**Doctoral Commitment**

The PhD degree is the third cycle of official university studies and leads to the acquisition of competences and skills related to quality scientific research, culminating in the presentation and defence of the doctoral thesis, and it involves the completion of a research project and an individual specialised and cross-cutting training plan.

This document, in accordance with the provision of Royal Decree 99/2011, of 28 January, which regulates official PhD studies, establishes the rights and responsibilities of the PhD student, the thesis supervisor(s), the thesis tutor, and the coordinator of the doctoral programme, the latter being in the name of the UAB, to ensure that the objectives that were previously defined during the period of producing the doctoral thesis are satisfied.

This document is signed by all parties at the time that the thesis supervisor(s) is (are) assigned to the PhD student, with the following agreements:

**1. Mutual collaboration between the PhD student and the supervisor and/or co-supervisor of the thesis**

The PhD student and the thesis supervisor(s) undertake to establish a relationship of mutual collaboration to ensure, firstly the presentation of the doctoral thesis project, the production of the thesis and finally the defence of the doctoral thesis in accordance with the procedures and deadlines established in the applicable regulations.

**2. Student obligations and dedication**

The student’s responsibilities are to:

a) Be committed to carrying out doctoral studies within the framework established by the applicable regulations and in accordance with the commitments that are set out in this document.

b) Produce and modify, where necessary, a research plan together with the thesis supervisor(s).

c) Sign the following documents: Doctoral Commitment, Research Plan, Training Plan, UAB Code of Good Practice and any other documents that may be required.

d) Inform the thesis supervisor(s) regularly of progress on the project, and of any problems that may occur during its development, and be committed to observing any comments that the supervisor(s) make(s).

e) Present the thesis supervisor(s) with work carried out in the format and with the frequency agreed previously. The frequency should take into account any possible holidays in the academic calendar.

f) Undertake the specific training activities of the doctoral programme and the transferrable training activities scheduled by the School for Doctoral Studies, and other activities agreed upon with the thesis supervisor(s) in accordance with that established in the Training Plan.

g) Consult the thesis supervisor(s) before carrying out any additional activity in order to jointly evaluate any possible repercussions on their dedication to the doctoral thesis.

h) Satisfy the requirements established by the review committee and progress on the doctoral thesis annually.

i) Present the thesis manuscript to the thesis supervisor(s) within a reasonable period prior to the date agreed for the submission, for a final review.

j) Make annual payment of the registration fee, and pay the defence fee and certificate issuance fee.

k) Satisfy health and safety requirements, or any other specific requirement in the place where the research is carried out.

l) Comply with the UAB Code of Ethics, the UAB Human Rights Policy and all other regulations in the UAB Integrity System, and the protocols deriving from these rules and regulations.

m) Carry out the online processes where required by the university relating to activities carried out, the research plan, the thesis submission, and any other processes as they are introduced.

n) Submit a copy of the doctoral thesis prior to the final submission for the processes indicated by the university for the detection of similarities and, where necessary, produce the corresponding report.

**3. Rights and responsibilities of the thesis supervisor**

The thesis supervisor’s responsibilities are to:

a) Ensure that the project is educational, original and innovative in nature and that it is viable in the terms established in the regulations as well as being coherent with the research line/group with which it is aligned.

b) Agree a plan for the supervision of the research and plan regular meetings with the PhD student. The supervisor(s) must establish documentary evidence for each meetings (written communications, messages, minutes, handwritten notes, etc.) to be able to accredit the frequency of such meetings.

c) Advise the student on their research in general and on the preparation of the thesis in particular, and review the student’s research plan.

d) Indicate to the student the most appropriate activities for their research where they are contemplated under the doctoral programme.

e) Facilitate the student's participation in the specific training activities of the doctoral programme and transversal determined by the Doctoral School, in accordance with the provisions of the training plan.

f) Sign the documents: Doctoral Commitment, Research Plan, Student Training Plan, UAB Code of Good Practice and other required documentation, if applicable.

g) Help student to define the project of their doctoral research that will eventually culminate in the doctoral thesis.

h) Commit to supervising regularly, and as often as set out in the Annex to this document, the student's research plan and training plan, guiding them and focusing the project as it develops.

i) Ensure that the student takes the initiative and gains autonomy throughout the project.

j) Assist the student in solving the different aspects related to the research and to establish the specific details of the research, as well as the means required and, where appropriate, the experimental design.

k) Inform the student of all the resources offered by the university that will be important for their research and facilitate access to them.

l) Prepare the mandatory reports for the annual review committee.

m) Read, correct and comment on the manuscript of the thesis prior to the agreed date for submission, provided that the student has provided the copy with reasonable time in advance.

n) Ensure that the student is aware of the administrative and academic requirements for the assessment and defence of the thesis, as well as the time limits corresponding to the entire process.

o) Communicate to the student, where appropriate, the rules of safety at work.

p) Inform the student of any rules or ethical aspects that may be related to their research.

q) Not supervise more theses than those provided for by UAB regulations, either at the UAB or at other universities.

r) Not supervise a thesis in those cases in which there is a marital bond or similar de facto situation and kinship of consanguinity within the fourth degree or affinity of the second degree between the supervisor(s) and the student; or have an intimate friendship or manifest enmity with the doctoral student; or have a service relationship or have provided professional services of any kind and any circumstance or position to the doctoral student.

s) Validate the research activities carried out by the student, as well as the online submission, if applicable, and any others that may be incorporated into the online processes provided by the university.

t) Prepare a report based on the result of the similarity detection processes, if applicable.

u) Comply with the UAB Code of Ethics, the UAB Human Rights Policy and all other regulations in the UAB Integrity System, and the protocols deriving from these rules and regulations.

**4. Responsibilities and dedication of the thesis tutor**

The tutor’s responsibilities are to:

a) Ensure coherence between the tasks of the student, the thesis supervisor(s) and their research group.

b) Ensure interaction between the student and the academic committee of the doctoral programme.

c) Ensure that the student's training and research activity are in line with the principles of the programme and the School for Doctoral Studies.

d) Sign the documents: Doctoral Commitment, the Research Plan, the Student's Training Plan, the Code of Good Practices and other required documentation, if applicable.

e) Review the student's research plan.

f) Prepare the mandatory reports for the annual review committee.

g) Refrain from tutoring the thesis in those cases in which there is a marital bond or similar de facto situation and kinship of consanguinity within the fourth degree or affinity of the second degree between the supervisor(s) and the student; or have an intimate friendship or manifest enmity with the doctoral student; or have a service relationship or have provided professional services of any kind and any circumstance or position to the doctoral student.

h) The research activities carried out by the student must be validated, as well as the online deposit, if applicable, and others that may be incorporated into the online processes provided by the university.

i) Prepare a report based on the result of the similarity detection processes, where applicable.

j) Comply with the UAB Code of Ethics, the UAB Human Rights Policy and all other regulations in the UAB Integrity System, and the protocols deriving from these rules and regulations.

**5. Confidentiality**

The student undertakes to keep secret all data and information that may be considered confidential information that the thesis supervisor(s), the tutor may be or any other member of the research team in which they are a member provides or reveals orally, in writing, graphically or by any other means of dissemination. Similarly, the student undertakes not to disclose, communicate, transfer or disclose to third parties any information that refers to them, using the information obtained solely and exclusively for the purpose of preparing the doctoral thesis.

The student undertakes not to disclose any information about the research project in which they are participating without having obtained, expressly and in writing, the corresponding authorisation from the supervisor(s) of the doctoral thesis. In any case, and where appropriate, students may avail themselves of the special procedure for the authorisation and defence of doctoral theses subject to knowledge and technology transfer processes established in the applicable UAB Academic Regulations.

The student undertakes to sign the confidentiality agreements that may be required by the supervisor(s) of the doctoral thesis or research projects in which they are participating.

The commitment to confidentiality and secrecy remains in force and is binding even after the end of the administrative or employment relationship between the student and the Universitat Autònoma de Barcelona, unless expressly authorised by the thesis supervisor(s) in writing.

**6. Intellectual/industrial property**

The student has the right to be recognised as the owner of the intellectual or industrial property rights that may correspond to them in accordance with current legislation, and to appear as a co-author in all works, articles or communications in which the research work in which the student has participated significantly is presented.

The student has the right to exercise the intellectual property rights derived from their training activity in research and in accordance with their scientific contribution, in accordance with the provisions of current legislation. The aforementioned rights are independent of, compatible and cumulative with other rights that may arise from the research carried out, without prejudice to the conditions derived from the collective work when the student participates in a collective research project or is associated with it.

The student may only include in the doctoral thesis fragments of other people's works of any nature if he/she obtains the author's authorization, or if these works are in the public domain, are under a "Creative Commons" license or are included by citation or for analysis, commentary or critical judgment. This inclusion may only be made for teaching or research purposes, and the source and the name of the author of the work used must be cited, in accordance with current legislation.

With regard to any industrial property rights that they may possess from the results of the research, the student is subject to the provisions of current legislation for university patents. In any case, under no circumstances shall the amounts that may be received for the exploitation and transfer of the aforementioned rights will not be considered as a salary.

**7. Conflict resolution**

In the event of conflict or non-compliance with the commitments included in this document, whenever possible, the student, the thesis supervisor(s) and the tutor must try to solve the problem amicably.

If this is not possible, the parties will inform the Academic Committee of the doctoral programme, which must act as a mediator, and, if this is the case, the Standing Committee of the School for Doctoral Studies.

If mediation does not resolve the conflict, the Delegate Committee of the Governing Council with powers over the doctoral programme will resolve the conflict, within a period of less than three months from receipt of the incident. An appeal may be lodged with the rector against the resolution of this committee, under the terms provided for in Law 26/2010, of 3 August, on administrative procedure in Catalonia.

If the studies are carried out within the framework of an agreement with another institution, the parties must comply with the specific provisions mentioned in the collaboration agreement, which must be known to the signatories of this document.

**8. Validity**

This document takes effect from the date of signature until the defence of the doctoral thesis. However, it is null and void in the event of non-compliance with any of the clauses provided for therein or with the regulations governing doctoral studies at the UAB.

Bellaterra (Cerdanyola del Vallès),             20     .

Mr/Ms       (full name of student)

(Signature)

Dr       (full name of the thesis supervisor) (In the case of co-supervision, all the assigned supervisors must be listed and sign)

(Signature)

Dr       (full name of the tutor)

(Signature)

Dr       (full name of the coordinator)

(Signature)