Universitat Pompeu Fabra Barcelona
Escola de Doctorat

PhD commitment document

DOCTORAL STUDENT DETAILS

DNI/NIE/Passport	
Family name(s), given name(s)	
Doctoral programme	

SUPERVISOR DETAILS

Thesis supervisor(s), University, centre or institution	

TUTOR DETAILS

Family name(s), given name(s)	

This document constitutes a commitment between Pompeu Fabra University, the doctoral student and their thesis supervisor, establishing the supervisory functions of the tasks to be carried out in order for the doctoral student to do their doctoral thesis.

The signatories to this commitment declare that they are aware of the current general regulations governing doctoral studies, as well as the specific regulations of the University, and agree that the provisions set out herein shall govern the processing and defence of the doctoral thesis that is the object of this commitment. In particular, they declare that they are aware that the doctoral student must sign a declaration of authorship and originality of the thesis in order to request to defend it, and that, once the thesis has been approved, it will be archived in electronic format and in open access in the TDX repository (Tesis Doctorals en Xarxa - doctoral theses online), except for those parts for which the Doctoral Programme Academic Committee has restricted publication.

Mutual collaboration

The doctoral student and the supervisor(s) undertake to collaborate to achieve, first, the definition of the research and training plan, then the preparation of the doctoral thesis, and, lastly, the defence of the doctoral thesis, in accordance with the procedures and deadlines established in the applicable regulations.

Duties and dedication of the doctoral student

The doctoral student undertakes to:

a) Be aware of and comply with the regulations of Pompeu Fabra University Doctoral Studies regarding administrative, academic and training matters.
b) Conduct the research that is the object of the research and training plan under the framework set out in the applicable regulations, under the supervision of the supervisor(s) and in accordance with the commitments arising from this document.
c) Regularly inform the supervisor(s) as to the development of the thesis project, including progress and setbacks, and consider suggestions made by the supervisor(s) for the performance of the thesis. The frequency and manner of this exchange of information must be agreed to by doctoral student and supervisor(s) at the start of the thesis.
d) Agree with the supervisor(s) on any additional training activities not included in the doctoral programme (courses, seminars, congresses).
e) Submit the thesis final document(s) to the supervisor(s) reasonably in advance of the agreed date for its deposit.
f) Keep the confidential data and information provided by the thesis project secret, undertake to use them exclusively for the completion of the doctoral thesis and not to disclose nor transfer to third parties any information or materials resulting from their own or the group's research without the express written authorization of the thesis supervisor(s).
g) Comply with the ethical standards and general good practices of Pompeu Fabra University and those specified in this doctoral commitment (see below).

Duties and dedication of the supervisor(s) and tutor

The supervisor(s) undertakes to:

a) Be aware of and comply with the regulations of Pompeu Fabra University Doctoral Studies regarding administrative, academic and training aspects.
b) Advise the doctoral student with regard to their project and in the preparation of their doctoral thesis, assisting them, together with the tutor, in the preparation of the research and training plan, which they will monitor.
c) Ensure that the thesis project is formative, innovative and feasible within the deadlines established by the University regulations. They will also ensure that the doctoral student has the necessary technical means and materials available to carry it out, as well as an intellectually stimulating and safe environment.
d) Supervise and regularly monitor the doctoral student's research activity. The frequency and manner of this exchange of information must be agreed to by the supervisor(s) and the doctoral student at the start of the thesis.
e) Advise the doctoral student on the most appropriate training activities for the doctoral thesis project and facilitate their development.
f) Review the documents submitted by the doctoral student and suggest improvements to them, with a reasonable timeframe for their introduction, agreed to between them.
g) Encourage the doctoral student to increase their autonomy and initiative throughout the duration of the thesis project and guide them regarding possible scenarios once the doctoral thesis is completed.
h) Comply with the ethical standards and general good practices of Pompeu Fabra University and those specified in this doctoral commitment (see below).
i) Collaborate with the Doctoral Programme Academic Committee in all that is necessary for the proper supervision and guidance of the doctoral student.

Besides the duties shared with the supervisor(s), the tutor undertakes to ensure the interaction of the doctoral student with the Doctoral Programme Academic Committee.

Finally, both of them undertake to decline to act as supervisor(s) or tutor in case of close kinship with the doctoral student or in any other situation that may involve a conflict of interests.

Good practices and ethical commitment

In order to promote the quality of research and guarantee integrity in scientific behaviour, the undersigned undertake to preserve the good practices and ethical principles recognized by the University in its code of ethics, as well as the rules set out in the various national, sectoral and institutional codes of ethics. The doctoral student and the supervisor(s) undertake specifically to adhere to the anti-plagiarism principles set forth in Law 14/2011, of 1 June, on science, technology and innovation.

In fulfilling this commitment, the doctoral student and supervisor(s) must fulfil the ethical requirements, managed for the appropriate purposes by the UPF Institutional Committee for the Ethical Review of Projects (CIREP-UPF), which appears as annex 1 hereto. **The Biomedicine doctoral students will not be required to fill out annex 1.**

Use of Artificial Intelligence in PhD research

The doctoral student and the thesis supervisor/s adhere to the AI permitted uses framework of the UPF PhD School. The commitment includes UPF PhD School guidelines TLA[1] for PhD candidates and their advisors, regarding the uses of Generative Artificial Intelligence in doctoral research, together with the UPF PhD Programme Guidelines TLA[2] of the specific Doctoral Programme of the PhD student. Finally, the doctoral candidate and the supervisor will expressly agree, via the Doctoral Learning Agreement, on more concrete detail if necessary. The doctoral candidate commits to informing the thesis supervisor(s) of the AI tools used, the purpose of their use, and the level of involvement in the different phases of the work, as well as guaranteeing that this use complies with the principles of academic integrity, authorship, and confidentiality, and with the institution's current regulations.

Intellectual/industrial property

The doctoral student is entitled to recognition as the holder of the intellectual or industrial property rights that may correspond to them in accordance with current legislation, and also to appear as a co-author in all works, articles or communications in which the results of the research are presented, provided that their contribution can be considered substantial and effective.

[1] The UPF PhD School Guidelines for Task Level Agreement(TLA) are available at PhD School website
[2] The UPF PhD Programme Guidelines TLA are available at each Doctoral Programme website

Conflict resolution

In the event of conflict, breach of or differences in the interpretation of any of the aspects covered by this commitment, whenever possible, the doctoral student and the supervisor(s) must try to solve the problem amicably. If this were not possible, the Doctoral Programme Academic Committee will be informed, which will gather all data and reports necessary to mediate and/or propose a solution. If the involvement of the Academic Committee does not resolve the conflict, it will be resolved by the Steering Committee of the UPF Doctoral School, without prejudice to further legal remedies.

Finally, as approved by its Governing Council, Pompeu Fabra University is an institution committed to zero tolerance regarding gender-based and LGBTI-phobic violence, as well as any form of discrimination based on sex, gender, sexual orientation, gender identity, origin, functional diversity or any other form of diversity or personal or social condition.

Note on the annex

By signing this doctoral PhD commitment, the doctoral student and the supervisor(s) also accept the conditions set out in the annex to this document.

Validity

This document shall come into effect from the date of signing until the reading of the doctoral thesis. However, it shall be deemed void in the event of any breach of any of the clauses provided for, as well as of the University's regulations governing doctoral studies.

Barcelona,_____, 20___

		On the date of the electronic signature.
Doctoral student:	**Tutor**:	**Doctoral School director**:

Thesis supervision:	

Personal data processing
Data controller: Pompeu Fabra University
Purpose: manage the academic records
Rights: access data, amend them, delete them, request their portability, object to their processing and request their limitation
Further information at https://rat.upf.edu/ca/ll01

ANNEX 1

The Biomedicine doctoral students will not be required to fill out annex 1.

Checklist of ethical aspects

General information

Name:
Provisional thesis title:
Thesis director:
Doctoral programme:
Is your thesis part of a project that has already been reviewed by a research ethics committee? No ◯ Yes. ◯ Please specify Project title: Committee that reviewed the project: Reference:

Table of ethical aspects

NOTES FOR COMPLETING THE TABLE

	Yes	No	Not sure
1. Does your doctoral research project involve collecting and/or processing personal data?			
2. Does your doctoral research project involve collecting and/or processing special category personal data?			
3. Does your project require observing people or their participation?			
4. Does your project require observing vulnerable persons or their participation?			
5. Does your project involve collecting and/or processing data from social media?			
6. Does your project involve activities in countries outside the European Union (EU) and/or importing materials from outside the EU or exporting materials to outside the EU?			
7. Does your project require the use of elements that may harm people, other living beings and/or the environment?			
8. Can your project have military applications (dual use) or can it be used for malevolent, criminal or terrorist purposes (abuse)?			
9. Does your project involve developing, deploying and/or using artificial intelligence systems of high-risk areas?			

Training and review

- If you have answered any of the questions “yes” or “not sure”, you must do the online training.
- In addition, if you have answered “yes” to questions 2, 4 and/or 8, write to secretaria.cirep@upf.edu to receive personalized attention and establish how to manage the ethical aspects involved in your project.

Commitments

☐ I hereby confirm that the checklist answers are correct.

☐ (If applicable) I hereby confirm that I have completed the training.

☐ I undertake to follow the basic principles of research ethics when conducting my doctoral thesis research project.

☐ I undertake to complying with applicable legislation regarding the protection of personal data when conducting my doctoral thesis research project.

☐ I undertake to consult my thesis supervisor if I have any doubts concerning ethical aspects or personal data protection during the development of my doctoral thesis project and inform secretaria.cirep@upf.edu of any major changes that have ethical implications.

☐ (If applicable) I undertake the follow the approved protocol of the project mentioned above.

Signature

Doctoral student	Thesis Supervisor	Date