

CODE OF GOOD PRACTICE OF THE DOCTORAL SCHOOL AT UNIVERSIDAD CARLOS III DE MADRID

I. OBJECT AND SCOPE OF APPLICATION

Article 1. Object

Universidad Carlos III de Madrid (hereinafter referred to as "UC3M"), in accordance with the procedure established in R.D. 99/2011, of March 28, has promoted the creation of the Doctoral School at UC3M (hereinafter DS-UC3M) as part of its strategy regarding doctoral training. R.D. 99/2011, of 28 January, which regulates official Ph.D. studies in Spain, indicates the requirement for Doctoral Schools to have a Code of Good Practice.

In the case of the DS-UC3M, the Code of Good Practice to be subscribed to by all its members is the subject of this document.

The objective of the Code of Good Practice of the DS-UC3M (hereinafter, "Code") is:

- (a) To define the principles inspiring university research;
- (b) To describe the application that these principles must have at the DS-UC3M;
- (c) To clarify the expectations and responsibilities of the members of the DS-UC3M;
- (d) To improve trust relationships among DS-UC3M, general society and research and Ph.D. study funding entities.

This Code is a complementary tool, not a substitute for existing legal regulations, and is based on the European Charter for Researchers¹ and other documents of good scientific practice at public research institutions².

This is an intentionally brief, clear document, as general as possible, and suitable for the different areas of knowledge present at UC3M.

Article 2. Scope of application

(a) This Code shall apply to:

- (i) Members assigned to the DS-UC3M (Ph.D. candidates, professors, and administration and service staff);
- (ii) Visiting professors and all teaching professionals in any Ph.D. program, seminar, course or training activity organized within the scope of DS-UC3M.
- (iii) Ph.D. advisors in any Ph.D. program hosted by DS-UC3M.
- (iv) Researchers and professionals of any company, institute, agency or institution that participate in the training activities and / or organized practices within the scope of DS-UC3M.

(b) For the purposes of this document, "DS-UC3M" shall refer to both the Doctoral School and its governing bodies, as well as the people, entities, agencies and companies mentioned in section (a) of this article.

¹ <https://euraxess.ec.europa.eu/jobs/charter/european-charter>

² Codes of Good or Ethical Practice of Universidad de Córdoba, Universidad de Granada, Universidad de Málaga, Universidad Rey Juan Carlos, Universitat Autònoma de Barcelona, Universitat de Girona and Universitat Pompeu Fabra.

II. PRINCIPLES OF RESEARCH AND TRAINING OF RESEARCHERS

Article 3. Scientific Integrity

The principle of scientific integrity shall apply to the daily tasks of the researcher:

- (a) In petitions, requests, forms or any other administrative document, by avoiding the contribution of manipulated originals or making affirmations based on incorrect data in a deliberate manner to obtain a benefit in any of the academic processes;
- (b) In publications of the results of the research;
 - (i) Applying the recognized standards in the publication of results derived from projects, avoiding unacceptable behavior such as, for example, duplicate publication, deletion of relevant data or inclusion of false data;
 - (ii) Granting adequate recognition to all those who have participated in research processes, as well as the home institution.

Article 4. Professional responsibility

(a) Intellectual authorship. Plagiarism is defined as the appropriation of ideas, words, works or any other element without an explicit acknowledgment of its origin. There are rules that delimit the figure of plagiarism, which can ultimately lead to criminal responsibilities. The DS-UC3M rejects behaviors that use plagiarism, self-plagiarism and recycling of text in publications for any objective and must do as much as possible to detect and prevent it. Also, the DS-UC3M must establish information measures to make the consequences of irregular behavior public.

(b) Bibliographic citations. It is absolutely essential in research to recognize contributions with precise citations that clearly identify the researcher's own work and that of others, so that there are no doubts about the contribution of the research.

(c) Transparency. Transparency in research is characterized by the accessibility of information used throughout the process of knowledge generation and the visibility of its results. Transparency allows for the evaluation of research by the scientific community and the assessment of its social impact.

(d) Conflicts of interest. When the research and its results can be influenced by conflicts of interest, researchers should state them explicitly.

(e) Delegation of research tasks. If some tasks of the work of research are delegated, researchers must mention it explicitly and ensure that the people to whom these tasks are delegated have the competence to carry them out.

Article 5. Honesty

(a) Use of UC3M resources. The use of UC3M resources is associated with its mission. These should not be used for interests that are incompatible with their functions or to obtain individual benefits. Any use outside of the UC3M's specific fields must be expressly authorized by the corresponding authorities, who will settle any conflicts that may occur in each situation.

(b) Conflict of interests. Conflict of interest is defined as the situation in which an individual's personal interests and those that must apply as a member of a collective, institution or government body come into conflict. Very often both interests are legitimate, but conflict may

appear when one of them can inappropriately affect a decision. A conflict of interests arises when a decision is influenced by two circumstances, one associated with the tasks and institutional competencies of the one who should take it, and the other associated with personal interests that will be affected by the final decision. To avoid suspect situations, each member of the University community has the obligation to report in detail the existence of possible conflicts of interest. In cases where it is not possible to reach a conclusive diagnosis of conflict situations, non-intervention in the corresponding decision shall constitute the conduct of choice.

Article 6. Equality

(a) Non-discrimination. All members of DS-UC3M have the right not to undergo discrimination on the grounds of birth, racial or ethnic origin, gender, religion, disability, political or sexual orientation, gender identity, socioeconomic status, language or any other personal or social circumstance.

(b) Measures to guarantee equal opportunities. The DS-UC3M maintains the principle of equal opportunities for its members and shall implement the measures deemed necessary to guarantee it. Measures shall be established within the scope of the faculty and staff of administration and services to ensure that discrimination does not occur for any reason and to provide access to teaching or administrative functions to those of the greatest merit. The DS-UC3M will intervene as necessary to allow anyone with a disability or special education needs to receive appropriate service.

Article 7. Confidentiality

The information presented at the DS-UC3M Board sessions, as well as the deliberations that are carried out, must remain confidential in all situations in which anyone may be affected by the dissemination of data, opinions or other information. The DS-UC3M must ensure that the members of the Ph.D. committees are aware of this principle and comply with it.

III. FINAL CONSIDERATIONS

Article 8. Dissemination and application

The DS-UC3M will take the necessary measures to ensure that this Code receives wide dissemination among its members, collaborating entities, and users of its services, particularly on the DS-UC3M website. The DS-UC3M Board will ensure that its members adjust their behavior and conduct to what is defined by this Code.

Article 9. Regulations

In order to promote knowledge of the national, sectoral or institutional framework governing the conditions of doctoral training and the work of research, the DS-UC3M will have a website with links to relevant legal texts. When in doubt, members of the DS-UC3M may contact the legal services at UC3M.

Article 10. Development

The DS-UC3M Management will develop all measures required to carry out the provisions in this Code, as well as to resolve any doubts that may arise in its interpretation and application.

Article 11. Entry into force

This Code will enter into force on the day following its approval.