

# DOCUMENTARY COMMITMENT

PhD PROGRAMME IN

Year 20\_\_\_\_/\_\_\_\_

## DOCUMENTARY COMMITMENT

This document consists of a commitment that must be signed by CEINDO, the PhD student, thesis advisor(s) and mentor(s).

### DOCTORATE PROGRAMME

Name and Surname(s) of the

**Researcher in Training:**

National ID/Passport:

Address (Nº, Street, Postal Code):

City and Province:

Telephone Number:

Email Address:

Name and Surname(s) of the **Mentor**

National ID/Passport:

Telephone Number:

Email Address:

Name and Surname(s) of the **Thesis advisor**

Telephone Number:

Email Address:

Telephone Number:

Name and Surname(s) of the **Thesis co-advisor**

National ID/Passport:

Telephone Number:

Email Address:

**Terms of the documentary commitment**

**ANNEXE I – MENTORING AND SUPERVISION OF THE DOCUMENTARY COMMITMENT**

**ANNEXE II – ETHICS AND COMMITTEE EVALUATION**

In \_\_\_\_\_ the \_\_\_\_\_ of \_\_\_\_\_ of 20\_\_\_\_\_

Thesis Advisor/s  
(In the case of co-advisor, the following must  
be signed by all advisors)

The Researcher in Training

Signed:	Signed:
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Thesis Mentor (If you are not the Advisor or Co-  
Advisor of the Thesis)

Director of the CEU International Doctoral School

Signed:	Signed:
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*In compliance with Organic Law 15/1999, on the 13th of December, regarding the Protection of Personal Data, and other implementing regulations, all parties signing this document undertake to process the personal data contained herein in strict compliance with the duty of confidentiality and to use them exclusively for the purposes set forth herein. These obligations shall be of an indefinite nature and must therefore be observed not only while the commitments contemplated in this document are being carried out, but also once they have been completed.*

## **ANNEXE I – MENTORING AND SUPERVISION OF THE DOCUMENTARY COMMITMENT**

### **I. Purpose**

This document is an agreement made by the CEU International Doctoral School (CEINDO), together with the doctoral student, the mentor and advisor, establishing the functions of supervision of the tasks to be carried out by the doctoral student to complete the doctoral thesis.

### **II. Mutual Partnership Commitment**

To this end, the doctoral student, the mentor, the thesis advisor, the programme coordinator and the director of CEINDO commit to establish the conditions of collaboration that will allow the correct training of the doctoral student and the development of the research leading to the preparation and defence of the doctoral thesis within the scope of their respective functions, and in accordance with the procedures and deadlines established in the applicable regulations.

### **III. Regulation III**

The Signatories of this commitment declare that they are aware of the general regulations in force governing doctoral studies (RD 99/2011 Doctorate) and the specific regulations of CEINDO (Order 011506/2012), which govern the training leading to the preparation of the doctoral thesis and the awarding of the title of Doctor by CEINDO.

### **IV. Research project and timeframe**

Under the supervision of the thesis advisor, the PhD student will draw up a research project within the lines of the work defined in the PhD Programme, which will be specified before the end of the first year in a Research Plan to be submitted for approval to the Academic Committee of the Programme on the dates and in accordance with the procedures established for this purpose in CEINDO.

In terms of dedication (total or partial) recognised and authorised by the academic committee and the subject of the thesis, the research plan will include the expected date of completion of the thesis. This date may be modified by mutual agreement of the signatories to this commitment, in accordance with the regulations in force.

### **V. Obligations and rights of the doctoral student**

1. The doctoral student undertakes to perform the training activities programmed in the doctoral studies, to collaborate in documenting them in the individualised control register and to carry out the research object of the research plan, within the framework and deadlines established by the applicable regulations, under the monitoring and supervision of the undersigned mentor and/or thesis advisor, and must assume the obligations arising from this commitment, which are specified as follows:

- Conduct any additional training that may have been established.
- Attend, observe and follow the indications of the mentor and/or thesis advisor regarding the training activities to be carried out.
- Present the research plan and documentation of activities required for evaluation within the established deadlines.
- Regularly inform the mentor and/or thesis advisor of the performance of such activities and of the progress of the research work, the results obtained and any problems that may arise in its development.
- Follow the instructions given by the thesis advisor regarding the research work.

- Ensure the correct use of the facilities and material provided for the purpose of conducting the research activity.
- Dedicate the equivalent of 38-40 h/week to the doctoral programme and to writing the doctoral thesis if enrolled full-time (19-20 h/week if enrolled part-time).
- Submit the Thesis for its defence within the established deadline.

The present commitment will lose its validity and the PhD student will be withdrawn from the programme in the event of non-compliance with the above points in the context of the regulations in force.

2. During the development of the thesis at CEINDO, the PhD student will be a member of the research group where the thesis is being developed and will be guaranteed the necessary means to perform the research, according to the availability of the School.

## **VI. Duties of the Mentor and the Director/Co-director**

The mentor undertakes to advise, guide and regularly monitor the student's training activities.

The thesis advisor undertakes to supervise and monitor the research activity carried out by the PhD student with the necessary regularity to enable the PhD thesis to be deposited and defended on time; guiding and advising to ensure the quality of the research and ensuring that the PhD student develops initiative and autonomy in the planned line of research.

The Director will submit annual assessment/monitoring reports to the Programme's Academic Committee on the student's Activity Document and Research Plan.

## **VII. Compliance with ethical research principles**

The PhD student agrees to respect the ethical principles of research that correspond to the student's field of knowledge.

Specifically, regarding Confidentiality, the PhD student commits to keep secret all confidential data and information provided or revealed by the thesis advisor, mentor or any other member of the research team of which the student is a member by any means, as well as to use the information obtained exclusively for the completion of the doctoral thesis.

Likewise, the PhD student undertakes not to disclose or transfer to third parties, even in the event of a change in the direction of the thesis, information about the work or materials resulting from the research, either the student or that of the group, in which the researcher has participated, without having obtained, expressly and in writing, the corresponding authorisation from the previous thesis advisor or mentor.

## **VIII. Intellectual and Industrial Property**

Intellectual and industrial property rights shall be governed in accordance with the **Internal Regulations of the CEU International Doctoral School**.

The doctoral student will have the right to be recognised as the holder of the intellectual or industrial property rights that may correspond to the student in accordance with current legislation, and to appear as co-author in all the works, articles, or communications in which the results of the research where the contribution may be considered substantial and effective are presented.

If the doctoral student is teaching and/or part of the research staff at CEINDO, and the completion of the doctoral thesis constitutes a task entrusted to and/or has been carried out with the means and resources of CEINDO, the results derived from the intellectual or industrial property rights will correspond to the CEU International Doctoral School, without prejudice to the recognition of the doctoral student's authorship.

The PhD student accepts that the title and summary of the thesis will be published on the website that the CEU International Doctoral School will use for this purpose when the PhD degree is awarded.

In the case of inter-university or co-directed doctoral programmes, the CEU International Doctoral School and the participating universities awarding the degrees may save and protect the thesis, in hard copy or electronic format, following their respective procedures.

A copy of the Thesis will be sent to the library of the CEU International Doctoral School and to the libraries of the universities participating in the Programme, for archiving in the repository created for this purpose, except in cases of confidentiality of the content of the Thesis, as well as in those cases in which protection by registration or patent of property and industrial rights is pending.

The members of the CEU International Doctoral School's university community may access and use doctoral theses in the academic environment, for their reading, study, and scientific work, stating in all cases, when citing their content, their title and the name of the author, in accordance with good practice in scientific work.

In the case of doctoral theses performed in collaboration with companies or other R&D&I entities, at the time of establishing said collaboration, an annexe shall be added to this commitment document specifying the percentage corresponding to each party of the exploitation rights of the results of said theses. This appendix must be signed by the PhD student, the representative of the company or entity and the thesis advisor.

#### **IX. Modification and conflict resolution**

The parties shall endeavour to resolve any disagreement in relation to this agreement in a conciliatory manner. If they are unable to resolve the conflict, the signatories of this agreement must be reported to the Academic Committee of the PhD Programme, which will seek the best way to resolve it.

In the event of any conflict arising from non-compliance with any of the points covered by this agreement, or for any other reason related to the completion of the doctoral thesis, including a change in the direction of the thesis, the parties agree to submit to the decision of the Academic Committee of the corresponding doctoral programme, which will be approved by the School's Management Committee.

If the PhD student fails to fulfil the obligations or does not meet the scientific requirements, the commitment will be cancelled and the Academic Committee will inform the signatories.

#### **X. Validity**

This document will be effective from the date of signature until the doctoral thesis is defended on time.

If an extension has been authorised in accordance with the regulations of the CEU International Doctoral School, this document will be understood to be valid for the duration of the extension.

## **ANNEXE II- EVALUATION BY THE INSTITUTION'S RESEARCH ETHICS COMMITTEE (REC)**

### **Types of research work that must be EVALUATED by the Research Ethics Committee of the Institution (CEI-USP-CEU):**

Research Projects and Doctoral Dissertation Projects involving the following must be evaluated by the Research Ethics Committee:

- The use of biological samples of human origin, or data from humans, in studies in Experimental Sciences, Health Sciences and Life Sciences.
- Studies on human subjects, use of their personal data in studies on Social Sciences and Humanities.
- Animal testing procedures.
- Use of biological, chemical, radioactive agents or genetically modified organisms or organisms that affect the environment, humans, or animals.

### **Types of work that DO NOT REQUIRE the authorisation of the Research Ethics Committee of the Institution (CEI-USP-CEU):**

*Experimental Sciences, Health Sciences and Life Sciences:*

Observational (non-drug) studies that do not involve interventions or the use of biological samples of human origin using only clinical records or other anonymised or anonymised personal data do not require IRB approval.

*Social Sciences and Humanities Studies:*

Where anonymised data are used or anonymised databases are available, it is possible to conduct studies with these databases. The ethical principle of autonomy is not violated in this research.

### **IMPORTANT:**

1. The main function of the **Research Ethics Committee (REC)** of the institution is to promote and ensure the protection of the fundamental rights of individuals, their personal data, the proper treatment of animals used as experimental models, and the environment and the protection of workers.
2. The main researchers of the projects and thesis advisors are **responsible** for submitting the evaluation **applications** to the ERC.
3. The necessary documents, according to the type of study, to be completed and sent to the Technical Secretariat of the CEI [investigacion@ceu.es](mailto:investigacion@ceu.es) (OTRI), can be found at: <https://www.uspceu.com/investigacion/comites-comisiones>.
4. Applications should be submitted as far in advance as possible as the work designs are evaluated before the experimental phase, sample collection, personal data collection, surveys, recordings, etc., begins. The ERC cannot issue favourable reports on studies that have already passed this phase or have already been completed.