

Code of Good Practice for the Supervision of Doctoral Theses

Introduction

The purpose of this Code of Good Practice for the Supervision of Doctoral Theses is to help establish the commitments, clarify the expectations and determine the responsibilities of the parties directly involved in the research, namely the doctoral students, supervisors, tutors and the doctoral programme. This document is not meant to be exhaustive and does not aim to make reference to regulations, procedures and/or protocols already published elsewhere by the University of Granada (e.g. the doctoral programme website). This is a code of good academic and ethical practices intended, in general, to guide, avoid problems derived from lack of information and communication, and inform the aforementioned parties so that the research is carried out under the best conditions and successfully culminates in the completion of a quality doctoral thesis. The deliberate aim has been to produce a document that is brief, clear, as general as possible and suitable for the different areas of knowledge present at the University of Granada. In addition, although this document is intended to be dedicated to the completion of doctoral theses, its content may be extendible to researchers in training, introductory research projects and Master's dissertations. It is based on other similar guides prepared at other university centres and compiles the experiences in tutelage, supervision and learning of the research and teaching staff of the University of Granada in the different areas of knowledge.

Student responsibilities

Doctoral students must conduct original research work under the guidance of a supervisor. The result of their research work, successfully completed, will be the Doctoral Thesis, which should make a substantial contribution to the state of the art in the corresponding area of knowledge (e.g. through a prominent publication in specialist journals). At the beginning of the process, the student must defend the doctoral thesis project under the conditions established by the doctoral programme and at the end of the process the student must be able to defend the work *viva voce* in front of experts. Students will be responsible for their research work and are expected to make a reasonable effort commensurate to their academic level.

To achieve these objectives, students must:

1. Know the doctoral programme regulations and other University, national and European research documentation, including administrative requirements, battle against plagiarism, etc.

2. Understand and meet the expectations of the supervisors and the research team regarding their work, as well as communicate their own expectations.
3. Maintain a professional relationship with the supervisor(s) and other members of the academic team.
4. Commit to completing their training on an ongoing basis through the activities included in the doctoral programme or others determined in agreement with the supervisor(s).
5. Students must commit to taking the initiative to identify problems (technical, personal, etc.) that have arisen in the progress of their research and propose solutions to be discussed with the supervisor.
6. Foster fluid human relationships that allow for an adequate pace of work.
7. Develop the thesis work plan and conduct annual evaluations (including reports on grants and projects).
8. Attend and participate, in a transparent and active way, in periodic meetings, including those with the supervisor, research team, etc.
 - a. Write brief reports after each meeting that occurs over the course of the research in order to compile their main conclusions.
 - b. These meetings will address the work plan agreed upon by the student and the supervisor on an ongoing basis. The supervisor(s) will be notified of any change as soon as possible.
9. Strive for the maximum dissemination of the research results and activities.
 - a. The use of online tools (portfolio blogs, social networks, etc.) is recommended to create networks with other researchers, research groups and society in general.
 - b. Active participation in seminars and national and international conferences.
 - c. Participation in workshops.
10. Pursue networking strategies:
 - a. Short stays in foreign research centres (internationalisation).
 - b. Participation in online social networks linked to research and academic topics.
11. Commit to acquiring cross-curricular competences:
 - a. Oral and written communication in native and foreign languages.
 - b. Digital competences.
 - c. Sense of initiative and entrepreneurship.
12. Participate in knowledge transfer programmes and other employment opportunities.
13. Actively participate in university and academic life.

Supervisor responsibilities

Supervision consists of offering intellectual, training and administrative support to a doctoral student in pursuit of the completion of their studies.

Main responsibilities

1. To have criteria for the selection of doctoral students. Academic committees must establish, publish and apply the specific criteria of the doctoral programme relating to the selection of candidates; supervisors may establish their own selection criteria if necessary.
2. To make their expectations known to the doctoral student. To inform the doctoral student of the expectations of the supervisor(s) regarding all aspects of his/her research.
3. To define the desirable competences, skills and attitudes to be achieved by the candidate during this training period.
4. To determine, from the very beginning, the roles and areas of each supervisor if there is more than one.
5. To maintain a professional, clear, realistic and constructive relationship with the doctoral student and other members involved in the doctoral programme.
6. To be aware of the University's regulations, policy guidelines and administrative structures, as well as the doctoral programmes, projects or research groups that may be relevant for the doctoral student.
7. To advise, when appropriate, on complementary training activities that may be deemed necessary for the training of the doctoral student (whether organised within the framework of the doctoral programme or elsewhere).
8. In any case, supervisors have overall responsibility for the supervision of the doctoral student and their research training.

Monitoring

One of the key roles of supervisors is to regularly monitor the progress of the doctoral student in a structured manner by holding a series of meetings, either formal or informal, and preparing the annual assessment carried out by the competent academic committee. This role involves the following:

9. To keep in regular contact with the doctoral student, in accordance with the needs derived from the development of the research in its different phases and to respond to the questions/doubts of the doctoral student in a reasonable amount of time.
10. To plan regular meetings to monitor the progress of the research according to the guidelines previously established with the doctoral student.
11. To encourage doctoral students to periodically write down their research findings or progress – whether in the form of laboratory notebooks, reports, portfolios, etc. – and to revise the material provided in order to provide relevant feedback.
12. To ensure that doctoral students are aware of the deadlines and their responsibility for submitting all reports required by the University and the public or private entities that fund their research work.
13. Should the supervisor(s) be absent for a long period of time, they will have to foresee other ways to ensure the continuity of the supervision of the research work sufficiently in

advance.

Quality

14. To advise and support doctoral students on the following issues: research topic, research plan outline, annual reports, level of quality required to obtain the doctoral degree, ethical dimension of their work and the funding opportunities for their research work (grants, research contracts, etc.).

15. To ensure that a high ethical and academic level is achieved. Supervisors shall inform doctoral students of the relevant regulations, guidelines and codes of conduct, including the safety and hygiene standards in the workplace, as well as the procedures and obligations derived from them.

16. To guarantee that the doctoral student's research work is original and meets the academic requirements. In the event that there may be evidence of plagiarism or a violation of intellectual property rights, this must be reported to the doctoral programme academic committee.

17. To encourage doctoral students to publish, participate in conferences, seminars or workshops in accordance with the characteristics or practise of each scientific/academic discipline; and to advise doctoral students, when appropriate, in relation to the search for sources of funding to carry out these activities.

18. To provide advice and support in relation to the submission and public defence of the doctoral thesis.

19. To provide guidance to doctoral students on different professional opportunities after the submission of the doctoral thesis.

Responsibilities of the thesis tutor

A tutor will be assigned to each student by the doctoral programme academic committee. The tutor is intended as an academic and administrative advisory figure for doctoral students in order for them to carry out their research with all guarantees. The tutor may be assigned one or more doctoral students. The tutor will assume the following responsibilities:

Prior to the assignment of a supervisor

1. From the moment the student joins the doctoral programme, the tutor will inform and advise them on how the programme works, as well as on the training activities offered both within the doctoral programme and by the doctoral school or the International School for Postgraduate Studies.

2. Know the expectations, preferences, aptitudes and skills of the doctoral student in order to provide effective guidance.

3. Guide the doctoral student in the selection of a supervisor for the research the student wishes to carry out; they will also advise the supervisor in the selection of candidates.

4. Provide information and advice on administrative issues related to the doctoral programme.
5. Properly advise the doctoral student on the successful use and exploitation of the available research resources.

After the assignment of a supervisor

6. It will be the tutor's duty to act as an intermediary between the doctoral student and the supervisor in order to mediate in problems and issues that may arise over the course of the research.
7. The supervisor, tutor and doctoral student must agree on their roles and functions during the research.

Responsibilities of the doctoral programme

The doctoral programme in which students enrol and develop their research plays a key role in supporting and supervising their progress. It is responsible for providing them with adequate resources and supervision in the development of their research. All doctoral programmes will have an academic committee to carry out these functions.

The responsibilities of the doctoral programme are as follows:

1. The doctoral programme is responsible for ensuring that students have access to the appropriate resources, facilities and equipment to develop their doctoral thesis project. The coordinator of the doctoral programme must ensure that these conditions are met when the student's application for admission is accepted.
2. The doctoral programme is also responsible for assigning a tutor and a thesis supervisor to each admitted student. The thesis supervisor must meet the requirements established in the UGR Regulations on Official Doctoral Studies and Doctoral Degree Certificates.
3. The doctoral programme will provide the necessary support and supervise the doctoral student's progress by evaluating the annual reports that the student is required to submit to the academic committee.
4. The academic committee is responsible for assigning each student a line of research which will be officially communicated within the corresponding period of time.
5. The academic committee will act as a liaison between students, thesis supervisors and the International School for Postgraduate Studies in order to monitor students' progress (including the transfer of students from master's programmes to doctoral programmes, if required), support thesis supervisors and improve the student's research training experience. It will offer mechanisms for identifying and resolving any problems that may arise in the development of the doctoral thesis.
6. The academic committee will appoint those responsible for the evaluation of the doctoral thesis work and will verify the completion of these evaluations.

7. All information concerning the doctoral programme must be up-to-date and available on the doctoral programme website.
8. The academic committee is responsible for keeping records of relevant activities and meetings, including the annual progress reports of each student.

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