**The present document is written both in English and Spanish/Catalan languages. For its legal interpretation Spanish / Catalan version shall prevail, having the English version informative purposes only.**

**DOCTORAL-COMMITMENT DOCUMENT**

The doctorate is the so-called third cycle of official university study, leading to the acquisition of skills and abilities related to high-quality academic research, culminating in the presentation and defence of a doctoral thesis. This implies carrying out an original research project and an individualised training programme that is both specialised and transversal.

In accordance with the provisions of Spanish Royal Decree 99/2011, of 28 January 2011, which govern the official teaching content of doctorates, this document establishes the rights, obligations and reciprocal commitments of the doctoral candidate, thesis supervisor, thesis tutor and the coordinator of the doctoral programme (this latter person in the name of the UAB), in order to ensure attainment of the previously defined objectives, throughout the period in which the doctoral thesis is written.

This document is signed by the parties concerned at the moment of assigning a thesis supervisor to the doctoral candidate, with the following agreements:

**1. Mutual collaboration between the doctoral candidate and the thesis supervisor (or co-supervisors)**

The doctoral candidate and thesis supervisor shall undertake to establish mutual collaboration in order to ensure, first, presentation of the doctoral-thesis project; second, the writing of the thesis itself; and finally, the doctoral candidate’s defence of this thesis in accordance with the procedures and time limits established by the applicable regulations.

**2. The thesis supervisor’s obligations and dedication**

The thesis supervisor has the following responsibilities:

a) To ensure that the project is of an educational, original and innovative character, and that it is viable, within the time limits established by the regulations, as well as being coherent with respect to the research group/area to which it is linked.

b) To agree on a programme of supervision for the research work undertaken and to schedule regular meetings. The supervisor will establish the documentary means of recording each meeting (written communications, messages, minutes, other written formats, etc.) as a form of accrediting the frequency of these meetings.

c) To evaluate the doctoral candidate’s research, in general, and the preparation and writing of the thesis, in particular.

d) To indicate to the doctoral candidate those training and educational activities that are most suitable for the candidate’s research, when these are contemplated by the doctoral programme in question, and to sign the corresponding documentation.

e) To facilitate the doctoral candidate’s participation in specific and transversal training activities as determined by the doctoral programme, in accordance with that which has been established in the commitment document.

f) To sign the doctoral candidate’s commitment document and activities document.

g) To assist the doctoral candidate in defining the doctoral-research project that will eventually culminate in the doctoral thesis.

h) To review and sign the research plan pertaining to the thesis.

i) To undertake regular supervision of the doctoral candidate’s research plan, with the frequency established in the Annex to this document, and to guide and adjust the approach taken whilst the project is being developed.

j) To ensure that the doctoral candidate gradually develops a sense of initiative and gains in autonomy throughout the project.

k) To assist the doctoral candidate in solving various aspects relating to the research in question and to establish the specific details of such research, as well as helping with the means required for this and, if necessary, with experimental design.

l) To communicate to the doctoral candidate all those means made available by the university that are of importance in developing the candidate’s research, and to facilitate access to these.

m) To produce the required reports for the doctoral-monitoring committee.

n) To read, correct and comment on the thesis manuscript before the date agreed on for its formal registration, on condition that the doctoral candidate has provided a copy reasonably in advance of this date.

o) To ensure that the doctoral candidate is informed of the administrative and academic requirements for the evaluation and defence of the thesis, as well as the time limits corresponding to the entire process.

p) To communicate to the doctoral candidate, if required, work-related safety and security regulations.

q) To communicate to the doctoral candidate any regulation or ethical aspect that may be related to their research.

**3. The doctoral candidate’s obligations and dedication**

The doctoral candidate has the following responsibilities:

a) To undertake the development of their doctoral studies within the framework established by applicable regulations and in accordance with the commitments deriving from this current document.

b) To sign the commitment document and activities document pertaining to the doctoral candidate.

c) To review and sign the research plan pertaining to the thesis.

d) To regularly update the thesis director with information on the evolution of the thesis, of results obtained, and of the problems that may arise throughout its development, and to undertake to observe the comments made by the supervisor.

e) To present the thesis supervisor with work in the format and within the frequency schedule previously agreed. This frequency must take into account possible holidays within the academic calendar.

f) To carry out specific training and transversal activities scheduled within doctoral study, as well as other activities agreed on with the supervisor.

g) To consult the supervisor before carrying out any additional activity in the university in order to jointly assess the possible repercussions of this on the candidate’s dedication to the thesis.

h) To annually fulfil the requirements established by the doctoral-monitoring committee and by the progress of the thesis itself.

i) To present the doctoral manuscript to the thesis supervisor reasonably in advance of the date agreed on for the registration of the thesis, so as to facilitate its final revision.

j) To annually fulfil payment of all corresponding enrolment fees and of those corresponding to the thesis defence and to the issuance of the doctoral certificate.

k) To fulfil the requirements pertaining to work-related safety and security, or any other specific requirements that may be in place where the doctoral research is carried out.

l) To fulfil regulations of an ethical character established by the university.

The doctoral candidate’s thesis dedication is \_\_\_\_\_\_ *(part-time/full-time)*.

**4. The thesis tutor’s obligations and dedication**

The thesis tutor has the following responsibilities:

a) To ensure coherence among the tasks pertaining to the doctoral candidate, the supervisor and the research group.

b) To ensure interaction between the doctoral candidate and the doctoral programme’s academic committee.

c) To ensure the suitability of the doctoral candidate’s research training and activity with respect to the principles both of the programme and of the UAB Graduate School.

d) To sign the doctoral candidate’s commitment document and activities document.

e) To review and sign the research plan pertaining to the thesis.

f) To produce the required reports for the doctoral-monitoring committee.

**5. Confidentiality**

The doctoral candidate undertakes to keep secret all data and information that may be deemed confidential and that the thesis supervisor, tutor (if relevant) or any other member of the research team of which the candidate is member has provided or revealed in spoken, written, graphic or any other form or means. Additionally, the candidate undertakes not to reveal, communicate, cede or make available to third parties any information that makes reference to the said confidential information, and shall use the information thereby obtained solely and exclusively for the purpose of writing the doctoral thesis.

The candidate undertakes not to reveal any information pertaining to the research project in which they are participating without having previously obtained, expressly and in writing, the corresponding authorisation from the thesis supervisor. In all events, and if deemed necessary, the candidate may benefit from the special procedure for the authorisation and defence of doctoral theses submitted to the processes of knowledge and technology transfer established by the UAB’s Academic Regulation applicable to regulated university study in accordance with Spanish Royal Decree 1393/2007, of 29 October 2007, modified by Spanish Royal Decree 861/2010, of 2 July 2010.

The candidate undertakes to sign the confidentiality commitments that may be deemed necessary by the doctoral-thesis supervisor or the research projects in which the candidate participates.

The commitment of confidentiality and secrecy shall remain in force and shall be binding even after the termination of the administrative or employment relationship between the thesis candidate and the Universitat Autònoma de Barcelona, except where this may be authorised by the thesis supervisor, expressly and in writing.

**6. Intellectual/Industrial Property**

The doctoral candidate has the right to be recognised as holder of those intellectual or industrial property rights that may correspond to the candidate in accordance with current legislation, and to appear as a co-author on all papers, articles or communications that present that research in which the candidate has participated in a relevant manner.

The doctoral candidate has the right to exercise the rights of intellectual property arising from their educational activities in research and in accordance with their academic contribution, as established by the current legislation. These rights are independent, compatible and accumulative with other rights that may result from the research carried out, notwithstanding the constraints deriving from collective work when the doctoral candidate participates in a collective research project, or is associated to such an undertaking.

In the doctoral thesis, the doctoral candidate may only include excerpts from unrelated works of any kind if permission has been obtained from the author, or if these works are in the public domain, under a Creative Commons licence or if inclusion is for the purpose of citation, analysis, commentary or critical evaluation. Such inclusion can only occur in fulfilment of teaching and research objectives, and full reference must be made to the source and the name of the author of the work used, in accordance with the current legislation.

With respect to any eventual intellectual-property rights that the doctoral candidate may hold regarding results from the research carried out, the candidate is subject to the provisions of current legislation for university patents. In all events, in no case shall whatever sums payable for the exploiting and granting of these rights be in the form of salary.

**7. Dispute Resolution**

In case of dispute or breach of the commitments established in this document, whenever possible the doctoral candidate, thesis supervisor and tutor shall attempt to resolve the problem amicably.

If this is not possible, the parties shall inform the doctoral-studies coordinator, who will act as mediator.

If mediation does not resolve the dispute, the Delegate Committee of the Governing Council with responsibility for doctoral issues shall resolve the dispute in a period of less than three months from receipt of the incident. Appeal against the decision of this committee may be addressed to the Rector, under the provisions of Law 26/2010 of 3 August 2010, of Catalan public-administration procedure.

If the doctorate is carried out under an agreement with another institution, the parties shall fulfil the special provisions established in the collaboration agreement, of which the signatories to this document must be made aware.

**8. Validity**

This document shall take effect from the date of its signing to the defence of the doctoral thesis. However, it shall be deemed null and void in the event of the breaching of any of the clauses established herein or of the regulations governing doctoral studies at the UAB.

An Annex consisting in ... pages is enclosed to the present document.

Bellaterra (Cerdanyola del Vallès), \_\_\_\_ XX/XX/XXXX.

Mr/Ms \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_(name and surname of the doctoral candidate)

(signature)

Dr \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_(name and surname of the doctoral supervisor)

(If the doctoral thesis is co-directed, both designated supervisors must sign)

(signature)

Dr \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_(name and surname of the doctoral tutor)

(signature)

Dr \_\_Jordi González Sabaté\_\_\_\_\_\_(name and surname of the doctoral coordinator)

(signature)

**ANNEX**

Information that must be included:

1. General agreement on number and frequency of meetings between the doctoral candidate and the thesis supervisor, which may have been established by the doctoral programme itself. Storage of documentary evidence pertaining to each meeting (messages, minutes, paper-format notes, etc.).

2. Specialised and transversal training activities.

3. System of access to spaces, infrastructure and materials relating to the research in question.

1. The doctoral candidate and his/her thesis supervisor shall agree upon the frequency of the meetings which shall be determined by the workload of each period, since in some cases such workload might be heavy (for instance, around the period of submission of journal articles, preparation of presentation at congresses), but in other cases might be slight and spaced in time (reviews of the state-of-the-art or in-depth study of new proposals). In any case, both, doctoral candidate and supervisor shall commit themselves to meet at least twice a month. An email setting the date for the meeting might be considered as an evidence of the meeting itself.
2. With reference to the specific training activities, the doctoral candidate shall commit himself/herself to attend the seminars that his/her supervisor considers appropriate and he/she so advises, provided that this does not cause any economic harm to the candidate.
3. The doctoral candidate commits himself/herself to make responsible and diligent use of the laboratories and equipment that the supervisor makes available to him/her.

Lastly, by the signing of this document of commitment, the candidate, the director and the supervisor commit themselves to comply with the code of good practice, specified in the following link <https://www.uab.cat/doc/DOC_CBP_EN>