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APPENDIX 1: Requirements to become a member of the Academic Doctoral Committee (CAD)

Ref. Internal Rules: 2.2.B) Functions of the Executive Committee

6.b) Establish the requirements to become a member of the Academic Doctoral Committee (CAD)

Concerning the Academic Doctoral Committees (CAD), the Executive Committee of the Doctoral School has reached the following agreements:

- 1- The criteria to become a member of the Academic Doctoral Committee are as follows:
 - To be a doctor, as established in Real Decreto 99/2011
 - To have an active recognized six-year research cycle
 - To have supervised at least one doctoral thesis
 - Exceptionally, and in reasoned cases, a doctor who does not comply with some of this requirements can be appointed

- 2- Concerning the makeup of the Academic Doctoral Commissions, gender perspective and parity will be considered when appointing the members and constituting the CADs.

APPENDIX 2: Admission criteria to the Doctoral Programmes

Ref. Internal Rules: 2.2. B) Functions of the Executive Committee

6.5) To define the requirements and criteria for admission of doctoral students, applicable to all doctoral programmes, as well as the specific additional training that doctoral students must undertake, in accordance with the Academic Doctoral Committees.

The admission of a candidate to a Doctoral Program will be assessed according to the entry requirements to Doctoral Studies as established in art.6 of the Real Decreto 99/2011, as well as the profiles and admission criteria established in the reports of each of the Doctoral programmes at UIC.

With regard to the requirement to hold a university master's degree, the Executive Committee of the Doctoral School has agreed on allowing the Academic Doctoral Committee (CAD) the right to require a specific training complement in cases when the university master's degree has a professionalising character, as established in art. 7.2. of Real Decreto 99/2011.

APPENDIX 3: Criteria for the appointment of the supervisor/co-supervisor of the doctoral thesis

Ref. Internal Rules 2.2 B) Functions of the Executive Committee

7. To establish the requirements for being a thesis supervisor and the monitoring process to ensure the quality of the doctoral theses. Also, where appropriate, further requirements proposed by the Academic Doctoral Committee for each Programme to be a thesis supervisor and the number of theses that can be supervised or co-supervised simultaneously by a researcher

For the purposes of article 12.1 of Real Decreto 99/2011 concerning the supervision of the doctoral thesis, which established:

In accordance with the provisions of article 11.4, the university will appoint a supervisor for the doctoral student for the elaboration of the doctoral thesis, who will be the person responsible for the coherence and adequacy of the training activities, the impact and novelty of the thesis' topic within its field, as well as the guidance in the planning and fitting, if necessary, to the framework of other projects and activities in which the doctoral student is enrolled. If previously approved by the academic committee, the thesis can be co-supervised by other doctors when there are academic reasons, for instance in cases with thematic interdisciplinarity or in programmes developed in collaboration with other national or international programmes. Authorization may be revoked later on according to the assessment of the academic committee, if the co-direction is not benefiting the development of the thesis.

The Executive Committee of the Doctoral School with regards to the supervision of the thesis has agreed that:

1- As **general requirements**, the thesis supervisor must meet the following:

- Be affiliated to a university
- To have an active recognized six-year research cycle or equivalent research
- Exceptionally:
 1. The Academic Doctoral Committee (CAD) may appoint as supervisor a professional who is not affiliated to a university, given they have certified equivalent research
 2. An emeritus professor or honorary doctor can be appointed as supervisor
 3. In the event of retirement during the development of the thesis, the professor or doctor may continue their functions as supervisor until the end of the thesis

The Academic Doctoral Committee (CAD) of each doctoral program will establish the procedure to recognize equivalent research to the candidates for supervisor in cases where, due to their circumstances, they are not eligible to apply for six-year research cycles (*sexenios*).

2- In cases of co-supervision, at least one of the two co-supervisors must have an active recognized six-year research cycle. In this way, co-supervision can be promoted among teaching assistants and lecturers.

3- To ensure the good development of the supervision and the excellence in the research of the doctoral student, **the number of thesis that each supervisor can direct simultaneously is limited to a maximum of 4 points**. A value of 1 point is assigned to thesis with single supervision, and 0.5 points to co-supervised thesis.

Therefore, for instance:

- in cases of single supervision, a maximum of 4 theses can be supervised simultaneously (4 points)
- in cases of co-supervision, a maximum of 8 theses can be co-supervised (4 points)

Exceptionally, and for justified reasons the Academic Doctoral Committee can approve that the number of theses supervised by the same person exceeds the value of 4 points.

4- In cases of appointment of supervisors external to UIC, the CAD will need to designate a co-supervisor and/or tutor affiliated to UIC in the following eventualities:

- in cases of single supervision, a UIC tutor will be appointed
- in cases of co-supervision with a UIC professor, appointment of a UIC tutor will not be required
- in cases of co-supervision by two external supervisors, a UIC tutor will be appointed

With regards to the DOCTORAL PROGRAMME IN HEALTH SCIENCES, the Executive Committee has agreed on the proposal of requirements approved by the Academic Doctoral Commission (CAD), on March 3, 2021.

a) Single supervisor

The supervisor must certificate their research experience with:

- An active recognized six-year research cycle (*sexenio vivo*)
- For professionals not eligible for six-year research cycles, the CAD will assess the CV according to criteria for research cycles in Biomedical Sciences (ANECA 30, October 2020)
- In the event that the supervisor's main activity was assistance, the CAD may extend the timespan of assessment up to the last 10 years.

b) Co-supervisions

The supervisor is the person responsible for the training and overseeing of the doctoral student, and it is important that such responsibility is not diluted and is perceived clearly by the student.

For thesis supervisions, requirements are adopted according to the indications of the AQU (*Guia per l'Accreditació dels Programes Oficials de Doctorat*, July 2019) where "certified experience in research and scientific contributions of quality" are required, so that:

- In cases with two supervisors: at least one of them must comply with the established requirements for a single supervisor
- In cases with three supervisors: two of the supervisors must comply with the requirements for the single supervisor. These situations are exceptional and must be justified reasonably by collaborations with other institutions. The need for and role of each supervisor must be properly justified.

APPENDIX 4: Criteria for the appointment of the member of the Specific Doctoral Committee (CED)

Ref. Reglament Intern: 2.2 B) Functions of the Executive Committee

8- To establish the criteria for appointing the Specific Doctoral Committees, which must assess the Research Plan of each doctoral student.

Real Decreto 99/2011 establishes that a research plan must be presented before the end of the first year of the doctoral period, which must include the methodological framework, aims, time plan and means to achieve it.

To assess this research plan, a Specific Doctoral Committee is appointed for each doctoral student, consisting of three members: one member from the Academic Doctoral Committee (CAD) and two members who are experts/specialists in the area or topic of the research plan.

The Executive Committee of the Doctoral School establishes the following criteria for appointing the members of the Specific Doctoral Committees (CED):

- 1- Concerning the members from the CAD, under justified circumstances, their participation can be delegated to another lecturer or professor from the university who would attend the CED meeting as a representative of the CAD.
- 2- Concerning the experts, the supervisor of the thesis will present a proposal to the Academic Doctoral Committee (CAD) including four experts to be part of the CED. As a general rule, the CAD will choose two of the proposed experts. Nevertheless, if the CAD deems it necessary, it may choose different experts who have not been proposed by the supervisor.

In addition to holding a title of doctor, the expert members proposed by the supervisor must meet the following requirements:

- a) To be affiliated to a university or research centre, including those who are emeritus professors or honorary doctors.
- b) To have an active recognized six-year research cycle
Under exceptional circumstances, the CAD may accept an expert in the field of the research plan who does not meet the aforementioned requirements.

- 3- Concerning the CAD selection of the expert members, the following items will be considered:
 - a) in the makeup of the CED, at least one expert member must be external to UIC Barcelona. Exceptionally, and for justified reasons, both expert members can be affiliated to UIC Barcelona.
 - b) due to organisational reasons (reducing the number of specific committees, gathering different presentations in the same day, etc.), **the same CED may assess the research plans of multiple doctoral students** who share similar research topics in a common field.
 - c) due to economical reasons, it would be convenient to favour that expert members participating in-person in a CED belong to universities and research centres located in the greater area of Barcelona or in Catalonia.
- 4- A gender perspective and parity will be applied when appointing the members and constituting the CED.

APPENDIX 5: Criteria for appointing the members of the thesis examination panel

Ref. Internal Rules: 2.2 B) Functions of the Executive Committee

9- To establish institutional procedures for the defence of doctoral theses and the appointment of members of the thesis examination panel

Concerning the appointment of the members of the thesis examination panel, the Executive Committee of the Doctoral School has agreed that:

- 1- The panel will consist of three full members (a president, a secretary, and a spokesperson) and two alternate members. In some cases, like in co-supervised thesis, the number of members can vary to be adapted to the requirements of different universities.
- 2- Among the three full members, a maximum of one may be affiliated to UIC Barcelona. The other two members must be affiliated to an external university or research centre.
- 3- In addition to holding a doctor title, the examination panel members must meet the following requirements:
 - a) To certify research experience (with an active recognized six-year research cycle or equivalent)
 - b) To be affiliated to a university or research centre, which applies to emeritus professors and honorary doctors as well
 - c) Retired experts can be appointed as members of the examination panel as long as they have been retired for a maximum of three years

Exceptionally, the Academic Doctoral Committee (CAD) may appoint an expert doctor in the thesis field who does not comply with the aforementioned requirements.

- 4- The thesis supervisor will present a proposal of at least five members including their CV and a brief justification for their proposal. Likewise, they can include a proposal for the final makeup of the examination panel and the appointment of president, secretary, spokesperson and alternate members they consider adequate.
- 5- The Academic Doctoral Committee (CAD) will consider for the appointment of the examination panel:
 - a) The proposal presented by the supervisor
 - b) The traditional academic criteria concerning curricular antiquity for the makeup of the examination panel
 - c) In case the proposed members have been external reviewer of the thesis, they will be assigned the position of alternate members
 - d) A gender perspective and parity when appointing the members and constituting the examination panel.

APPENDIX 6: Criteria for appointing the external reviewers of the doctoral thesis

Ref. Internal Rules: 2.2 B) Functions of the Executive Committee

10- To establish criteria for appointing external reviewers to evaluate the thesis prior to the defence.

Concerning the appointment of external reviewers of the doctoral thesis, the Executive Committee of the Doctoral School has agreed that:

- 1- External reviewers for the thesis must meet the following requirements:
 - a) Certify their research experience (with an active recognized six-year research cycle or equivalent)
 - b) Hold a title of doctor and be affiliated to a national higher education institution or research centre
 - c) In cases where the thesis opts for an international mention, the reviewers will have to be doctors affiliated to a non-Spanish higher education institution or research centre, as established by Real Decreto 385/2015

- 2- As regards the revision of the doctoral thesis, the supervisor will present a proposal of four experts in the research field, attaching their CVs, to the Academic Doctoral Committee (CAD).
 The supervisor may suggest as reviewers the experts who were already part of the Specific Doctoral Committee (CED) of the doctoral student's research plan and/or the experts they proposed as alternate members of the examination panel.

- 3- The CAD will choose two reviewers among the proposed candidates, but if they do not seem suitable, it can choose other experts not featured in the supervisor's proposal.

- 4- For the purpose of maintaining the reviewers' anonymity, the Doctoral School will be responsible for the communication with the external reviewers of the thesis, which includes:
 - a) Contacting the reviewers explaining that the assessment will be anonymous and that neither the doctoral student nor the supervisor will know the name of the two reviewers chosen by the CAD.
 - b) In case the reviewer accepts the task, the Doctoral School will send them a copy of the doctoral thesis and an assessment template.
 - c) In case the reviewer declines the task, the Doctoral School will contact the next proposed reviewer according to the priority list of the CAD.

- 5- The external reviewer's tasks are expected to be a paid activity.

APPENDIX 7: Recognition of crèdits for supervision and tutoring of the doctoral thesis

Ref. Internal Rules:

3.2.2 Rights of the supervisor of a doctoral thesis

3. Academic recognition of their activities as supervisor or co-supervisor of a thesis within the statutory framework of the International University of Catalonia and the task of supervision of doctoral thesis will be recognised according to the provisions of the current legal regulations on Doctoral studies, based on the criteria established by the Executive Committee of the Doctoral School together with the Vice-Rector’s office for Academic Planning of UIC Barcelona.

3.3.2 Rights of the UIC Barcelona tutor

3. Their task of tutoring of the doctoral thesis shall be recognised according to the provisions of the current legal regulations on Doctoral Studies, according to the criteria established by the Executive Committee of the Doctoral School together with the Vice-Rector’s office for Academic Planning of UIC Barcelona.

The Vice-Rector’s Office for Academic Planning (VOAP) of UIC Barcelona agrees on the following recognition of teaching credits for the supervision of a doctoral thesis, applicable to thesis supervisors who are permanent teaching and research staff (PDI) at UIC Barcelona.

- 1- Agreement 165/18-19 of the Executive Committee of the Governing Board on January 14, 2019, where an agreement was reached concerning the recognition, in the new model of commitment template, as a teaching merit of 0,8 UDA for the supervision of full-time theses and 0,5 UDA for the supervision of part-time theses. For co-supervised theses, the UDA will be divided between the supervisors as follows:

Single supervision	Full-time (3 years)	0,8 Udas
Single supervision	Part-time (5 years)	0,5 Udas
Co-supervision	Full-time (3 years)	0,4 Udas
Co-supervision	Part-time (5 years)	0,25 Udas

- 2- Agreement 67/21-22 of the Executive Committee of the Governing Board on November 10, 2021, where it was agreed to add that additional recognition will be granted for:

Recognition for the Extraordinary Award	0,8 Udas
Recognition for thesis with an International Mention	0,8 Udas

APPENDIX 8. Procedure for complaints and incidents

Ref. Internal Rules 3.4 Procedure for Complaints and Incidents

The Executive Committee of the Doctoral School has established the following procedure for complaints and incidents involving the actions of people and institutional bodies that constitute the UIC Doctoral School (Doctoral Student, Supervisor(s), Tutor, Academic Doctoral Committee, EDOC Staff, and Executive Committee), without prejudice to the possibility of ultimately contacting the University’s Ombudsman (Síndic de Greuges).

1- PROCESSING – COMPETENT BODY

Any suggestion, claim or complaint regarding the actions of the people and bodies that constitute the UIC Doctoral School (Doctoral Student, Supervisor(s), Tutor, Academic Doctoral Committee, EDOC Staff, and Executive Committee) will be processed through the online mailbox set up for this purpose and will be received by the EDOC centre manager, who will be responsible for addressing the claims to each body responsible for solving them.

To those effects, complaints will be addressed by the Doctoral Academic Committee, the Head of the EDOC, or the Executive Committee of the EDOC, depending on the person or body who is the respondent in the complaint, according to the following criteria:

a) Complaints by the Doctoral Student and/or the Supervisor concerning the agreements by the Academic Doctoral Committee:

1. In the first instance, the Head of the EDOC
2. In the second instance, it shall be referred to the Executive Committee gathered for this purpose without the attendance of the president of the corresponding doctoral programme’s CAD.

b) Complaints by the Doctoral Student concerning their Supervisor:

1. In the first instance, CAD
2. In second instance, the head of the EDOC
3. In third instance, the Executive Committee

c) Complaints by the Supervisor concerning their Doctoral Student:

1. In the first instance, CAD
2. In second instance, the head of the EDOC
3. In third instance, the Executive Committee

d) Complaints concerning the Head of the Doctoral School: will be solved by the Executive Committee, gathered for this purpose and without the attendance of the Head of the EDOC.

e) Complaints concerning the Doctoral School’s staff members:

1. In the first instance, the Head of the EDOC
2. In second instance, it shall be referred to the Executive Committee gathered for this purpose and without the attendance of the president of the corresponding doctoral programme’s CAD.

f) Complaints concerning the agreements by the Executive Committee of the EDOC will be solved by the University’s Ombudsman (Síndic de Greuges)

2- PROCEDURE

1- The interested party must fill in the form available on the web indicating the following mandatory fields: personal data, doctoral program to which they are enrolled and e-mail; as well as the type of request submitted: claim, complaint or suggestion, and the person and/or body involved.

In cases of claims and complaints, the interested party must attach to the form a written document in which they must state specifically and clearly: a) the facts that motivate their claim or complaint, b) the grounds and/or justification for their claim, and c) the request they are making.

In the case of suggestions, they may either express them in the same form or attach a letter indicating them.

2- The request will be reviewed by the EDOC Center Manager, (unless they are the person involved in the claim, in which case the Head of the EDOC will review the request) and will forward it to the competent body to resolve the request.

3- Within a maximum period of fifteen working days, the interested party will be informed whether or not the request has been admitted for processing.

Anonymous claims or suggestions, those formulated with insufficient grounds, and those whose processing causes damage to the legitimate rights of third parties will not be admitted. In any case, the interested party will be informed by email about the reasons for non-admission.

4- Once admitted for processing, the competent body for the resolution of the matter will promote the appropriate investigation and will inform the persons who may be affected by its content so that, within a maximum period of ten working days, they may submit in writing the reports and allegations they deem appropriate. During this phase, it will gather the information, study the necessary documentation, conduct the personal interviews it deems appropriate and any other steps it deems necessary in order to be able to respond to the request submitted.

5- Once its actions have been concluded, the competent body will notify its resolution to the interested parties and will communicate it to the affected party, with the suggestions or recommendations it deems appropriate for the correction, where appropriate, of the deficiencies observed. In any case, it shall resolve within a maximum period of three months from the date on which the claim was admitted.

6- The decisions and resolutions of the competent body will only have effects between the parties involved in the application and will not be considered as administrative acts and will not be subject to any appeal.

7- When the competent body to hear the application is unable to resolve the claim, it shall send the file to the higher body for resolution. The latter will take the appropriate actions to respond to the request. In any case, it shall resolve the matter within a maximum period of two months from the date the file was sent to it.

8- If all the instances are exhausted without reaching a resolution to the application submitted, the university's Ombudsman (Síndic de Greuges) may be contacted.

3. CONTENTS OF THE ONLINE MAILBOX FORM

A first response will be given within 4 working days.

1) Personal Data: Name and Surname, Doctoral Program, E-mail address.

2) Indicate the reason for writing to the EDOC mailbox.

- Consultation, Suggestion, Compliment, Complaint or claim

3) Write your comments

4) IN CASE OF A CLAIM OR COMPLAINT, please attach the corresponding document in PDF format, which must clearly and concretely indicate:

1. identification of the person and/or bodies involved,
2. the facts that motivate the claim or complaint,
3. the grounds and/or justification of the claim,
4. the request they make.

APPENDIX 9. Development procedure for the Specific Doctoral Committee (CED)

Ref. Internal Rules 4.3.2 Research Plan

A) Presentation of the Research Plan to the Specific Doctoral Committee (CED)

The first-year doctoral student must present their Research Plan to a committee of external experts at the UIC, the Specific Doctoral Committee (CED), as a preliminary procedure for the Doctoral Academic Committee (CAD) to approve your research plan. Subsequently, the research plan must be evaluated by the University's Research Ethics Committee (CER).

15 days before the date of the presentation, the doctoral student must send the Research Plan (according to the established model) by e-mail to the CAD secretariat so that it can address it to the members of the CED.

The development of the CED will have an approximate duration of one hour in which the doctoral student will make an oral presentation of their Research Plan, the results obtained and the future work plan for about 15-30 minutes followed by a discussion with the Committee for approximately another 15-30 minutes.

After the doctoral student's oral presentation and the discussion, the Committee will have to produce a reasoned report according to a model that will be provided by the CAD secretariat.

The aspects that must be considered in the oral presentation and that will be evaluated by the CED are the following:

1. Demonstrate the scientific objective of the Research Plan: the state of the matter, the contribution of the work in the current period, and the relevance of the study topic.
2. Expose the methodology and the work plan proposed to achieve the scientific objective of the project.
3. Demonstrate that the duration or temporal planning of the project is reasonable to achieve the proposed objectives.
4. Communication skills of the doctoral student.
5. Ability to give a critical and reasoned answer to the questions asked by the Commission.
6. Expose other relevant data during the current period of the Research Plan: integration of the doctoral student in the research team (if applicable).

DEVELOPMENT AND ASSESSMENT OF THE CED

- The Specific Commission must assess the quality and feasibility of the Research Plan, being able to reject it if it does not seem appropriate.
- Each member of the CED will evaluate the aspects indicated in the template and, if desired, will indicate the optional recommendations, mandatory modifications or any other comments that they consider in relation to the assessed research plan.
- At the end, the president of the CED will fill out the assessment report.

ASSESSMENT TEMPLATE FOR THE CED (GENERAL TO ALL PROGRAMMES)

ASSESSMENT REPORT OF THE SPECIFIC DOCTORAL COMMISSION	
Doctoral student	
Supervisors	
Research line	
Title of the Research Plan	
Members of the CED	

DEVELOPMENT AND EVALUATION OF THE CEDING

- The Specific Commission must evaluate the quality and viability of the Research Plan, being able to reject it if it does not seem adequate.
- At the end, the president of the CED completes the evaluation minutes, which will be signed:
 - a) In the case of being carried out in person, by each of the attending members.
 - b) In the case of a videoconference, by the chairperson of the committee on behalf of all the members.

VALORAR LOS SIGUIENTES ASPECTOS				
Abstract	1-Insufficient	2-Sufficient	3-Good	4-Excellent
Introduction	1-Insufficient	2-Sufficient	3-Good	4-Excellent
Hypothesis or question	1-Insufficient	2-Sufficient	3-Good	4-Excellent
Definition of main and secondary aims	1-Insufficient	2-Sufficient	3-Good	4-Excellent
Methodology, experimental design and analysis	1-Insufficient	2-Sufficient	3-Good	4-Excellent
Intended outputs, expected output and potential for transference	1-Insufficient	2-Sufficient	3-Good	4-Excellent
Limitations and contingency plan	1-Insufficient	2-Sufficient	3-Good	4-Excellent
Feasibility of the project	1-Insufficient	2-Sufficient	3-Good	4-Excellent
Time plan and chronogram	1-Insufficient	2-Sufficient	3-Good	4-Excellent
Conflict of interest	1-Insufficient	2-Sufficient	3-Good	4-Excellent
Ethical considerations	1-Insufficient	2-Sufficient	3-Good	4-Excellent
Relevant bibliography	1-Insufficient	2-Sufficient	3-Good	4-Excellent
Critical thinking and knowledge of the topic	1-Insufficient	2-Sufficient	3-Good	4-Excellent
Communication skills: they demonstrate skills for public speaking: comfortability, precision and correction in the spoken presentation	1-Insufficient	2-Sufficient	3-Good	4-Excellent

Indicate, if applicable, whether the CED considers that the research plan entails ethical or biosecurity implications:

- YES, because it has been indicated in the research plan.
- YES, because people will participate, either through surveys or interventions,
- YES, because animals or biological materials that may affect the environment will be used in experimentation.
- YES, because the research deals with topics related to the ideology of UIC Barcelona.

- NO

RESEARCH PLAN ASSESSMENT

The Specific Doctoral Committee certifies the research plan as:

- APPROVED (the project and the presentation are correct).
- APPROVED WITH SUGGESTIONS FOR IMPROVEMENT (the CED recommends the student to make some minor changes that do not substantially affect the research plan, but may improve the thesis project).
- APPROVED WITH MANDATORY MODIFICATIONS (the project must be revised to incorporate the changes indicated by the CED that significantly modify the research plan presente, e.g. objectives, methodology, capacity to carry out... The doctoral student must present the project again, in writing or in oral presentation before the CED, as indicated.)
- NOT APPROVED (the student will be asked to present a new research plan to the CED).

APPROVED WITH SUGGESTIONS FOR IMPROVEMENT

The CED suggests the following changes

--

APPROVED WITH MANDATORY MODIFICATIONS

The CED indicates the following mandatory modifications

--

FURTHER COMMENTS

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APPENDIX 10: Requirements for doctoral theses by compendium of publications

Ref. Internal Rules 5.1. B) Format of the doctoral thesis

b) Specific requirements to each doctoral programme:

The Academic Doctoral Committee (CAD) will establish the standards (the number of publications and the ranking of journals), which it considers to be adequate for the admission of doctoral theses in the form of a compendium, as well as other requirements additional to those specified in this section, which will be ratified by the Doctoral School Executive Committee.

The Executive Committee of the Doctoral School ratifies the criteria established by each Doctoral Academic Commission (CAD) in relation to the specific requirements for presenting the thesis in the form of a compendium of publications.

a) General requirements (art. 5.1.2 Internal Regulations)

1. The doctoral student must be the first author of the publications presented and must indicate the affiliation of UIC Barcelona in each paper.
2. These works must have been published or accepted for publication after the registration data of the thesis project.
3. The publications that constitute the doctoral thesis cannot have been used in previous theses.
4. The articles that constitute the thesis cannot be included as part of another thesis. In this sense, non-PhD co-authors will have to sign a waiver commitment to use them in other theses. These documents must be attached at the time of depositing the thesis.
5. That the works presented, in addition to having scientific value by themselves, together form a scientific unit. The candidate must be able to establish a common thread to propose a scientific unit with a wider value than the sum of the works presented independently of each other.

b) Specific requirements for each doctoral programme

DOCTORATE IN ARCHITECTURE

1. Minimum of 2 publications and in both the doctoral student as the first author.
2. The articles must be published in indexed journals:
 - ISI (JCR, Thomson Reuters, Web of Science)
 - SJR (SCImago Journal Rank)
 - Carhus +
 - IN-REJS
 - SCOPUS
3. The doctoral student must indicate the UIC Barcelona affiliation in the articles

DOCTORATE IN ECONOMY AND LAW

A) Theses in the area of ECONOMY AND BUSINESS

1. The thesis must be constituted by THREE articles.
2. At least two of them must be published or accepted for publication in journals of the following lists:
 - Journal Citation Reports (SCI and / or SSCI)
 - Carhus: A / B
 - Scopus (SCImago Journal Rank)
3. The first author of the publications must be the doctoral student
4. The doctoral student must indicate the affiliation of UIC Barcelona in the articles

B) Theses in the area of LAW

The presentation format of the thesis in the field of Law recommended by the Academic Commission of Doctorate is the presentation of the thesis in traditional format.

However, in the case that you want to present in the compendium format for publications, the following conditions must be met:

1. The thesis must contain 3 articles published or accepted for publication in indexed journals. Ranking of journals:
 - CIRC A / B
 - Carhus: A / B
 - Scopus (SCImago Journal Rank)
 - JCR

2. The doctoral student must be the author and sole signatory of the articles.

If in any case the article is signed by more than one person in the compendium, the contribution of each of the signing authors to the article must be duly justified. The CNEAI states that: *the number of authors of a contribution must be justified by the subject, complexity and extension. Applicants must indicate, justifying, what has been their material contribution to the work published jointly (CNEA)*

3. The doctoral student must indicate the affiliation of UIC Barcelona in the articles

DOCTORATE IN COMMUNICATION, EDUCATIONAL AND HUMANITIES

a) Theses in the field of COMMUNICATION

1. Minimum of three publications.
2. On indexed
 - Carhus + A or B
 - JRC Q1, Q2 or Q3
 - SCOPUS Q1 or Q2
3. Be the first author of 2 of the publications.
4. The doctoral student must indicate the affiliation of UIC Barcelona in the articles
5. Prepare an introduction and conclusions that demonstrate the unity of the investigation

b) Theses in the field of EDUCATION

1. Minimum of three publications
2. All in indexed journals. The impact factor of the publications must be:
 - JCR (Minimum Q3)
 - SCOPUS (minimum Q2)
3. Be the first author in the three publications
4. The doctoral student must indicate the affiliation of UIC Barcelona in the articles
5. Prepare an introduction and conclusions that demonstrate the unity of the investigation

c) Theses in the field of HUMANITIES

1. Minimum of THREE publications
2. All three in indexed journals:
 - SJR (Q1 or Q2)
 - CARHUS A o B
3. Be the first author in the three publications
4. The doctoral student must indicate the affiliation of UIC Barcelona in the articles
5. Prepare an introduction and conclusions that demonstrate the unity of the investigation

DOCTORATE IN HEALTH SCIENCE

1. Minimum of 2 publications.
2. Two of the articles of the theses by compendium must be articles published in magazines of first or second quartile, of scientific journals incorporated in the Journal Citation Reports (SCI/SCCI), SCOPUS or in the CNEAI databases for the fields of the area of knowledge in the year of publication of the article.
3. The following combinations of article quartiles are accepted:
 - 1 article Q1 and 1 article in Q1
 - 1 article Q1 and 1 article in Q2
 - 1 article Q2 and 1 article in Q2
4. The articles must be signed by the candidate as first author. Exceptionally, the CAD can accept a second authorship from the candidate. In this instance, for the CAD to accept the article, the thesis supervisor must supply written conformity for the second authorship, stating and justifying the candidate's contributions to the article.
5. As a rule, all publications must have followed a creditable peer review process. The type of articles accepted for the thesis will be:
 - Original research articles, in full format.
 - Short article (brief or similar), which meets the requirements of being original contributions and has followed a peer review process.
 - Systematic reviews or meta-analyses.
 - Contributions in the form of editorials, letters to the editor, commentaries or participation in conferences will not be accepted for the thesis by compendium.
In no case will contributions be accepted without peer review.
6. The doctoral student must indicate the affiliation of UIC Barcelona in the articles.

APPENDIX 11 Procedure for depositing and defending the doctoral thesis

Ref. Internal Rules: 5.2 Procedure for Reading and Defending the Thesis: After the completion of the doctoral thesis, the doctoral student will submit the application for the reading and defence of the thesis to the Academic Doctoral Committee (CAD) with the necessary documentation, which begins with the deposit of the thesis and ends with the defence of the thesis, according to the procedure approved by the Doctoral School Executive Committee.

1 DOCTORAL THESIS DEPOSIT

a) PREVIOUS STEPS TO THE ACCEPTANCE OF THE DOCTORAL THESIS DEPOSIT:

Originality control through the anti-plagiarism programme *Turnitin*

When the PhD student has the agreement of their supervisor to defend the thesis, they will have to inform the Doctoral School about their intention to deposit and defend the thesis. The PhD student will have to send the thesis to the Doctoral School so that its originality can be confirmed through the anti-plagiarism programme *Turnitin*.

- . If the result is equal or less than **15%**, the CAD will approve the start of the deposit process.
- a. If the programme displays a plagiarism result **higher than 15%**, the programme report will be sent to the thesis supervisor for them to justify in a document each of the coincident parts Turnitin has found. After assessing the supervisor 's document, the CAD will issue a positive or negative notification. If positive, the deposit process will be approved.

b) DOCTORAL THESIS DEPOSIT

The Thesis Deposit starts with the deposit request by the PhD student and finishes with the CAD resolution for the thesis defence approval and tribunal designation.

- Once all deposit documents have been submitted (PhD student deposit request plus reviewers and tribunal proposal by the supervisor) the thesis will move to the deposit phase.
- The Doctoral Academic Committee (CAD) will designate two external reviewers, who will issue an anonymous report about the thesis, stating if the thesis is *Suitable for its Defence* or *Not Suitable for its Defence*. In the second case, the reviewers will note the suggestions or modifications to be implemented.
- After evaluating the reports, the CAD will resolve about the thesis defence approval and notify to the PhD student and supervisor:
 - a. Either that the Thesis can be defended and the tribunal will be officially designated
 - b. Or that the Thesis must be reviewed and modified according to the suggestions from the reviewers' reports. In this case, the PhD student will have to send the new version of their Thesis for a new assessment.

1.1 Deposit Documents that need to be submitted by the PhD Student:

THE DOCTORATE must send the following duly completed documentation by email to the Doctoral School at the following address carmenose@uic.es and edoc@uic.es

- a) **Application form for the deposit** of the thesis (*DT_ANEXO 1_Deposit request*)

You must also attach the following documents, if applicable:

1. Thesis by Compendium of Publications:

- A report from the director in which the impact factor of the journals of the articles published or, where appropriate, accepted for publication, is specified. (*DT_Anexo 1.1_Tesis por compendio_Relación de artículos e índice de impacto*)
- In the event that the thesis articles have been written by several co-authors, attach the acceptance of the co-authors for the presentation of the articles as doctoral thesis (*DT_Anexo 1.2_Tesis per compendio_Aceptación co-autores*)
- In the event that the thesis articles have been written by several non-doctoral co-authors, the articles that make up the thesis may not be included as part of another thesis. A letter signed by the non-doctor co-author of the waiver commitment to use said articles in other theses must be attached. (*DT_Anexo 1.3_Tesis por compendio_renuncia co-autor no doctor*)

2. Thesis with International Mention:

- Certificate of the research stay abroad issued / signed by the person in charge of the stay (tutor of the foreign institution). (*DT_Anexo 1.4_Mención internacional_Informe estancia investigación*)

3. Thesis with Confidentiality: Attach the confidentiality request form in the defence of the doctoral thesis (*DT_Anexo 1.5_solicitud confidencialidad*)

b) Send updated **activity record** (*DT_Anexo 2_Registro Actividades*)

c) Send the text of the **Thesis in PDF format**

Indicate as file name: **SURNAME, NAME-Thesis in Deposit-Date (00-00-00)** - Do not put the full title of the thesis

SURNAME, Name Thesis for deposit DDMMYYYY

1.2-Deposit Documents that need to be submitted by the thesis supervisor:

The thesis supervisor must:

- a) Check that the doctoral student has and presents the corresponding reports and certificates in the case of a thesis by Compendium of Publications or thesis with International Mention.
- b) Send, duly completed, via email to the Doctoral School at the following address edoc@uic.es:
 - The External Reviewers proposal along with their CVs (*DT_ANEXO 3_Director_Propuesta revisores*)
 - The Tribunal members proposal along with their CVs (*DT_ANEXO 4_Director_Propuesta Tribunal*)

2. THESIS DEFENCE CEREMONY

When the Doctoral School receives the resolution by the CAD approving the Reading and Defence of the Thesis, the corresponding procedures are initiated for the organization of the ceremony, which will consist of the presentation by the doctoral student of their thesis and its evaluation by the Tribunal.

2.1 Documents to be submitted before the ceremony of defence by the doctoral student

The **doctoral student** after receiving the statement of approval for the defence of the thesis must submit the following documents:

1. Final **PhD** Thesis:

a) PDF version of the thesis the defence indicating as file name:

SURNAME, Name Thesis for Defence DDMMYYYY

b) Handwritten version: 1 compulsory copy for the University. The rest of copies at the request of the members of the tribunal.

2. **Payment of the deposit and thesis reading fees** that must be paid before the defence date. The document will be sent by the EDOC.

5. **TDX file** in digital Word format (*DT_ANEXO 5_TESEO*)

4. **TESEO file** in digital Word format (*DT_ANEXO 6_TESEO*)

2.2 Organization of the defence ceremony:

a) The **date and time** of the defence ceremony will be managed directly by the **director and doctoral student** with the tribunal and the doctoral student will communicate it to the Doctoral School.

b) The **Doctoral School** will take care of:

- The classroom reservation.
- Officially convene the defence ceremony of the thesis to the members of the tribunal while sending them the thesis in digital format.
- Send the manuscripts of the thesis to the tribunal by courier service.
- Manage the corresponding trips.
- Publication of the defence ceremony to the university community and the opening of the 15-day publicity period for consulting the thesis before the defence act.

c) **Development of the Defence Ceremony.** The Doctoral School will send the protocol of the ceremony to the doctoral student, supervisor and tribunal.

3. APPROXIMATE PERIOD FROM THE DEPOSIT PROCESS START TO THE DEFENCE CEREMONY

The approximate period from the deposit process start until the ceremony of reading and defence of the thesis is about 2-3 months.

It should be taken into account:

a) That, once the thesis is submitted and until the CAD authorizes the defence, the thesis must be evaluated by external reviewers who have between 20 and 30 days to issue their reports to the

CAD. In the event that, in view of the reports, substantial changes must be made to the thesis, the review and evaluation must be carried out again.

- b) That, once the CAD authorizes the defence and designates the tribunal, the doctoral student must deliver to the EDOC the printed copies of the final thesis to be sent to the tribunal.
- c) That, from the moment the copy of the thesis is sent to the tribunal members until the defence date, a minimum of 30 days must elapse. During this period, one of the copies will be deposited at the EDOC for 15 days for public consultation by the university's doctors.

4. PhD/ DOCTOR CERTIFICATE REQUEST

Once the doctoral thesis has been defended and after receiving the proceedings of the act, the new doctor must request the certificate of Doctor in the Department of Academic Management of the University.

The Doctoral School will send the doctoral student:

- Certificate of the ceremony of defence.
- The document of request for the certificate of Doctor.

APPENDIX 12: Protocol of the thesis defence ceremony

Ref. Internal Rules: 5.2.2 Defence and reading of the doctoral thesis

B) Thesis reading and defence ceremony: The doctoral thesis has to be evaluated in the presentation and defence proceedings in which the doctoral student must present and defend the research project produced to the members of the panel and other persons attending.

A) PROTOCOL FOR IN-PERSON DEFENCE CEREMONIES

First: Constitution of the panel; the three full members of the examination panel meet 15 minutes before the start of the ceremony to discuss the format of the defence.

Second: The doctoral candidate and the public enter the room. The three full members appointed by the Doctoral Committee, the doctoral candidate, the thesis supervisors and the general public must be present at the ceremony.

Third: The president takes the floor, introduces the panel, announces the order of the act and proceeds to declare the public session open. In the event that any member acts by videoconference, the President must guarantee the performance of the three members of the panel.

Fourth: To give the floor to the doctoral candidate. The doctoral candidate will begin their defence, which consists of a presentation of the work carried out, the methodology, content and conclusions, with special mention of his or her original contributions, lasting approximately 30-50 minutes.

Fifth: The thesis supervisor and other doctors in the room will be given the floor.

Sixth: Interventions of the panel in the following order

- Secretary
- Spokesperson
- President

Seventh: Once the opinions of the members of the panel on the thesis have been expressed, and the Doctoral candidate's answers to the questions have been heard, the Doctoral candidate and the public leave the room.

Eighth: Deliberation of the panel: The panel will meet in private session, beginning its deliberation, for which each and every one of the members of the tribunal will expose their criteria with respect to the student's performance in defence of his doctoral thesis. Once the deliberation is concluded, the examining panel will proceed in closed session to award an overall grade for the thesis according to the following scale:

- Failed
- Approved
- Notable
- Excellent

Ninth: Only when the overall grade is "Excellent", each of the members of the examining board must cast a "secret vote" proposing, if appropriate, the awarding of the "cum laude" mention. To do so, they must either place the ballot in a sealed envelope or anonymously fill in an online form and hand it to the Secretary of the ceremony.

Tenth: Each member of the panel must deliver to the secretary of the panel:

- A. The thesis evaluation report, which must be signed.
- B. If the grade obtained is outstanding, the sealed envelope with the secret and anonymous vote (not signed) of the cum laude proposal.

Eleventh: The Secretary of the panel will proceed to take the Minutes, which must be signed by each of the three members of the court (who are present in person).

Twelfth: The doctoral candidate and the public are brought into the room. The thesis grade report is read. It is explained that, according to the current legislation, the Cum Laude mention is decided a posteriori and the director and the student are informed of the result a few days later. The Secretary of the panel delivers all the documentation in a sealed envelope to the Doctoral School.

B) PROTOCOL FOR ONLINE OR HYBRID THESIS DEFENCES (Videoconference)

1- MAKE-UP OF THE PANEL. Virtual room 2- the panel session:

1) Verification of the presence and the identity of the members of the panel.

The secretary of the panel shall record in the *certificate of doctoral thesis defence* that the members of the panel have been identified by showing their identification document to the camera.

2) Prior meeting to coordinate the defence

The chair of the panel shall coordinate with the rest of the members how the defence will be conducted and the relevant issues relating to the defence and the reading of the PhD thesis.

2- START AND DEVELOPMENT OF THE DEFENCE Virtual room 1 - defence session

1) Verification of the presence and the identity of the panel members:

The secretary of the panel shall verify that both the PhD student and their supervisors participate in the virtual session. They shall record in the *certificate of doctoral thesis defence* that the members of the panel have been identified by showing their identification document to the camera.

2) Start of defence

The chair of the panel opens the defence, introduces the panel and sets forth how the defence will be carried out. (A proposal is attached)

- The chair gives the floor to the PhD student.
- Exposé by the PhD student (30-40 minutes).
- The chair gives the floor to the PhD thesis supervisor.
- Interventions by panel members.
 - Secretary
 - Spokesperson
 - Chair
- Responses from the PhD student.
- Possible contributions from the PhD thesis supervisor and other PhD holders who are present.

3) PhD student and audience leave the session:

The panel secretary shall announce that the session is closed until the panel has deliberated.

It shall be recorded in the *certificate of doctoral thesis defence* that the presentation has been completed, and that the panel meet for deliberation.

3. DELIBERATION OF THE PANEL. Virtual room 2. Panel session

The secretary of the panel shall verify that the microphone of the defence room is switched off, and open the panel session for deliberation.

The chair of the panel will coordinate the deliberation.

a) Individual panel reports:

Once the deliberation of the panel members has been completed, they shall submit their individual examination reports for the PhD thesis.

To do this, the secretary of the panel shall request the other members of the panel to email him or her a PDF of their individual examination report and assessment. It shall be recorded in the *certificate of doctoral thesis defence* that these reports have been received and they are included in the certificate.

b) PhD Certificate:

The grade given may be fail, pass, good or outstanding

The chair of the panel shall state the grade obtained.

The secretary of the panel after completing the certificate and reading it, shall sign it in agreement and by order of the other members of the panel. And this shall be recorded in the *certificate of doctoral thesis defence*.

C) Proposal of Cum Laude

If the grade is “outstanding”, each member of the panel must issue an individual (secret) vote regarding the granting of *Cum Laude*.

The chair of the panel shall inform the other panel members that, as the student has obtained a grade of “outstanding”, they must issue their vote secretly through the attached computer application.

The secretary of the panel shall request the other members to fill in their vote in the form they have received, and, after a few minutes, they will be asked to confirm if they have now done so, and this shall be recorded in the *certificate of doctoral thesis defence*.

4- COMMUNICATION OF THE ASSESSMENT Room 1: PhD defence.

The secretary of the panel will reopen room 1, the PhD defence session, and verify that the PhD student and their supervisors are there, and will close room 2, the panel session.

The chair of the panel will read out the PhD thesis examination record.

If the grade of “outstanding” has been awarded, the chair of the panel shall inform that, according to the current legislation, it shall later be decided whether to grant *Cum Laude* , and that the result of the vote shall be communicated by the Doctorate School.

5- COMPLETION OF THE DEFENCE

The chair of the panel will let everyone know that the event will be concluded and will thank the attendees.

The secretary of the panel shall state in the defence certificate that the defence has been completed, and shall sign it.

The sessions of the platform shall then be closed.

6- SENDING OF THE DOCUMENTATION

At the end of the defence proceedings, the secretary of the panel shall then submit all the documentation by e-mail to the Manager of the Doctorate School Faculty, Dr Marta Gámiz, mgamiz@uic.es:

- a) The individual PhD thesis examination reports from each member of the panel
- b) The Doctoral Degree Certificate
- (c) The certificate of doctoral thesis defence.

Subsequently, he or she will send it by post as soon as possible to the following address:

Universitat Internacional de Catalunya
Doctorate School
(Dr Marta Gámiz)
Inmaculada, 22
08017 Barcelona
Tel. 932 541 800

NOTE: - Provision for any connectivity issues during the holding of the defence

If there were any connectivity issues either during the PhD defence or the panel session, the chair of the panel shall suspend the defence until communication is restored. In the event that it is impossible to re-establish connectivity, the defence shall be postponed until the technical conditions to resume it have been ensured.