



# Programa PREDOCTORAL

## RULES

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## Programa **PREDOCTORAL**

### 1. OBJECTIVE

There will be various Predoctoral Researchers within the CNIC regulated by different calls for posts, hence the conditions of their grants or contracts will be disparate in terms of length, the money received, health cover and additional assistance they receive to complete their training, such as conference attendance and financing of tuition fees.

The general objective of the CNIC's Predoctoral Programme is to facilitate the carrying out, in CNIC's laboratories, of the Predoctoral Researcher's research project which will enable him or her to obtain the title of Doctor.

Within this general framework, the specific objectives of this programme are also:

To create a common framework for all Predoctoral Researchers training in the CNIC, whatever the origin of the financing for their grant or contract, provided that the terms of their respective calls are respected.

To analyse the conditions regulating each type of grant or contract and to manage these training assistances fairly for all the CNIC's Predoctoral Researchers, notwithstanding that laid down in their corresponding call for the post.

## 2. DEFINITION

### 2.1. PREDOCTORAL RESEARCHERS

Predoctoral Researchers are those researchers admitted in a University Doctorate Programme who join the CNIC to undertake a scientific research project towards the title of PhD with a fellowship or contract as a PhD researcher.

A PhD title is an academic one that must be issued by a University. The Predoctoral Researcher must register and fulfil the requirements marked by his/her University of choice. The Predoctoral Researcher is responsible of managing all the documentation and following all the steps required by the University to obtain the PhD academic title.

### 2.2. TYPES OF CALLS FOR POSTS

Predoctoral Researchers in training at the CNIC may come from different calls according to the source of the funding obtained:

**EXTERNAL CALLS:** Financing comes from bodies promoting the research. These grants or contracts will be regulated by the corresponding call conditions (i.e. FPI – *Formación de Personal Investigador*; Research Staff Training; FIS – *Fondo de Investigación Sanitaria*; Health Research Fund; CAM – *Comunidad Autónoma de Madrid*; Madrid Autonomous Region; private foundations – Ramón Areces, Mapfre, etc). The conditions for these supports are set by external bodies.

**CALLS ASSOCIATED WITH PROJECTS OR CONVENTIONS:** Financing for the grant or contract comes from funds obtained by the researchers to carry out projects or conventions in which the inclusion of a Predoctoral Researcher is envisaged. Calls for and dissemination of these types of grants or contracts take place continually through the CNIC as funds are obtained.

### 3. COMMON MANAGEMENT PROCEDURE

#### 3.1. INCORPORATION OF PREDOCTORAL RESEARCHERS IN THE CNIC

Prior to the request for a predoctoral grant/contract, using any of the modes existing in the CNIC, the Laboratory Head interested in recruiting a new Predoctoral Researcher for his or her staff shall inform the CNIC's Human Resources (HR) Department of the possible recruitment.

For recruiting of Predoctoral Researchers **by means of external calls**, information on the different calls can be found on the centre's website (<http://www.cnic.es>), in the TRAINING section within the "Predoctoral Programme".

To recruit Predoctoral Researchers **by means of calls related to conventions or projects**, the Head of the Laboratory the new researcher is to join through this mode will need to notify the HR Department once he or she has the corresponding project grant or has signed the corresponding convention. The HR Department will announce the vacancies for Predoctoral Researchers on the centre's website (<http://www.cnic.es>), within the "Employment Offers" section and will disseminate the call for the vacancies to the maximum. The selection process will take place observing principles of publicity, objectivity, merit and capability in the awarding of the corresponding grants or contracts.

The Predoctoral Researcher selected, through any of the modes referred to above, will need to contact the HR Department and then the centre's Training area.

In the CNIC's Training area, the Predoctoral Researcher will receive:

- A copy of this "Predoctoral Programme Rules" document;
- Information on the centre's policy regarding Predoctoral Researchers;
- A copy of the **PREDOC 01 Form**, which asks for general information on the Predoctoral Researcher and their doctoral thesis. This document, together with the researcher's CV, will need to be sent by e-mail to [predoc@cnic.es](mailto:predoc@cnic.es)

Only in those cases in which this procedure has been completed beforehand will the Predoctoral Researchers be able to avail themselves of the conditions laid down in the CNIC's Predoctoral Programme.

Predoctoral Researchers assigned to the CNIC's Predoctoral Programme commit themselves, after presenting and defending their Doctoral Thesis, to depositing an original copy of the report in the centre's library together with a duly completed authorisation for thesis examination (**LIBRARY FORM**).

### 3.2. “GETTING TO KNOW CNIC” COURSE AND CENTRE SEMINARS

The centre offers “**Getting to know the CNIC**” Course to all Predoctoral Researchers. The course programme includes:

- A visit to the centre’s facilities;
- Classes given by researchers from each of the CNIC’s Research Departments;
- Practical workshops in various laboratories and Technical Units in the centre;
- Additional workshops on bibliographic searches and the presentation of results.

The Predoctoral Researcher will receive the detailed programme for this course in the centre’s Training area, along with the possible dates for these.

The course is obligatory for all the CNIC’s Predoctoral Researchers, preferably during their first year of recruitment to the centre.

Predoctoral Researchers will also be called to the workplace risk prevention courses laid down by law. These will include a module on biosafety and radiological protection.

The CNIC organises a **Cycle of Centre Seminars** for each academic course, with prestigious external researchers as invited speakers. Attendance of these seminars is obligatory for Predoctoral Researchers to complement their training.

Likewise, Predoctoral Researchers will need to participate as presenters in the **Department Seminars** according to that laid down for the Department in question.

### 3.3. ECONOMIC CONDITIONS

#### 3.3.1. Funding going to the Predoctoral Researcher

The economic conditions for the different types of predoctoral grants or contracts are determined by the relevant call type.

**EXTERNAL CALLS:** external grants or external contracts will have the allowance set forth in the call and they will be governed by conditions laid therein. In the event the salary established by the Call is a smaller amount than the one established in the applicable CNIC salary scales, the CNIC will complement the salary in the corresponding amount up to CNIC salary for predoctoral category.

**PROJECTS ASSOCIATED MEETINGS OR COVENANTS:** Predoctoral Researcher salary shall be the one established in the corresponding agreement or project. In the event the salary established by the Call is a smaller amount than the one established in the applicable CNIC salary scales, the CNIC will complement the salary in the corresponding amount up to CNIC salary for predoctoral category.

This Predoctoral Programme sets a period of 4 years as the optimum time for a doctoral thesis in biomedicine. When the research project financed by the predoctoral grant or contract has a duration of less than 4 years, the Principal Researcher will need to guarantee predoctoral financing until this 4 year period is complete, with the same economic conditions as those laid down by the Predoctoral Programme as regards the sum allocated to the Predoctoral Researcher. This financing will be made chargeable to the provision for the laboratory where the Predoctoral Researcher is carrying out his or her research activity.

In the case that the Predoctoral Researcher exceeds the optimum period of 4 years, he or she will not count on the financing prerogatives considered in these rules during the additional period, except in those exceptions considered herein.

In calculating the 4 years, it will be possible to take into account the predoctoral grant or contract periods that the Predoctoral Researcher has enjoyed before joining the CNIC as regards other calls, provided that these were financed by his or her current thesis project.

### 3.3.2. Accident insurance

The CNIC has a collective accident insurance policy for Predoctoral Researchers and all the formalities for this are carried out by the HR Department.

All Predoctoral Researchers training in the CNIC, whatever the source of their funding, must have accident insurance. In those cases in which the accident insurance is not covered by the Predoctoral Researcher's grant or contract, this situation must be communicated to the CNIC's HR Department for the latter to carry out the corresponding formalities so that the researcher can benefit from the centre's collective accident insurance policy.

### 3.3.3. Additional economic conditions

Predoctoral Researchers at the CNIC will receive additional financial support as long as this is compatible with the corresponding grants program, project or agreement on which the funding depends. In order to benefit from this additional funding, the Predoctoral Researcher must first follow the procedure established in the CNIC Predoctoral Program (See point "3.1. **INCORPORATION OF PREDOCTORAL RESEARCHERS IN THE CNIC**, in this document).

The additional funding per Predoctoral Researcher will be covered by the training account: the Centre contributes with 1,500€ and the group provides the rest, estimated in approximately other 1,500€

The following concepts are considered eligible when they are not covered by the corresponding University:

- Annual university fees of the doctoral program (district of Madrid):
  - o Opening record
  - o Tuition fees
  - o Administrative fees
- Dissertation tuition fees
- Doctor's Degree Expedition Fees
- Printing costs of the doctoral thesis (10 copies: 5 for members of the Thesis Committee, 2 for the alternate members, 1 for PhD candidate, 1 for the thesis director, and 1 for the CNIC library) in any format.
- Costs associated to the defense of doctoral thesis:
  - o Auditorium technician
  - o If an external thesis committee member does not reside in Madrid, the expenses derived from trips, accommodation and lunches necessary to intervene in the meetings

This funding cannot be used by the Predoctoral Researcher to purchase any computing equipment or material or any other type of non inventoried goods that are not included in the list above.

This amount will be available from the date of assignment to the Predoctoral Program.



Invoices for all expenditure must be specifically approved by the Predoctoral Researcher's head of department, via the CNIC's financial management system.

The student will have access to these funds up to the end of his/her contract in the date of the thesis defense' day. Doctor's Degree expedition fees can be charged to this account even after the thesis defense.

Any unused monies will return first to the group up to its contribution and the rest to the general CNIC funds.

If the call, project or agreement provides for an additional financial support capable of covering the same concepts as the CNIC one, the CNIC additional support will be reduced by that amount.

### 3.4. PREDOCTORAL RESEARCHERS' RIGHTS

To obtain the necessary support from the CNIC for the normal development of their studies and research programmes.

To be integrated into the departments and laboratories where they carry out their research.

To participate, in the manner anticipated in the CNIC's internal rules, in its governance and representative bodies;

To participate in calls for complementary assistance to attend scientific meetings or stays for training and continuing education in centres other than those to which they are assigned.

To exercise the intellectual property rights derived from their own activity, associated with their research training period and in accordance with their contribution, according to that laid down in the rewritten text of the Intellectual Property Law, as approved by Spanish Legislative Royal Decree 1/1996, of 12 April. The aforementioned rights will be independent, compatible and cumulative with other rights which may derive from the research carried out, notwithstanding the determining factors derived from collective work when research personnel in training participate in or are linked to a collective research project.

As regards the possible rights of research personnel in training to industrial property, this will depend on that laid down in the corresponding call, in the framework of Spanish Law 11/1986, of 20 March, concerning Patents and, where appropriate, on Royal Decree 55/2002, of 18 January, concerning the exploitation and transfer of inventions made in public research organisations. The aforementioned rights will in no case take the form of salary.

To enjoy the other rights acknowledged in their respective calls.

Research personnel in training within their grant period have the right to receive on time the economic assistance corresponding to their grant, in the form laid down for each call, without this representing a salary, and to be included in the General Social Security Regime in the terms laid down in Section 1 of the first additional provision. In addition, they will have equivalent rights to the holiday and leave regime as enjoyed by CNIC's research personnel.

Research personnel in training within their contract period have rights of an occupational nature, as well as those relating to social security, deriving from the contract signed with the CNIC. Researchers in their non-contract (fellowship) stage will be also covered by social Security in the terms and conditions legally established

As regards the working calendar, leave, illness, accidents and maternity, the grant holder will enjoy the same rights as those laid down in the internal rules for working staff, notwithstanding the legally established limitations. Likewise, the grant holder will enjoy the same rights and prerogatives as working staff as regards social benefits set up by the Foundation, provided that this is not incompatible with the call governing their grant or by the generally applicable legal rules or regulations.

### **3.5. PREDOCTORAL RESEARCHERS' OBLIGATIONS**

Research personnel in training, within the scope of this programme, will have the following obligations:

To fulfil the conditions and obligations in their calls.

- To take the "Getting to know CNIC" course and the mandatory courses on the subject of risk protection, biosafety and radiological protection.
- To actively participate in the activities organised by the CNIC and, in particular, to attend the centre's Cycle of Seminars and act as a presenter in the Cycle of Seminars in the Department to which they are attached.

To carry out the activities anticipated in their training and research specialisation programmes.

Perform the actions that are necessary (meetings, presentations, preparation of reports) for the monitoring of their thesis by the Doctoral Thesis Committee).

To successfully meet the objectives of the research and specialisation programme.

To abide by the internal or operating regime for the organisation or institution in which they undertake their activities, especially as regards working conditions and standards for the prevention of occupational risks.

To assume their obligations resulting from their inclusion in the General Social Security Regime, according to that laid down in the Royal Decree, as well as, in the case of research personnel in training in a contract period, those deriving from their work contract.

To exclusively dedicate themselves to carrying out the training and scientific specialisation activities which are the subject of their grant or contract. However, the Predoctoral Researchers may collaborate in teaching tasks with the Universities with which the CNIC has set up collaboration agreements, within the limits set in the corresponding call, without this in any case detracting from the research and training purposes of their grant or contract.

To maintain confidentiality on the data from laboratory or department work and his or her activity. He or she must not make the data public (communications or publications) without express permission from their thesis director or directors. He or she will sign the corresponding confidentiality commitment for this purpose.

In publications resulting from the research work, the grant holder shall make reference to the sponsor of the grant or contract (the CNIC or other sponsoring bodies).

Predoctoral Researchers who are not linked to the Foundation by means of a work contract (grant holders) will need to sign the corresponding agreement for cession of industrial property rights in the terms laid down in the procedure for the protection of research results. Likewise, they will sign an agreement on the granting of rights, including a clause relating to confidentiality and another referring to the transfer of personal details necessary for the Foundation's management.

Predoctoral Researchers assigned to the CNIC's Predoctoral Programme shall deposit a copy of their doctoral thesis in the centre's library, together with a duly completed authorisation for thesis examination (**LIBRARY Form**).

Any other obligations laid down for the centre's working staff which are not incompatible with their legal status.

### **3.6. ROLE OF THE THESIS DIRECTOR**

The carrying out of a Research Project by a Predoctoral Researcher involves the existence of one or more thesis directors who design, supervise and coordinate the research activity and guide the researcher during the training period. The role of thesis director is vital for the appropriate carrying out of the Predoctoral Researcher's activities.

Individuals may be thesis directors at the CNIC who hold the degree of doctor and are independent researchers with their own research team, or doctors who justify their research through active research projects such as "Main Researchers" financed by nationally or internationally recognised agencies (such as FIS, National Plan, the European Union, etc.). .

Their main responsibilities will be:

To properly attend to the Predoctoral Researcher, dedicating the necessary time to guide his or her training programme.

To develop the training programme in relation to the proposal for which it was granted.

To ensure that the Predoctoral Researcher fulfils his or her commitments.

To fulfil the requirements of the call regulating the Predoctoral Researchers in his or her charge.

To provide appropriate information so that the Predoctoral Researcher has access to conferences, seminars and other training activities within the CNIC or at other centres related to the area of knowledge in question.

To endeavour to get the Predoctoral Researcher involved in a scientific and research environment and not to limit him- or herself to individual tasks without contact with the other researchers around them.

Participate in the Thesis Committee member appointment process for each Predoctoral Researcher and facilitate the monitoring of thesis work by said Committee.

### **3.1. DOCTORAL THESIS COMMITTEE**

The development of a Research Project at the CNIC for obtaining the Doctoral Thesis will require a Doctoral Thesis Committee, whose main objective is to help the Predoctoral Researcher during their thesis.

The Thesis Committee will be made up of three members:

- The thesis director
- Two consulting members, with the following characteristics:

a) A CNIC investigator with a PhD. This investigator must have experience in the research area of the thesis proven by publications and a minimum of three years of postdoctoral experience when proposed as consulting member of the committee

b) A scientist with a national or foreign PhD who is not associated with CNIC by way of a labour or conventional relationship. The external researcher shall justify experience in the subject of the thesis and availability to participate in the Committee meetings that may be held in person or, where necessary, by way of teleconference. If the external researcher does not reside in Madrid, the expenses resulting from necessary relocation in order to participate in the meetings will be charged to the laboratory where the Predoctoral Researcher is developing the thesis.

The Thesis Committee will assume the following tasks and responsibilities, among others:

Advise the Predoctoral Researcher in the development of thesis work, giving their impressions and recommendations.

Monitor the thesis work of the Predoctoral Researcher.

Set, in agreement with the Predoctoral Researcher, the calendar for meetings that must be held.

The consulting members will perform advising and monitoring duties not only in relation to the Predoctoral Researcher, but also as support to the thesis director.

The Thesis Committee may set, in accordance with the Predoctoral Researcher, a maximum of three meetings:

- 1<sup>st</sup> Meeting (within the first 12 months after the beginning of the thesis - assignment to the Predoctoral program). The goal will be to present the project and show the planned experiments.

- 2<sup>nd</sup> Meeting (Monitoring - Approximately in the middle of the Predoctoral period). Show the results up to that time and the plans for the future
- 3<sup>rd</sup> Meeting (6 months before the completion of the agreement or scholarship). Show the results up to that time, define the last experiments and determine when the thesis shall be presented and defended.

The meetings, with an estimated duration of one hour, will adhere to the following guidelines:

- The Predoctoral Researcher will perform a presentation in English, which will be followed by a discussion with the Committee.
- The consulting members of the Committee will meet after with the Predoctoral Researcher in the absence of the thesis director.
- The director will debate with the consulting members without the presence of the Predoctoral Researcher.

The director and the Predoctoral Researcher shall jointly propose the name of the consulting members of the Thesis Committee.

It will be the responsibility of the Predoctoral Researchers to contact their Committee to establish the dates of the meetings.

The Predoctoral Researcher shall inform the Educational Department of the proposed meeting calendar within the first three months after their assignment to the CNIC predoctoral program.

Before each meeting, the Predoctoral Researcher shall submit a summary with an extension of approximately two or three pages concerning the standing of their thesis project. The summary will contain the following sections: an introduction, results and future plans. This document shall be signed by the thesis director and the Predoctoral Researcher, and it will be sent to the Committee at least one week prior to the date of the meeting. A copy of said summary shall also be submitted to the Educational Department.

After each meeting, the thesis director will prepare a report concerning the progress of the project (**SUPERVISOR'S REPORT**), including the recommendations of the Committee. Said report shall be signed by the thesis director and sent to the Educational Department. A copy of the report shall be sent to the Predoctoral Researcher for educational purposes.

The Scientific Training Department will monitor the meetings and will file the documentation resulting from them.

## OBLIGATIONS OF THE CNIC

By virtue of that laid down in Article 7 of Spanish Royal Decree 63/2006, the following are the CNIC's general obligations, notwithstanding those derived from the labour relationship established with personnel under contract:

To provide the necessary support and to facilitate the use of resources, instruments or equipment necessary for the normal carrying out of their activities;

To designate the Predoctoral Researcher's scientific tutors, according to the proposal made by the Thesis Director and the Predoctoral Researcher him- or herself, to coordinate and guide their activities;

To ensure the appropriate development of the training programme for research personnel in training, without demanding that they carry out any other activity which is not related to the performing of their research or the specific training required for this during this time;

To permit their integration into the departments and laboratories where they carry out their research.

## 4. TRACKING AND SUPPORT FOR PREDOCTORAL RESEARCHERS

### 4.1. PREDOCTORAL RESEARCHERS' OFFICE

The CNIC has set up the Predoctoral Researchers' Office as the body for tracking and supporting the centre's group of Predoctoral Researchers. This Office was created with the objective of enabling the CNIC's Predoctoral Researchers to enjoy the same rights and prerogatives as the working staff, while safeguarding the differences between groups relating to their legal statute. These rights and prerogatives cover not only the benefits laid down in the occupational legislation (particularly as regards occupational health and safety, holidays, working days and hours, workers' privacy and dignity, lack of discrimination, meeting and association, etc), but also the applicable social benefits and all those human resource policy measures which contribute to a good working environment in accordance with the idea of excellence being pursued.

This Office will be made up of two permanent members, from the Scientific Management Department and the HR Department, and by another two members, who will hold these posts in a rotating manner, from one of the CNIC's Research Departments (group head and department manager).

Predoctoral Researchers may, individually or collectively, present to the Office all the proposals, suggestions, reports, complaints or claims they consider appropriate to their situation in the CNIC. The Office will assign, according to the importance and nature of the matter raised, the person(s) charged with reporting on this and, where appropriate, resolving it. In the case of serious conflicts or matters which involve ethical connotations or inappropriate scientific conduct, this Office will notify and pass the conflict on to the CNIC's Research Committee, or to whoever this body decides.

Likewise, the Office will gather all the pertinent information in each case and will communicate the results of its steps and the proposed measures to the Predoctoral Researcher as soon as possible.

Permanent members of the Office:

#### Human Resources Department

Antonio Ureña

Tel. 91 453 12 00

Ext: 4250

E-mail [aurena@cnic.es](mailto:aurena@cnic.es)

#### Scientific Management Department

Julia Redondo

Tel. 91 453 12 00

Ext: 4230

E-mail [jredondo@cnic.es](mailto:jredondo@cnic.es)

The contact details for the rotating Office members will be provided to the Predoctoral Researcher from the training area.



#### **4.2. REPRESENTATION OF THE GROUP OF PREDOCTORAL RESEARCHERS**

The CNIC's group of Predoctoral Researchers will be able to designate one or more representatives from among their number to act as spokespeople in communications with the centre or other organisations.

The CNIC will make the support necessary to the group of Predoctoral Researchers for the development of scientific initiatives (organisation of courses, seminars, etc), as well as the financing for these, after approval by the centre's Research Committee and Management.

## 5. APPENDICES: Forms

**PREDOC 01:** General details on the Predoctoral Researcher

**LIBRARY:** Authorisation for thesis examination in the CNIC's library

**SUPERVISOR'S REPORT:** Report from the thesis director concerning the progress of the project after the Thesis Committee meetings

# PREDOC 01

## Application to join the Predoctoral Program

### I. PERSONAL DETAILS

Application number:

Surname		2nd surname		First Name(s)	
Date of Birth			National ID/Passport Number		
Home address			Postcode		City
Province	Telephone	Fax		email	

### II. ACADEMIC QUALIFICATIONS

Academic degree title		University at which you concluded your studies	
Years in which your studies started and finished	Marks from academic record		
Start	Finish		
Other university qualifications:		Foreign qualification	
University at which you are registered for doctoral studies			

### III. HOST CNIC LABORATORY

Group leader			
Name	1st Surname	2nd Surname	National ID number or equivalent
Thesis director			
Name	1st Surname	2nd Surname	National ID number or equivalent

### IV. DOCTORAL THESIS

Start date	Estimated date of completion	Dates of inclusion in the program (*)	
		Start	Finish
Research project title			



## **LIBRARY**

### **Filing of a Doctoral Thesis in the CNIC Library**

**Thesis title (Spanish):**

**Thesis title (English):**

**Author:**

**National Identity or Passport Number:**

**Thesis Director:**

**Host Center/University:**

**Department/Faculty/University:**

**Date and place of thesis examination:**

**Keywords (4 or 5):**

## I. Authorization for dissemination in REPISALUD repository

### CONDITIONS FOR PUBLICATION

The author, as sole holder of the intellectual property rights of the thesis, and in virtue of the intellectual property and authorship rights confirmed in Spanish law, AUTHORIZES the *Centro Nacional de Investigaciones Cardiovasculares Carlos III (F.p.s.)* to make the digital version of the thesis document freely available via the internet.

The author has the right to withdraw this authorization at any time.

The author guarantees to the *Centro Nacional de Investigaciones Cardiovasculares Carlos III (F.P.S.)* that the thesis and the thesis summary are the original work of the author used to obtain the title of PhD.

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An embargo of \_\_\_\_\_ months will be established in the event that the material is under confidentiality agreements with companies or institutions where there is the possibility of generating patents or in the case of containing results that have not yet been published.

Madrid, \_\_\_\_\_ 201\_\_

Signed:



## PHD THESIS COMMITTEE MEETING

### SUPERVISOR'S REPORT

#### Project Proposal and Qualifying Assessment Form

Predoctoral Researcher's name:

Supervisor's name:

CNIC's Committee member:

External Committee member:

Date of meeting:

The project proposed is considered suitable for a PhD thesis:

- Yes  
 No

Qualifying assessment:

- Satisfactory  
 Not satisfactory

Predoctoral Researcher's supervisor  
Signature

*(\*) The quality of the proposal, the oral presentation and the discussion should be evaluated. Critiques should be provided and suggestions for improvement specified.*

*(\*\*) Once signed, this report should be sent to the Training Office. A copy should be sent to the student for information.*



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Y COMPETITIVIDAD



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## COMMENTS AND RECOMMENDATIONS OF THE THESIS COMMITTEE

(To be completed by the Predoctoral Researcher's supervisor)