



universidad
de león



CODE OF GOOD PRACTICE OF THE DOCTORAL SCHOOL OF THE UNIVERSITY OF LEÓN

Article 9.88 of Royal Decree 99/2011 of 28 January regulating official doctoral courses provided that all persons in a doctoral school had to sign their commitment to comply with the Code of Good Practice adopted by that School.

Within the framework established by Decree 65/2013, of 3 October, and Order EDU/995/2013, of 26 November, regulating the creation, amendment and abolition of doctoral schools in the universities of Castile and Leon, and of the statutory and functional competences attributed to the University of Leon, the Code of Good Practice of the University of León was drawn up in 2014.

Given the time that has elapsed and the experience gained, as well as the new needs and regulations that have emerged over the years, it is necessary to adapt the previous Code of Good Practice to the changing reality, a need which, in a field such as university, becomes more evident for the very purpose of an institution whose R & D & I strategies must have the doctorate at the heart of its activities, thus contributing to the fulfilment of its role, as a driver of knowledge, development and human, economic and social progress, through research.

The European Charter for Researchers contains general principles and requirements on the role, responsibilities and rights of researchers and the entities employing or funding them, to ensure that the nature of the relationship between them is conducive to the generation, transfer, distribution and dissemination of knowledge and technological advances, and to the career development of researchers, recognising the value of mobility and the multiple role of researchers, performing research or development activities, and participating in supervision, mentoring, management and administration.

Therefore, the Code of Good Practice of the University of León's Doctoral School, inspired by the European Charter for Researchers, as part of the Code of Ethics of the University of Leon and the Code of Good Practice in Research, complements the existing legislation, both at national, regional and university level, essentially with the rules on the rights and duties of directors of Tesis, of the Tutores and Doctorates approved by the Governing Council of the University of Leon on 16 July 2018, establishing principles, criteria and commitments to channel relations between their members, avoid conflicts and promote accountability, integrity and fulfilment of the University of León's research functions, promoting the quality of doctoral training.

CODE OF GOOD PRACTICE OF THE DOCTORAL SCHOOL OF THE UNIVERSITY OF LEÓN

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1. Basic principles

The objective of the Doctoral School and doctoral studies is the training of researchers capable of joining the R & D & I system. To this end, the correct use of human and financial resources should be targeted, starting with the alignment of the procedures for the admission of candidates and the approval of viable research plans.

Recognition of the essential role of doctoral candidates as researchers in training will be promoted and their full-time dedication will be encouraged through support for pre-doctoral contracts. Doctoral candidates can exercise their rights and must comply with regulations and obligations, and report to the doctorate programme, the doctoral school, the university and society.

Directors, mentors and doctoral candidates shall direct their work towards the expansion of the frontiers of knowledge, to the good of humanity and to economic and social development, ensuring that their work is relevant to society, based on the principles of equity, social responsibility and originality, avoiding plagiarism and self-reliance, respecting intellectual, industrial and joint property, and ensuring that the results of their research are disseminated. In order to avoid the possible consequences of plagiarism, which may result in the revocation of the doctorate qualification and the disqualification of its director, the doctoral thesis may be submitted to a plagiarism control programme prior to its processing. The validation of experiments and data and the reinterpretation and adaptation of methodologies of other research groups shall not be considered as plagiarism, provided that the original source and credits are explicitly quoted.

Directors, mentors and doctoral candidates will be active in a context of freedom of thought and expression, as well as in identifying problem-solving methods, and within the framework of safe practices and recognised ethical principles and codes of ethics, exercising their rights and fulfilling their obligations, subject to existing material and budgetary constraints, regularly and continuously improving their qualifications and competences and pursuing excellence. They must be aware of and comply with European, national, regional and internal legislation of the University of Leon, the strategic objectives and funding mechanisms, and must be subject to regulatory reports, permits and supervision. They shall report on progress, delays, redefinitions, suspensions or abandonments, and deliver the required results in due time.

The Academic Committees of doctoral programmes are primarily responsible for the training and supervision of doctoral candidates and will be composed of appropriate experts in the research strands of the programme. They shall be responsible for the resolution of complaints of an academic nature of doctoral studies and shall take appropriate decisions to prevent, prevent and resolve conflicts.

The University will promote excellence, research careers and mobility, scientific agreements and partnerships and the search for adequate funding, the establishment of agreements on confidentiality, property rights and economic consideration, and compliance with data protection rules, in accordance with the legislation in force.

The University should recognise the work of all those involved in the doctoral training process, ensure equal rights and opportunities for all. It should adequately advertise its doctoral programmes and the research curriculum, in compliance with data protection rules. It should ensure, through the Doctoral School, the professional development of the doctorate by organising the specific activities necessary for this purpose.

All members of the Doctoral School shall know and comply with the rules in force and the guiding principles of the University of Leon as laid down in its Statute approved by Decision of the Government of Castile-

Leon of 243/2003 of 23 October 2009, shall avoid any discrimination on the basis of any personal or social condition or circumstance and shall not promote investigations that undermine people's fundamental rights, animal welfare, the environment and sustainable development.

All members of the Doctoral School shall collaborate in the quality assessment processes provided for in the internal quality assurance system.

2. Purpose and field of application

The purpose of this Code of Good Practice is to establish a set of criteria, recommendations and commitments, both in terms of procedure and research results, to clarify the expectations and responsibilities of the members of the Doctoral School in order to avoid integrity problems in their conduct, to maintain relationships conducive to the generation, transfer, distribution and dissemination of knowledge and technological developments, and to ensure the quality of the doctoral process.

This Code of Good Practice is a complementary instrument to the legislation in force, in line with the European Research Human Resources Strategy (HRS4R), and must be adopted by doctoral candidates, directors, mentors, coordinators and the bodies of the Doctoral School, as reflected in the documentary commitment to supervision signed by the interested parties and set out in the Annex hereto, and must be complied with by all members of the Doctoral School.

Doctoral programmes shall establish an organisational structure which clearly defines lines of responsibility and communication mechanisms between directors, mentors, doctoral candidates and academic committees, to which any irregularities will be reported. The total number of doctoral candidates in charge of a tutor and a thesis director must be appropriate and compatible with the scope of their obligations and commitments.

The Director is responsible for the physical and intellectual environment in which the doctorate carries out its research project, the quality of the research plan and the originality of the doctoral thesis. He must maintain regular contacts with the doctorate and draw up with him and the mentor the doctoral training plan, ensuring compliance with the regulations and obtaining the required reports and authorisations, and providing information on opportunities for research, academic and professional career development.

The mentor is responsible for matching training and research with the principles of the doctoral programme and the Doctoral School, and should promote the values inherent in good research, in particular ethical principles, social responsibility, lifelong learning, professionalism, accountability to funders and society, transparency of research and publication of results.

The main responsibility of doctoral candidates is to acquire the skills necessary for the development of their doctoral thesis, to advance professionally and to fulfil the commitments relating to the funding of their research. They must actively contribute to their planning, interpretation and analysis of results, taking advantage of the opportunities offered to them to form part of research networks or to set up their own networks, ensuring that results are obtained, knowledge and compliance with generally accepted standards of fair and honest scientific conduct, that the data generated are always available, properly managed together with their director, respecting intellectual property rights and taking care of the materials and equipment that they use in their doctoral activity. Where necessary and required by the competent authorities, the methods of data collection and analysis, datasets and overall results shall be open to internal and external review.

The Academic Committees, the Doctoral School, the administrative services and the research support services should collaborate, with the means available and with speed, in the development of doctoral thesis, facilitating the integration of doctoral candidates into the environment, advising them on administrative tasks and facilitating the establishment of smooth relations between the actors involved in the development of the doctoral thesis.

3. *Good practice in research*

Researchers must be aware of and follow, at all times, safe working practices, in accordance with European, national and regional legislation and with the University of León's own procedures for the safety service, including taking the necessary precautions with regard to safety and hygiene, and information security and the recovery of computer accidents. They must also be aware of the regulatory requirements of data protection and confidentiality and take the necessary measures to comply with them.

All projects involving research involving human beings, biological samples of human origin, use of personal data, animal testing, biological agents or the use of genetically modified organisms must always comply with the provisions and limits laid down in the legislation in force and must have the express authorisation issued by the Ethics Committee of the University of León.

The doctorate must undertake to keep confidential any data and information which may be regarded as confidential and which is supplied or disclosed orally, in writing, graphics or by any other means of dissemination by the director of the thesis, the mentor or any other member of the research team of which he/she is a member. It also undertakes not to disclose, disclose, transfer or disclose to third parties any information relating to its work, using the information obtained solely and exclusively for the purpose of drawing up its doctoral thesis. You must also sign any confidentiality commitments you may require from your doctoral thesis, research project managers or mentor.

4. *Dissemination and exploitation of results*

Researchers should ensure, in accordance with their contractual clauses, that the results of their research are successful, disseminated and exploited by society, inter alia, by means of repositories, releases, transfers to other research contexts or, where appropriate, through commercialisation, with expert researchers being responsible for taking the initiative in this regard. They should be rigorous in their investigation and interpretation of their results, reviewing them before publication and making explicit and public corrections as soon as possible if significant errors are detected after publication.

The data resulting from the doctoral thesis shall be public, in accordance with the Open Access Mandate Policy of the University of León, including membership of the University of León, and, with the authorisation of directors and researchers, may be used by third parties, subject to confidentiality restrictions or possible future marketing. Duplicated or unnecessarily fragmented publication is unacceptable and non-publication or excessive delay in publication may constitute a serious misappropriation of resources. In other words, if the doctoral thesis is fragmented and published in the form of articles once defended, it cannot be published as a monograph in any language (either in the language of drafting the text or in another language).

The Doctoral School shall encourage and promote the transfer of research results to society, managing them appropriately for their protection, valorisation and, where appropriate, commercialisation. Communication and dissemination of results to mass media will require prior peer review and should not create false expectations regarding the research carried out.

Evaluations analysing scientific publications, such as for the resolution of extraordinary doctoral awards, will analyse the quality and potential relevance of scientific production in addition to its number.

5. Relationship with tutors and directors

Researchers in training should maintain a structured and regular relationship with their supervisors and representatives of the faculties, schools and departments in which they operate.

This includes keeping records of all findings and findings, obtaining feedback through reports and seminars, implementing such feedback and progressing work according to agreed timetables, targets, presentation of research results or outputs.

They must maintain a commitment to collaborate with the director, tutor and, where appropriate, co-directors in order to obtain the presentation of the draft doctoral thesis, the drafting and, finally, the defence of the doctoral thesis, in accordance with the procedures and deadlines laid down in the regulations.

6. Access to research and continuous development training

Researchers should seek to continuously improve through regular updates and extensions of their qualifications and competences, through, inter alia, formal training, seminars, conferences and virtual learning.

This professional development will be complemented by national and international stays by the doctorate, which must be strictly aimed at carrying out studies complementary to what your doctoral thesis will be. To this end, they must be authorised by the Director and the Academic Committee. Director, mentor and Academic Committee will assess their performance and will be reflected in the PhD's Activity Document.

7. Research environment

Care will be taken to create a stimulating working and training environment providing adequate facilities and equipment and possibilities such as remote collaboration through research networks, as well as compliance with national or sectoral regulations on health and safety in research. They should ensure that the agreed work programme is adequately resourced.

8. Continuous professional development

All researchers will be given the opportunity to develop professionally and improve their employability by accessing measures for the continuous development of their skills and competences. Such measures should be regularly assessed for their accessibility, take-up and effectiveness in improving competencies, skills and employability.

9. Intellectual and industrial property rights

It shall be ensured that researchers benefit from the possible exploitation of their results through appropriate legal protection, in particular intellectual property and copyright.

The policies and practices of the University of Leon should specify the rights of researchers or, where appropriate, their employers or other stakeholders, including external commercial or industrial entities, as possibly foreseen under specific collaboration or other agreements.

In particular, in cases where the development of the doctoral thesis is based on research which is wholly or partly financed by a profit-making organisation, particular care must be taken to record in writing, as much as

possible, all agreements on the parties' intellectual property rights and the protocol on economic consideration. In this document, the rights of the doctorate, as author of the doctoral thesis work, must be guaranteed.

In the case of private funding, the rules on intellectual and industrial property and the internal rules of the University of Leon on the protection of research results, contained in the Regulation on contracts, agreements and research projects, published pursuant to the Resolution of 6 February 2006, shall also apply, with the public interest and transparency always prevailing, with appropriate agreements being drawn up and set out in the corresponding agreement.

10. Co-authorship

When assessing the researcher, co-authorship should be positively assessed, with the particularities applicable to each field of knowledge, as it demonstrates a constructive approach to the practice in the research. Strategies, practices and procedures will therefore be developed to provide researchers with the necessary conditions for them to enjoy the right to be recognised, mentioned or cited as part of their actual contributions, such as co-authors of reports, patents, etc., indicating where possible the degree of contribution of each co-author to the activities carried out, or publishing the results of their research independently of their supervisors.

Co-authorship requires substantial input into the design, analysis and interpretation of data, contribution to the preparation of communications, reports or publications, and ability to present in detail the personal contribution and discuss the main aspects of the package. All co-authors shall accept the final wording and shall be jointly responsible. The omission of the name of any one constitutes misappropriation of the intellectual property, and the requirement to appear as co-author, without those contributions, by virtue of the hierarchical position or employment relationship, constitutes an abuse of authority. The mere participation in the collection of resources or data collection should only be recognised in the "thanks" section. The mention in this paragraph or in the "personal communication" section must be authorised by the data subjects.

11. Supervision

The Doctoral School shall ensure that doctoral candidates receive clear information on the bodies to which they can direct their queries on issues related to the fulfilment of their duties.

The provisions should clearly state that the proposed supervisors should have sufficient experience in the supervision of research work, and should have the necessary time, knowledge, experience, technical skills and dedication to be able to provide the trainee investigator with adequate support and implement the necessary progress and review procedures as well as reaction mechanisms.

Doctorate holders with the necessary regulatory qualifications, and subject to authorisation by the Academic Committee of the doctoral programme, may take the lead or co-leadership of doctoral theses (accepting a reasonable number of projects to which they can ensure quality monitoring and monitoring, taking into account the human and material resources available, limiting the number of projects to be evaluated simultaneously).

The director or co-director of the thesis must draw up a realistic work plan in order to achieve the presentation of the project, the drafting and, finally, the defence of the doctoral thesis of the doctorate, in accordance with the procedures and deadlines laid down in the applicable regulations.

The mentor must collaborate with the doctorate, the director of the thesis and, where appropriate, the co-director in order to achieve the drafting, and finally the defence of the doctoral thesis.

12. Evaluation and assessment systems

Evaluation and appraisal systems shall be applied to all researchers in such a way that their professional performance is assessed on a regular and transparent basis by an independent committee (and, in the case of experienced researchers, preferably international).

Such evaluation and appraisal procedures should take due account of their overall research creativity and research results, e.g. publications, patents, management of research, teaching/lecturing, supervision, mentoring, national or international collaboration, administrative duties, public awareness activities and mobility, and should be taken into consideration in the context of career progression.

13. Participation in decision-making bodies

It will be considered legitimate and desirable for researchers to be represented in the relevant information, consultation and decision-making bodies of the University of Leon, in order to protect and defend their individual and collective professional interests and to contribute actively to the work of the institution.

14. Settlement of disputes

Conflicts, concerns or disagreements that may arise between the doctorate, thesis director, mentor and, where appropriate, the co-directors, during the development of the doctoral programme, shall be communicated as soon as possible. If an amicable solution is not possible, they should be brought to the attention of the Academic Committee for the collection of the necessary data and reports. If it is not resolved, the dispute will be brought to the attention of the Steering Committee of the Doctoral School, and ultimately the Ombudsman of the University Community and, where appropriate, the Inspection Service or Conflict Resolution Committee of the Governing Council of the University of León.

Conciliation, mediation and arbitration will guide the actions of the bodies involved, within the framework of the applicable rules, and the Academic Committees and the Doctorate School should provide for a dispute settlement procedure; the latter will measure if actions that do not comply with this Code of Practice are detected and will seek to develop improvement strategies and a monitoring plan to prevent the emergence of future conflicts.

15. Documentary commitment to supervising doctoral studies

Given that the purpose of this Code of Good Practice of the University of Leon's Doctoral School is to help establish commitments, clarify expectations and determine the responsibilities of the parties directly involved in research (doctoral students, directors, mentors and doctoral programmes), the document undertaking to monitor the doctorate presented as an annex to this Code is established as a regulatory framework for the relationship.

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DOCUMENTARY COMMITMENT OF DOCTORAL SUPERVISOR

PHD STUDENT
Surname and forename:
Identification document:
Academic year of the start of the doctorate:
Doctoral program :

TUTOR
Surname and forename:
Assignment:

DIRECTOR (S)

HEAD OF THE UNIVERSITY OF LEÓN
Professor Dr D....., Director of the Doctorate School, by delegation of signature of the Rector dated.....

EXPRESS:

That they are familiar with the general legislation in force governing doctoral studies, namely Royal Decree 822/2021 of 28 September establishing the organisation of university education and the quality assurance procedure, and Royal Decree 99/2011 of 28 January, which regulates official doctoral courses and the Regulation on official doctoral education and doctoral degree at the University of Leon, approved by Agreement of the Governing Council of 16 July 2018, the provisions of which govern the transversal and specific training of doctoral studies aimed at preparing, presenting and defending doctoral thesis and, where appropriate, obtaining a doctoral degree from the University of León,

In the context of the duties assigned to each of them, they wish to establish the conditions of collaboration that will allow the proper training of doctoral studies and the development of research leading to the development and finally defence of the doctoral thesis, in accordance with the procedures and time limits laid down in the abovementioned legislation, in accordance with the following

STIPULATIONS

FIRST. Subject matter. The purpose of this commitment is to establish the principles governing relations between the University, PhD, tutor and thesis director (s) during their training in the doctoral programme in which they are enrolled and the period of completion of the doctoral thesis.

SECOND. Obligations of Doctorando. The doctorate undertakes to carry out the training activities set out in the doctoral programme, the specific training supplements that may be determined by the Academic Committee of the programme, to present the initial and annual research plan and to carry out the contents of the programme and to document them and, where appropriate, the research results obtained, in the individual register, in accordance with the applicable rules under the supervision and supervision of the tutor or thesis director, and specifically undertakes, inter alia, to comply with the following:

- Follow and follow the indications and recommendations made by your tutor or thesis director in relation to the planned training activities at the doctorate.
- Regularly inform the mentor or director (s) of thesis of carrying out such activities and of the progress of the research work, of the results obtained and of any development problems encountered, and of uploading the research plan, training activities and research results to the platform for the management of doctoral studies.
- Submit, within the deadlines set by the Academic Committee, the Research Plan and the Individual Activity Document for assessment of the activity carried out within the time limit laid down in the regulations.
- The doctorate also undertakes to undertake and go beyond the training activities assigned to it by the Academic Committee of its doctoral programme.

THIRD. Obligations of the Tutor. The mentor undertakes to advise, guide and follow the doctoral training activities.

FOURTH. Duties of the Director (s) of thesis. The Thesis Director undertakes to monitor and monitor the research carried out by the doctorate with the necessary regularity to effectively achieve the intended objective of depositing and defending the doctoral thesis, guiding, advising and ensuring that the doctorate develops its initiative and autonomy in the research line envisaged. Similarly, the Director (s) will annually issue the evaluation and monitoring reports on the activity paper, research results and research plan for the doctorate, submitting them to the Academic Committee and ensuring that the thesis is carried out with quality assurance.



FIFTH. Duties of the doctorate, mentor, director and academic committee. Everyone shall be liable for the originality of the doctoral thesis and for respect for the intellectual property rights of third parties. In order to fulfil these obligations, the parties to this undertaking shall have the means of verification provided for at the University of León.

SIXTH. Availability of means. The doctorate will have the physical, instrumental and services necessary to carry out the work of his doctoral thesis, which will be assigned to the director of the thesis and authorised by the director of the department/service/institute/institute/in accordance with the relevant rules and restrictions laid down at the University of León.

SEVENTH. Evaluation of PhD activities.

a. Before the end of the first year after enrolment in the programme, the PhD will submit the Research Plan for evaluation by the Academic Committee.

b. Each year, on the dates proposed by the Academic Committee, the doctorate must evaluate, in addition to the Research Plan, the document of its activities. The Commission will also use in the evaluation the reports to be issued for this purpose by both the mentor and the director (s).

c. Positive evaluation will be a prerequisite for the continuation of the programme. In the event of a negative assessment, which shall be duly substantiated, the doctorate holder shall be re-evaluated within 6 months, for which purpose a new Research Plan shall be drawn up. In the event of a new negative assessment, the doctorate will cause definitive deregistration from the programme.

d. Before the expiry of the time limit laid down in the rules governing academic status and retention in the doctoral programmes of the University of León, the doctorate must deposit doctoral thesis work or apply for an extension of one year, if he has chosen full-time work as a dedication, or for an extension of two years if he has chosen part-time work.

e. Upon completion of the extension authorised by the Academic Committee of the doctoral programme, the doctorate must either deposit his doctoral thesis or, exceptionally, request a final extension for another year, whether full-time or part-time.

f. After the expiry of the maximum period of residence without the work having been submitted for assessment by the Academic Committee, and without any request for admission to the proceedings for its defence, or if the assessment of the thesis has not obtained the positive result, the proposition will cease to be valid and the doctorate will be removed from the programme.

EIGHTH. Conflict resolution procedure. In the event of a breach of the commitments contained in this document or of any dispute that the parties cannot resolve, they agree to submit them to the Academic Committee of the Doctorate Programme, the Steering Committee of the Doctorate School, the Ombudsman of the University Community, and, where appropriate, the Inspection Service, and, ultimately, to the Conflict Resolution Committee of the Governing Council established by Article 76 (4) of the Statute of the University of León, in accordance with the procedure laid down in Article 11 of the Rules of Procedure of the Governing Council and its Committees approved by the Governing Council of 15 December 2002.

NINTH. Intellectual Property. The doctorate assumes that if, during the course of the research work, any result capable of being protected by one of the titles recognised by law is obtained, the ownership of industrial property rights, as well as property rights forming part of the intellectual property, shall belong to those determined by the legislation in force, including the provisions concerning the participation of all collaborators in the benefits derived from patents and the right to be included as co-author in all works, articles or communications containing the research results in which they have participated in a relevant manner.

TENTH. Doctorate, mentor, directors and academic committee undertake to comply with the Code of Good Practice and the rules on rights and duties adopted by the Doctoral School, with the general rules and internal rules of the University of León in force, and in particular with the rules on the publication of the doctoral thesis defended.

ELEVENTH. Period of validity. This document shall take effect from the date of signature until the date of the act of reading and defending the doctoral thesis or until the date on which a change of tutor or director/directors took place.

And, in order to prove the conformity of the above, the parties sign this document, giving copies to the doctorate, the mentor and each director, and archiving the original in the doctorate's file.

Leon a of of

Dr El Tutor The Head of thesis

Fdo.: Fdo.:

Fdo.:

The Director of the thesis,

The Director of the thesis,

Fdo.:

Fdo.:

The Rector,
(By delegation of signature dated.....)

The Director of the Doctoral School,

Fdo.: