfer or disclose to third parties and that is related to their work, using the obtained information solely and exclusively for the purpose of completing the doctoral thesis.

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In this respect, doctoral students shall sign the confidentiality agreements that may be required by the doctoral theses or research projects supervisors or tutors.

Students must also faithfully and rigorously follow rules, protocols and instructions they are given for the adequate protection of the personal data to be used.

The confidentiality agreement shall remain in force and be binding even after the academic or working relationship between the doctoral students and the CEINDO has finished.

6) Research Projects promoted by business, industry or other profit-oriented entities

En los casos en los que la investigación de tesis doctoral se financie total o parcialmente por un tercero, deberán constar por escrito mediante convenio los acuerdos sobre los derechos de propiedad intelectual e industrial de las partes y, en su caso, el protocolo de contraprestaciones económicas. En este documento, cuyos elementos principales han de ponerse en conocimiento del doctorando, deberán garantizarse la supervisión académica de la universidad y sus derechos como autor del trabajo de tesis.

7) National and International Doctoral Stays

In cases where the doctoral thesis research is financed in whole or in part by a third party, the agreements on the intellectual and industrial property rights of the parties and, where appropriate, the protocol of financial considerations must be set out in writing by means of an agreement. This document, the main elements of which must be made known to the PhD student, must guarantee the academic supervision of the university and his or her rights as author of the thesis work.

8) Publication, protection and dissemination of results derived from the production of doctoral theses

The CEINDO shall promote the publication of results derived from the preparation of doctoral theses. If the publication is carried out by the School itself, prior review shall be carried out in accordance with objective, public and uniform rules in all cases, guaranteeing the protection of results with possible commercial interest and safeguarding in all cases the intellectual and industrial property rights of the PhD student.

If the publication includes authors other than the PhD students, the criteria and order of insertion of authorship must safeguard the rights of the students, in accordance with current regulations on intellectual and industrial property.

9) Rights and Duties of thesis directors and co-directors

a) Rights of the directors and co-directors

Doctors who meet the necessary qualifications in accordance with current regulations and with the prior authorisation of the academic committee of the corresponding doctoral programme may take on the supervision of doctoral theses.

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Doctors shall undertake the supervision of doctoral theses with criteria of responsibility and scientific accuracy, accepting a reasonable number of projects that will allow them to guarantee quality supervision and monitoring, taking into account the human and material resources available in each case. No more than five projects may be supervised simultaneously or ten in co-supervision, except with the express authorisation of the corresponding academic committee, which must be confirmed by the Management Committee.

The respective universities shall ensure that thesis supervisors have the necessary conditions to carry out their duties in accordance with quality criteria, and shall protect their professional activity from attitudes or actions that may damage their reputation and the results of their supervisory work.

The work of thesis supervision shall be recognised as part of the teaching and research dedication of the teaching personnel, through the mechanisms determined by each university.

b) Directors and Tutors Duties

The supervision of a doctoral thesis is a responsibility inherent to the status of doctoral professor and must be exercised as such.

The director of the thesis must act safeguarding the academic interests of the doctoral students and promoting their education. For this purpose, students must be guided in the elaboration of a realistic working plan, adapting to the dedication of the doctoral student to achieve, firstly, the presentation of the doctoral thesis project, the preparation and, finally, the defence of the doctoral thesis, in accordance with the procedures, monitoring and deadlines established in the applicable regulations.

Students must be responsible and respond to the coherence and suitability of the educational activities, the impact and originality in the field of doctoral thesis. The director will value and propose the convenience of a co-direction of the thesis together with another researcher when the academic reasons and the multidisciplinary topic when appropriate.

The director of the thesis must be the interlocutor between the student and the academic committee, ensuring that the PhD student complies with the requested requirements at all times during the development of the thesis project and during the doctoral education.

Directors and co-directors must participate in the procedures established by CEU International Doctoral School for the supervision and evaluation of the doctoral research activity and whenever appropriate, participate in the conflict resolution mechanisms.

They must guide and facilitate, in collaboration with the participating institutions of the doctoral programme, national and international doctoral mobility and the carrying out of complementary activities.

They must comply with the other duties inherent to their condition of teaching personnel of any of the universities CEINDO consists of, as well as what has been set out by the general legislation and in the University's rules themselves.

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10) Tutor's rights and duties

As a general rule, the thesis supervisor or co-supervisor shall assume the role of tutor. If this is not the case, the tutor must maintain permanent collaboration with the doctoral student, the thesis supervisor and, where appropriate, the co-supervisor, in order to achieve, firstly, the presentation of the thesis project, the preparation and, finally, the defence of the thesis of the student, in accordance with the established procedures and deadlines.

The tutoring of the students shall be recognised as part of the teaching and research dedication of the teaching personnel.

CEINDO'S CODE OF GOOD PRACTICE DISSEMINATION

CEU International Doctoral School shall disclose this Code of Good Practice for the general knowledge of the university community.

CEINDO shall promote education and values in good scientific practice during the research personnel education and in the proceedings of doctoral theses defence, with the aim of reaching the highest grade of quality in doctoral studies.