

**Internal Rules of Procedure  
for Doctoral Studies  
and the Doctoral School**

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## PREAMBLE

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These regulations bring together the various sets of rules governing doctoral programmes at the International University of Catalonia, which are contained in the following documents:

- A. *Regulations for the Doctoral Studies of the International University of Catalonia regulated by Royal Decree 1393-1307*, approved by the Executive Committee of the Governing Board on 16 November 2009, in the most recent version approved by the Executive Committee of the Governing Board, on February 6, 2012.
- B. *Internal Rules of Procedure of the Doctoral School* approved by the Executive Committee of the Governing Board on June 18, 2012 and by the Executive Committee of the University Board on 19 June 2012.

The aim is to compile in a single document the set of rules that govern the Third Cycle Study Programmes and the UIC Doctoral School, which promotes and facilitates it, as well as to update the regulations, by ensuring their compliance with Real Decreto 99/2011 of January 28, currently in force, which governs official Doctoral Studies.

## COMMON PROVISIONS

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1. The purpose of these regulations is to govern the following matters:

- A) The organisation of the doctoral courses relating to the third cycle of official university courses leading to the obtaining of the qualification of a doctorate degree from the International University of Catalonia, in accordance with the legislation in force established by Royal Decree 99/2011, of 28 January, and the modifications established by Royal Decrees 534/2013 and 43/2015, which set down the rules for official doctoral studies.
- B) To establish the internal operation of the Doctoral School responsible for the management and organisation of the UIC doctoral studies.

The creation of the Doctoral School of the International University of Catalonia resulted from the decision of its governing bodies to consolidate UIC as a reference university in the training of research staff.

In this regard, the creation of doctoral schools by universities, and in particular that of the International University of Catalonia, is subject to the regulatory framework included under Royal Decree 99/2011, of January 28, which regulates official doctoral teaching, the agreements of the Executive Committee of the Governing Board and the University Board, the internal regulatory framework of UIC, as well as the applicable university regulations.

2. The basic rules of these regulations are:

- The official regulation in force on doctoral studies is established by Real Decreto 99/2011, of 28 January and Royal Decree 822/2021, of September 28, which establishes the organisation of university teaching and the quality assurance procedure.
- The regulation of research staff in training established in Real Decreto 103/2019, of March 1, which approves the Statute of Predoctoral Research Staff in Training.
- The rules relating to the rights and obligations of doctoral students established in Royal Decree 1791/2010, of December 30, which approves the Statute of university students.
- Royal Decree 1002/2010, of August 5, on the issue of official university degrees and according to the formal criteria established by the same Royal Decree, in accordance with the current regulations and Royal Decree 195/2016, of May 13, which establishes the requirements for the issue of the European Supplement for University Doctorate Degrees.
- The regulations relating to the recognition and equivalence of foreign higher qualifications contained in Real Decreto 967/2014 of November 21.
- The rules of organisation and operation of the International University of Catalonia, including the rules of intellectual property and the Student Statute.

3. This regulation takes into account the following definitions established in article 2 of Real Decreto 99/2011 (definitions 1 to 8) in this regulation, including the definition of a research plan and a doctoral thesis.

1. A **doctorate** is understood to be the third cycle of official university studies, leading to the acquisition of competences and skills related to high-quality scientific research.
2. The **doctoral programme** is understood to be a set of activities leading to the acquisition of the necessary skills and competencies for obtaining a doctorate degree. This programme is aimed at the development of the different educational aspects of the doctoral student and will establish the procedures and lines of research for the development of doctoral theses.
3. A **doctoral student** shall be someone who, after accreditation of the requirements established in this Royal Decree, has been admitted to a doctoral programme and has been enrolled in it.
4. A **Doctoral School** shall be understood to be the unit created by one or several universities and in possible collaboration with other national or foreign bodies, centres, institutions and entities with R+D+i activities, which has as its fundamental purpose the organisation, within its scope of management, of the Doctorate, in one or more branches of knowledge or is of an interdisciplinary nature.
5. The document of **doctoral activities** shall be understood to be the individual record of control of these activities, for which the appropriate support is provided, which will be regularly reviewed by the tutor and the thesis supervisor and assessed by the academic committee responsible for the doctoral programme.
6. The **thesis supervisor** is responsible for the conduct of all the research tasks of the doctoral student.
7. The **tutor** is the person responsible for ensuring the research training and activity are in line with the programmes' principles and, if relevant, the Doctoral School's.
8. The **academic committee** of each programme is responsible for its definition, updating, quality and coordination, as well as for the progress of research and training and for the authorisation of the presentation of theses by each doctoral student in the programme.
9. The **research plan** refers to the research project and in the planning of time for the development of the doctoral thesis, establishing the time frames for each of the research tasks.
10. The **doctoral thesis** consists of an original research project on a subject related to the scientific, technical or artistic field of the programme.

4. The regulation of these rules of procedure will be supplemented by the agreements adopted by the Executive Committee in the exercise of the powers entrusted to it and will be attached as appendices to the regulation.

## HEADING I. THE DOCTORATE TEACHING

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The doctoral studies are structured into programmes that comprise training and research activities, concluding with the presentation and approval of a doctoral thesis.

All the doctoral programmes offered to students are aligned with the European Higher Education Area, in accordance with the regulation of university teaching established by Royal Decree 1393/2007 and Royal Decree 99/2011.

The UIC Governing Board has created the Doctoral School, which has as its essential function to ensure the quality of doctoral studies and compliance with the regulations governing them.

### 1.1 Doctoral Qualification

The successful completion at UIC of a doctoral degree education entitles the student to receive a doctorate degree from UIC. The qualification must include the information specifying the discipline in which the doctoral thesis has been carried out.

The Doctorate qualifications are issued in the name of the king by the Rector of the university where the doctoral thesis has been approved, prior to which compliance must be checked with Royal Decree 1002/2010, of 5 August, on the issue of official university degrees and according to the formal criteria established by the same Royal Decree, in accordance with the current regulations and Royal Decree 195/2016, of 13 May, which establishes the requirements for the issue of the European Supplement for Doctorate University Degrees.

Until the requested qualification is issued to the candidate, they are entitled, as soon as they have paid the charge for issue of the qualification, to be issued a certificate in which it is stated that the qualification has been requested and that it is in the process of being issued.

### 1.2 Doctoral programme

The organised group of all the training and research activities leading to the obtaining of the qualification is called the doctoral programme.

Each doctoral programme has a number of research lines defined in a field of knowledge assigned to one or more UIC faculties, departments or institutes. In addition, it determines the competences that students must have acquired in order to obtain the Doctorate degree.

The Academic Doctoral Committee, in which the lines of research are represented, is responsible for the management and organisation of each of the programmes.

### 1.3 Creation, restructuring and removal of doctoral studies

The creation, restructuring and removal of doctoral studies are the responsibility of the University Board, on the proposal of the Governing Board, after the UIC Doctoral School Executive Committee has given its opinion on the proposals submitted by the Academic Doctoral Committees on the initiative of those responsible for the lines of research.



The proposal for a new doctoral study programme must specify:

1. The specific training objectives.
2. The lines of research and the faculty in which the programme is organised.
3. Specific access requirements in the training period and the research period.
4. The selection criteria of the doctoral students.
5. Scheduled informal activities and the advisability of undertaking additional study according to the student's educational background.
6. The proposed systems of effective supervision of doctoral research and training activities.
7. The requirements established by the regulations in force for the verification of doctoral programmes.

#### **1.4 Declaration of equivalence of doctoral qualifications obtained abroad**

Royal Decree 967/2014 of 21 November, which establishes the requirements and the procedure for the certification and declaration of equivalence to a degree and at official university academic level and for the validation of foreign studies of higher education, applies, as does the procedure for determining the equivalence for the levels of the Spanish qualification framework for higher education of the official degrees of architect, engineer, graduate, technical architect, technical engineer and diploma, which repeals the previous legislation on the subject contained in Royal Decree 285 /2004 of February 20 and regulates the fifth additional provision, the equivalence of the academic level of doctorate.

The UIC is competent to decide on applications for the declaration of equivalence of foreign Doctorate degrees issued by a foreign university or higher education institution officially recognised in their own country that relate to study forming part of an official programme and that meets the requirements of foreign university degrees established in Article 7 of Real Decreto 967/2014.

The UIC shall recognise the training passed by the applicant for obtaining a foreign degree as equivalent to that required for obtaining the academic level of a Doctorate. This recognition shall be carried out in accordance with the current regulations contained in Real Decreto 99/2011 of 28 January, by which official doctoral studies are regulated.

#### **1.5 Qualification of honorary doctor**

The UIC, in accordance with its statutes and the corresponding regulations, may grant the status of honorary doctor to individuals who, in consideration of their academic, scientific or personal merits, so merit.

## HEADING II. ORGANIZATION AND INTERNAL RULES OF THE DOCTORAL SCHOOL

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### 2.1 The Doctoral School

According to article 3 of Real Decreto 99/2011, a *Doctoral School shall be understood to be the unit created by one or several universities and in possible collaboration with other national or foreign bodies, centres, institutions and entities with R+D+I activities, which has as its fundamental purpose the organisation, within its scope of management, of the Doctorate, in one or more branches of knowledge or of an interdisciplinary nature.*

#### A) Functions of the Doctoral School

The main purpose of the Doctoral School of the International University of Catalonia is the organization, within its area of management, of doctoral studies.

The following functions are the responsibility of the Doctoral School (art. 2.1-2.2 RI):

1. To provide sufficient management capability and to ensure the human and material resources necessary for the achievement of the objectives of the UIC and of the other universities and institutions developing the doctoral programmes.
2. To ensure that it develops its own doctoral training strategy, alongside the research strategy of the university and of the public research bodies and other bodies and institutions involved.
3. To manage with the relevant official bodies, the procedures for the verification, modification, follow-up, and accreditation of the doctoral programmes.
4. To monitor and guarantee compliance with these rules as internal regulation governing, among other items, the rights and responsibilities of doctoral students, as well as the composition and functions of the Academic Doctoral Committees.
5. To establish overall guidelines and organise, within the scope of management, the teaching and other doctoral educational activities.
6. To approve and put forward a good practices commitment adopted by the School that must be signed by all the individuals who form part of it.
7. To publicise the School's activities and contribute to their dissemination at the local and international levels.
8. To establish an Internal Quality Assurance System (SGIQ) to guarantee the quality of doctoral theses, as well as the monitoring, review and analysis of the development and results of doctoral programmes, ensuring their continuous improvement.
9. To manage the doctoral studies: admission, enrolment, supervision and assessment of the doctoral student, the delivery and defence of the thesis, the issue of the Doctorate degree and any other management of an administrative nature.
10. To manage the financial and teaching resources assigned to it.

11. To establish the calendar and management deadlines of the doctoral studies.
12. To establish the permanence regulations of the programme.
13. All those functions entrusted to the School by the Governing Board or other competent bodies and in other regulations. Establish the timetable for the management of doctoral studies.

## **B) Structure of the Doctoral School**

The UIC Doctoral School forms part of the Vice-Rectorate for Research, and is managed by the School Head and their team.

The Doctoral School is structured as follows:

- The Executive Committee
- The Head of the Doctoral School
- The Coordinators of the Doctoral Programmes
- The Academic Doctoral Committees (CAD)
- The School Secretary's Office: academic, qualifications and student service, consisting of the centre manager and the technical administrative team
- Doctoral School Quality Committee (CCED)

### **2.2 Executive Committee**

#### **A) Nature and makeup of the Executive Committee**

The Executive Committee is the governing body of the Doctoral School and is also responsible for the Internal Quality Assurance System of the Doctoral School.

The Executive Committee consists of:

- The Vice-Rector for research, who will assume the chair.
- The Head of the Doctoral School.
- The Coordinators of the Doctoral Programmes.
- The Chairs of the Academic Doctoral Committees.
- The Centre Manager who acts as Secretary of the Executive Committee.

A representative of the bodies or institutions with which an agreement has been signed for the implementation of inter-institutional doctoral programmes *may* also form part of the Executive Committee.

#### **B) Functions of the Executive Committee**

The Executive Committee shall have the following functions of organisation and management of the School:

1. To act as a direct link between the Doctoral School and the University's Governing Board.
2. To support the University's research strategy and policies.
3. To define the offer of doctoral degrees from the University and the fields.
4. To develop a strategic vision of the sociocultural environment, trends and importance of knowledge transfer.
5. To define the policy of cooperation with other bodies and to draw up the necessary agreements to be approved by the appropriate bodies.
6. To review and announce new proposals for the doctoral programmes, as well as changes to the existing programmes, and to submit them to the Governing Board and the University Board for approval.

In this regard, the Executive Committee tasks are:

- a) To organise, coordinate, define and update doctoral programmes.
  - b) To establish the requirements for membership of the Academic Doctoral Committees.
  - c) To approve the composition of the academic committees of the respective doctoral programmes, as well as the appointment and termination of the members.
  - d) To approve the activities comprising the training and development of doctoral students.
  - e) 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.
  - f) To establish the systems of assessment and supervision of doctoral students applicable to all doctoral programmes.
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.
  8. To establish the criteria for appointing the Specific Doctoral Committees, which must assess the Research Plan of each doctoral student.
  9. To establish institutional procedures for the defence of doctoral theses and the appointment of members of the thesis examination panel.
  10. To establish criteria for appointing external reviewers to evaluate the thesis prior to the defence.
  11. To ensure the quality and smooth functioning of doctoral programmes.
  12. To ensure public information on doctoral programmes and their results.
  13. To publish the list of doctoral students by academic year.

14. To propose to the Executive Committee of the Governing Board of the University the official call for the Extraordinary Doctoral Award and to appoint the panel that will award the Extraordinary Doctoral Awards.
15. To establish the systems and procedures for the design, implementation, development, monitoring and continuous improvement of the Centre's Internal Quality Assurance System (IQAS), in particular:
  - a) Appoint the members of the Doctoral School Quality Committee.
  - b) Approve the improvement actions proposed by the Doctoral School Quality Committee, as well as the monitoring and accreditation reports to be sent to the autonomous region quality agency.
  - c) Prepare an overall report of the results obtained in the assessment and follow-up carried out by the Doctoral School Quality Committee and report the results to the Governing Board.
16. To receive suggestions and resolve complaints and appeals that may be lodged in relation to the doctoral study programmes against decisions of the bodies responsible for the doctoral students, especially those affecting admission to doctoral programmes and the assessment of student performance.
17. To ensure compliance with these regulations and propose modifications, which, if necessary, will be approved by the Governing Board.
18. To exercise the other functions related to the corresponding regulations.

### **C) Meeting system of the Executive Committee**

The Executive Committee shall hold ordinary and/or extraordinary meetings.

1. Ordinary meetings shall be held at least three times a year. The extraordinary meeting may be convened by decision of the Head of the School or at the request of at least three members. Extraordinary meetings shall be held only for emergencies, and shall not preclude the convening of ordinary meetings.
2. Ordinary meetings shall be convened by the Head of the School and shall be notified to all the Committee members at least seven calendar days in advance of the date, excluding meetings outside the academic year. In the event that a meeting is convened at the request of three members, this shall take place within 15 days of receipt of the request.
  - a) The calls for meetings shall have the following content and, if appropriate, the following accompanying documentation:
    - The order of the day, signed by the Head, containing the topics they deem pertinent and the others proposed by the members of the Executive Committee, at least seven days before the meeting.
    - Any necessary documentation relating to the various items of the agenda shall be attached, together with any minutes pending approval. The documentation will be deposited at the Doctoral School for consultation and will be available in digital format.
  - b) The minimum *quorum* for attendance at ordinary meetings is half of the members, with the mandatory attendance of the School Head and the Secretary of the Executive Committee. In the

event that there is no *quorum* for the meeting to be held, a second call shall be made, half an hour after the time stated for the first one, at which the presence of three of the members of the Committee shall be sufficient and the attendance of the Head and the secretary is mandatory.

- c) The Committee Secretary shall draw up the minutes of each meeting. The quorum for the adoption of agreements is a simple majority vote by the members present at that time.

3. Extraordinary meetings of the Executive Committee shall be governed by the same rules as those applicable to ordinary meetings, with the following additions:

- a) The call must be made with a less than forty-eight hours' notice and not more than seven days before the event, starting from the Head's initiative or a request by members.
- b) The call shall be made by the Head of the Executive Committee, either on their own initiative or at the request made by at least 50% of the Executive Committee members.

## **D) Agreements adopted by the Doctoral School Executive Committee**

The agreements that the Executive Committee of the Doctoral School, as a School collegiate body, adopts in relation to the above tasks regarding procedures, requirements and criteria to interpret the content of this regulation, shall be incorporated as ANNEXES to this regulation and shall have the same consideration as the internal operating procedure as this Internal Regulation, and their modification, updating or deletion shall not require prior approval by the Executive Committee of the University's Governing Board.

## **2.3 Head of the Doctoral School**

### **A) Appointment**

The Head of the Doctoral School will be appointed by the Rector, on proposal of the Vice-Rector for research, with the approval of the University Board.

They must be a researcher of recognised prestige belonging to one of the universities or promoting institutions. Their status as a reputed researcher must be supported by having undertaken at least three recognised periods of research activity in accordance with the provisions of Royal Decree 1086/1989, of 28 August. In the event that the researcher's position is not based on the aforementioned evaluation criterion, they must have accredited achievements comparable to those indicated.

The Head of the Doctoral School shall terminate in their office at their own request, by decision of the Rector or, in any event, three years after the appointment, without prejudice to a new proposal for them to carry out this role.

### **B) Functions of the Head of the Doctoral School**

1. To regularly inform the Vice-Rector for Research of the activity of the Doctoral School.
2. To represent the Doctoral School at all levels where required.
3. To execute and enforce the agreements of the Executive Committee.
4. To manage up the administration and budget of the Doctoral School.
5. To undertake the functional management of the Administration and Services staff attached to the Doctoral School.
6. To manage and oversee the compliance by the Doctoral School staff with the code of good practice and the obligations relating to its content, as well as adopt the necessary measures to solve any problems that may arise.
7. To ensure that the Doctoral School's human and material resources are sufficient for the effective performance of the activities for which it is responsible.
8. To uphold and ensure the use of the good practices of the Doctoral School.
9. To ensure the proper completion of the tasks entrusted to the various levels of the Doctoral School and, in exceptional cases, to assume the management of these tasks.

10. Within the framework of the Internal Quality Assurance System, ensure that the indicators established by the quality agency AQU for the monitoring and accreditation of the Doctoral programmes are favourable for all the programmes and for the Doctoral School as a whole.
11. To prepare the annual report of the Head of the School, as the person responsible for the good practices of the Doctoral School which will set out the results of the petitions, complaints and suggestions received, including those of the University Ombudsman's Office (Síndic de Greuges).
12. To inform the Doctoral School Executive Committee of the actions carried out, according to their position, and in this regard:

Prepare the annual report of the Doctoral School Executive Committee, reflecting and providing global data on:

- a) The development of the tasks entrusted to them.
- b) The results and assessment of the indicators necessary for monitoring and accreditation.

## **2.4 Doctoral Programme Coordinators**

In accordance with Article 8.4 of Real Decreto 99/2011, each doctoral programme shall have a coordinator designated by the university rector or by agreement between rectors in the case of joint programmes or in the form indicated by the agreement with other institutions when a joint doctorate is developed.

The coordinator must be a well-respected researcher and, in addition, they must have supervised two doctoral theses and undertaken at least two periods of recognised research activity in accordance with the provisions of Royal Decree 1086/1989, of 28 August 28, for the salaries of university teaching staff. In the event that the researcher's position is not based on the aforementioned criterion, they must have gained credits comparable to those indicated.

The main role of the programme coordinator is to ensure the proper development of the programme, which they will carry out as part of the Executive Committee of the Doctoral School and the Academic Doctoral Committee.

## **2.5 Academic Doctoral Committees (CAD)**

The academic committee of each programme is responsible for its definition, updating, quality and coordination, as well as for the progress of research and training and for the authorisation of the presentation of theses by each doctoral student in the programme (art. 8.2 Real Decreto 99/2011).

Its key role is to ensure the smooth development of the doctoral studies curriculum, which is particularly important in view of the convergence of European universities that has taken place.

### **A) Nature and makeup of the Academic Doctoral Committee (CAD)**

- 1) The Academic Doctoral Committee shall be made up of a minimum of three members, from whom a chairperson must be appointed, which may or may not be the coordinator of the programme.



- 2) They will serve as the secretary of the CAD, the centre manager of the Doctoral School or the person appointed by the Head of the School.
- 3) The chairperson of the CAD shall be appointed by the Head of the Doctoral School in agreement with the Vice-Rector of Research.
- 4) The members of the CADs shall be appointed by the Head of the Doctoral School in agreement with the Chairperson of the CAD, having consulted with the Heads of Departments or Deans of the Faculties involved in the Doctoral Programme. The make-up of the CADs shall be ratified annually by the Executive Committee.
- 5) The members of the Academic Doctoral Committees:
  - Shall possess doctorate degrees and shall meet the requirements established by the Executive Committee.
  - They may be members of the International University of Catalonia, public or private research bodies or other bodies and institutions involved in R&D&I, both in Spain or overseas.
  - They shall hold this position for three years of the programme, without affecting their possible reappointment to the role. They can give up the position if they so wish. The coordinator of the doctoral programme can also suggest that they are removed from the position. In order to do so they must submit a reasoned report to the Executive Committee of the Doctoral School, which will consider this, in accordance with the regulations, statutes and/or collaboration agreements with other institutions involved in the doctoral programme.
  - Preferably, they will not hold other management positions within the University (Faculty Boards, Institute Directors, etc.)
- 6) In the case of doctoral programmes on which other universities and/or institutions collaborate, there will be a faculty member or research staff member representing them and this will be laid down in the collaboration agreement that is signed.
- 7) In the case of joint doctoral programmes, representatives of all the participating universities will form part of the Academic Doctoral Committee, in accordance with the agreement and in accordance with the regulations of each university.
- 8) The Academic Doctoral Committee shall act as a collegiate body.
- 9) The work of the Academic Doctoral Committee shall be allocated management credits and reviewed annually by the School management. The Governing Board shall establish the credit recognition once the proposal of the School Executive Committee has been studied.

## **B) Functions of the Academic Doctoral Committee (CAD)**

1. Deal with the applications for admission to the doctoral programme.

2. Authorise part-time doctoral programmes.
3. Authorise extensions for doctoral students making this request, provided that a favourable decision is reached, both for full-time and part-time doctoral study programmes.
4. Approve requests for temporary absence from the doctoral programme for personal reasons.
5. Assign a tutor and supervisor for doctoral students. Change the designated tutor and supervisor for those doctoral students who have requested it, provided that there are justifiable reasons.
6. Monitor and ensure the completion of the different aspects of the doctoral student's training, including: the training activities, the documentation of the doctoral student's activities, their research plan and the defence of their thesis.
7. Authorise stays and activities in research centres not linked to the doctoral programme that have a direct bearing on the Research plan.
8. Designate the members of the Specific Doctoral Committee (CED) responsible for the assessment of the Doctoral Research Plan and issue the final assessment report taking into account the report issued by the Specific Doctoral Committee (CED).
9. Assess the work undertaken by the doctoral student on an annual basis through the Doctoral Activities Document (DAD) and the report on the Research Plan, in accordance with the criteria established by the Executive Committee.
10. Designate the individuals, preferably external to the University, put forward by the supervisors of the theses deposited, to act as External Reviewers to assess the theses before the defence, as per the criteria established by the Executive Committee.
11. Approve the doctoral theses submitted for defence, after studying the reports of the external reviewers and the possible changes introduced by the doctoral student in response to any suggestions or modifications indicated by the external reviewers.
12. Approve the election of the members of the doctoral thesis panel.
13. Propose changes to the regulations relating to doctoral programmes.
14. Propose to the Doctoral School Executive Committee the establishment of agreements with other universities and/or institutions for the development of the programme.
15. Put together the annual report on the development of the doctoral programme in accordance with the Internal Quality Assurance System. Any other function related to the doctoral programme that is their responsibility under the regulations in force.

### **C) Meetings of the Academic Doctoral Committee (CAD)**

1. The Academic Committee of each doctoral programme shall meet periodically, at least once per term.
2. Sessions will be convened by the CAD secretary and notified to all members of the Academic Doctoral Committee (CAD) at least seven calendar days in advance of the session. When the meeting is convened, the order of the day containing the items to be dealt with shall also be sent. The documentation will be deposited at the Doctoral School. Digital deposit is also accepted.
3. The secretary of the CAD shall be responsible for drafting the minutes of the sessions of the Academic Doctoral Committee (CAD), and for conveying to the Head of the Doctoral School the matters that have been agreed and those that have to be resolved within the relevant collegiate bodies.
4. The members of the Academic Doctoral Committee (CAD) who are at the same time supervisor, co-supervisor or tutor of the thesis to be assessed cannot take part in the decisions affecting that project nor be present when discussing them.

### **D) The Head of the Academic Doctoral Committee (CAD)**

The functions of the Head of the Academic Doctoral Committee are as follows:

1. To direct and coordinate the programme activity, ensure continuity and the achievement of objectives, and ensure that the programme achieves the greatest possible degree of effectiveness, quality and success.
2. To propose to the School Executive Committee, the makeup of the programme's Academic Committee, to chair and execute and to implement the agreements that it comes to.
3. To represent the programme on the Doctoral School Executive Committee and ensure that the agreements of the Doctoral School in relation to the programme are complied with.
4. To ensure that doctoral students and thesis supervisors are informed of all matters related to programme activities.
5. If appropriate, to submit justified proposals for modifications to the programme to the School's Executive Committee.
6. To set out the calendar for the annual meetings.
7. All the functions that are entrusted to them by the current regulations and by law.
8. To ensure the completion of the annual report on the development of the doctoral programme in accordance with the Internal Quality Assurance System.

### **E) The secretary of the Academic Doctoral Committee (CAD)**

The person designated as secretary of the CAD, in addition to exercising the functions entrusted to them by the chair of the Academic Doctoral Committee and the Head of the School,

- a) They are the authorised person with regard to the actions or agreements that take place and, as such, will draw up minutes of the meetings. Once these have been approved by the members of the Academic Committee, they will present the documentation to the Doctoral School within 2/3 days.
- b) They will coordinate the preparation of the annual report on the development of the doctoral programme in line with the Internal Quality Assurance System and present it to the Executive Committee of the Doctoral School and to the Quality Committee of the Doctoral School.

## **2.6 School Secretary's Office: Academic, Degree and Student Service**

The Doctoral School's Secretary's office comprises the administration staff of the Doctoral School.

The functions of this service are:

1. Provide the necessary technical and administrative support to the Doctoral School.
2. Take responsibility for enrolment, management, student services, processing and safekeeping of the students' files.
3. Manage and process the theses submitted.
4. Manage and process the theses approved for defence.
5. Process the defences of theses.
6. Manage travel or accommodation for the members of the doctoral thesis defence panels.
7. Keep an up-to-date record of signed documents of agreement.
8. Manage the organisation and process the documentation of the Specific Doctoral Committees.
9. Take responsibility for the management of the student's academic record: record of activities carried out by the doctoral student (DAD), development of their research plan and the annual assessments by the academic doctoral committee.
10. All responsibilities entrusted to them by the Head of the school.

## **2.7 Doctoral School Quality Committee (CCEDOC)**

### **A) Nature and makeup of the Doctoral School Quality Committee (CCEDOC)**

The Executive Committee of the Doctoral School shall form the Doctoral School Quality Committee which has, fundamentally, the role of monitoring, reviewing and assessing the development of the Doctoral Programmes, their objectives and the competencies associated with each one, within the Internal Quality Assurance System.

On the basis of the results achieved, the Committee will propose to the Executive Committee an improvement action plan for approval, monitor the implementation of these improvements and evaluate the results achieved.

The Quality Committee shall be made up of, at least:

- The Head of the Doctoral School (management representative).
- The Centre Manager of the Doctoral School (Administrative and Service Staff (PAS) representative).
- One representative of each Academic Committee of the doctoral programmes (Teaching and Research Staff (PDI) representatives).

- One student from each Doctoral programme (student representative).
- A doctoral student alumni member (Doctoral Alumni representative).
- An external researcher at the university (society representative).

## **B) Meetings System of the Doctoral School Quality Committee (CCEDOC)**

The Doctoral School Quality Committee shall be formed at the beginning of the year and will be permanently open and shall be tacitly renewed if there are no allegations to the contrary.

The chair of the Committee shall be held by the Head of the School and the secretary shall be the Centre Manager of the Doctoral School. Decisions shall be taken by qualified majority voting.

In principle, all members of the Doctoral Quality Committee will carry out the same functions in terms of the review of the system and, in general, no specific function has been specified based on the stakeholder group they represent.

In the event that the members of the Doctoral Quality Committee, once it is formed, wish to assign different responsibilities, this must be included in the charter.

Once it has been constituted, the management of the tasks to be carried out will be defined by the Doctoral Quality Committee itself, always bearing in mind that the secretary must convene at least one meeting per academic year. The frequency of meetings may vary according to the agreements of the Doctoral Quality Committee or at the request of the Doctoral School Executive Committee.

## **C) Functions of the Doctoral School Quality Committee (CCEDOC)**

1. The Quality Committee shall review and evaluate the monitoring reports drawn up by the Academic Doctoral Committee for each of the programmes as per the timeframe established by the Quality Agency AQU for the submission of the relevant monitoring reports. Based on the results obtained from the evaluation, it will propose an improvement action plan to the EDOC Executive Committee for approval.
2. The review and evaluation of the Quality Committee will be carried out on the basis of the information gathered in the annual programme monitoring report (ISPD) drawn up by the Academic Doctoral Committee (CAD) for each of the doctoral programmes, which will include the following items:
  - a) Modification of the recommended parameters for entry and completion, admission criteria based on the data collected after each admission and enrolment period has ended.
  - b) Results of the assessment of the students' learning, which will be drawn up from the assessment of the Doctoral Activities Document and the Research Plan submitted by the students.
  - c) The result of the mobility activity, both from an academic point of view and the students' personal experience.
  - d) In doctoral programmes involving other institutions, information on the coordination between them and the involvement of external stakeholders in the development of the programme.
  - e) Analysis of the educational activities carried out in the programme and proposed modifications.
  - f) Assessment of the tutors and supervisors involved in the programme.
  - g) Satisfaction levels of the stakeholders involved in the doctoral programme.
  - h) Observed Incidents noted in running the different doctoral programmes.

- i) Information relating to the granting of extensions, temporary suspensions or other formalities.
- j) Information on the maintenance, updating and renewal of the educational offering.
- k) The results and assessment of the indicators necessary for monitoring and accreditation

3. The minutes of the Quality Committee meeting include an evaluation of the development and results of each Doctoral programme and details of the proposals for improvement identified, as well as the follow-up of the improvement activities arising from previous reviews, if any. In this regard:

- a) The improvement proposals must be aimed at eliminating the weaknesses identified and consolidating the strengths in the development of each doctoral programme, and must be in accordance with the principles and aims of UIC Barcelona's quality management policy.
- b) The annual monitoring report must include proposals for actions to be implemented for the continuous improvement of each Doctorate and Inter-disciplinary Programme of the entire Doctoral School and at the same time effect the improvement of the results of the indicators established in the official assessment guidelines of the doctoral programmes. In particular, it must establish:
  - 1. Proposals to improve the management of educational development and curricula.
  - 2. Proposals for improving learning outcomes (indicators).
  - 3. Proposals for continuation or improvement of mobility.
  - 4. Proposals to improve the process of handling allegations, complaints and suggestions.
  - 5. Proposals to improve the processes related to the assessment of the functions of thesis supervisors and tutors.
  - 6. Proposals to improve student, PAS and PDI satisfaction levels.
  - 7. Proposals for improving employment outcomes.
  - 8. Proposals for improvements in the analysis and use of results.

#### **D) Implementation of identified improvements**

1. These reports will be submitted for review to the Doctoral School Executive Committee, which will approve the implementation of the identified improvements. It will inform all members of the Doctoral Academic Commissions (CAD) in writing of the improvement activities that it has decided to undertake according to their feasibility and resources, detailing, at least, those responsible and time frames for implementation.

2. The minutes of the Quality Committee of the Doctoral School and the follow-up reports for each doctoral programme are the basic documentation for the implementation and development of the degree programme, and are fundamental in the process of renewing the accreditation of the doctoral programme. This documentation shall be compiled in a documentary file for the degree programme, which shall be managed by the School Centre Manager, to be used by those in charge of academic matters to help to maintain quality and foster improvements in the development of the programme.

3. The monitoring reports for each triennium will be published on the website of the Doctoral School and the development of the plan of resulting improvement actions will be published annually so that information on the degree programmes and the implementation of the Quality Management Policy and the fulfilment of objectives are accessible to all the identified stakeholders.

## HEADING III. RESEARCH STAFF IN TRAINING AND THEIR SUPERVISORS

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Any individual who is enrolled in any of the doctoral programmes taught at UIC Barcelona is considered to be a member of research staff in training (doctoral student) at the Doctoral School.

Each doctoral student will follow his or her research plan under the guidance of a thesis supervisor. The relevant Academic Doctoral Committee will assign them a thesis supervisor, who will also perform the duties of tutor. If the assigned thesis supervisor is an external researcher at the University, the CAD will assign the student a thesis tutor who is a member of the UIC Barcelona teaching staff.

### 3.1 The Doctoral Student

#### 3.1.1 Rights of research staff in training (doctoral student)

##### A) General rights of the doctoral student:

1. To obtain from the bodies, centres or institutions to which they belong the necessary collaboration and support for the normal progression of the study and research programmes.
2. To be integrated into the departments, institutes and public or private entities in which they carry out the research.
3. To participate, in the way provided for in the University statutes, in its governing and representative bodies.
4. To take part in bids for additional financial aid for attendance at scientific meetings or for training and further training stays in centres other than those of secondment.
5. To exercise the intellectual property rights arising from the training activity in the research and in accordance with their contribution and with the regulations in force.
6. To enjoy the other rights recognised in the respective guidelines.
7. To have guarantees of the defence of their rights through the procedures provided for in the University internal rules of procedure, including the actions of the Ombuds officer.
8. The research staff in training (doctoral students) who have a contract are entitled to receive within the anticipated periods the corresponding financial aid, in the form established for each official announcement and which will be included in the General Scheme of Social Security according to the terms established.

##### B) Specific rights of the doctoral student of UIC Barcelona Doctoral School:

1. To have adequate facilities to allow the normal development of their studies.
2. To participate in the training activities organised in the doctoral programme which are necessary for their research training.
3. To have an assigned thesis supervisor and, if the project justifies it, a thesis co-supervisor. The supervisor and co-supervisor shall be assigned no later than 3 months after admission to the doctoral programme.
4. To have an assigned thesis tutor, if the thesis supervisor and co-supervisor are external to the UIC.

5. To make a substantiated request for a change of supervisor, co-supervisor or tutor for their thesis.
6. To make a justified request for an extension for the submission of their doctoral thesis, in accordance with the established time periods.
7. To make a justified request for a temporary leave of absence from the doctoral programme.
8. All those rights assigned to them by the Students Statute and other applicable regulations.

### **3.1.2 Duties of research staff in training (doctoral student)**

#### **A) General duties of the doctoral student:**

1. To carry out the activities set out in their training and research specialisation programmes.
2. To meet the objectives of the training and specialisation programme and benefit from it.
3. To adhere to the internal rules or functioning of the body or institution in which they carry out their activities, especially with regard to working conditions and occupational risk prevention standards.
4. To assume the appropriate obligations with regard to their inclusion in the General Social Security system, as well as, in the case of research staff in training under contract, those arising from their employment contract.
5. The care and proper use of the property, equipment, facilities etc., both of the University and of the collaborating organisations.

#### **B) Specific duties of the doctoral student of the UIC Barcelona Doctoral School:**

1. To enrol each academic year in the programme within the time periods set out in the doctoral studies management calendar. Non-enrolment shall be construed as resignation.
2. To undertake and participate in the training activities of the doctoral programme.
3. To record the activities carried out in the Doctoral students' activities document.
4. To carry out the research and study tasks as befits their status as research staff in training with the necessary commitment and benefiting from it appropriately.
5. To act ethically when reporting on the results obtained during the course of the doctoral thesis. Avoid plagiarism and respect intellectual property principles. And in accordance with the legislation in force, in general, and the university's rules on intellectual and industrial property in particular, make reference to their link and affiliation with the UIC in the publications and results of the thesis.
6. To participate in the annually established procedure for monitoring of the doctoral theses.
7. In the event of voluntary discontinuation of the doctoral programme, communicate the reasons that led to this decision.
8. All the obligations assigned to them by the Students Statute and other applicable regulations.

### **3.1.3 Responsibilities of the doctoral student:**

1. To sign the commitment document that establishes their responsibility and the functions of the supervisor or co-supervisors and, if applicable, of the UIC Barcelona tutor, in the form established by the International University of Catalonia.



2. To complete the training activities and the research seminars specified in the doctoral study programme and the activities agreed with their supervisor or co-supervisor and record them in the student's Doctoral Activities document.
3. To submit the work produced to the supervisor or co-supervisor under the format and timing previously agreed, and submit the manuscript of the thesis to the supervisor sufficiently in advance of the date agreed for its deposit, for them to carry out the final revision.
4. To comply with the safety at work requirements, or any other specific requirement on the site where the work is carried out.
5. To comply with the rules set by the university.

### **3.2 The Doctoral Thesis Supervisor**

The thesis supervisor is responsible for the provision of appropriate and systematic training activities, for the repercussion and novelty value which are relevant and specific to the subject matter of the doctoral thesis and the guide for planning it and, if applicable, how it fits in with other projects and activities in which the doctoral student is enrolled.

#### **3.2.1 Designation of the thesis supervisor**

Any member of the teaching staff who carries out research, in order to become a thesis supervisor, as well as possessing a Doctorate, must comply with the prerequisites established by the Executive Committee of the Doctoral School to be designated as thesis supervisor at UIC Barcelona.

The Academic Doctoral Committee (CAD) will appoint a thesis supervisor for each doctoral student, based on the proposal for supervision submitted by the doctoral student at the time of application for admission to the Doctoral programme.

If the proposed thesis supervisor is not a member of UIC Barcelona's teaching staff, when assigning the thesis supervisor, the Academic Doctoral Committee (CAD) shall also appoint a UIC Barcelona tutor.

Doctoral theses can be co-supervised by two doctors and, exceptionally, by three doctors, when there are academic reasons, such as an interdisciplinary subject or programmes developed in national or international collaboration, with prior authorisation from the Academic Committee. The authorisation may be revoked later if, in the opinion of the Academic Committee, the co-supervision does not contribute to the development of the thesis,

The number of theses that can be supervised or co-supervised simultaneously by the same researcher will be laid down by the School's Executive Committee.

The thesis supervisor may withdraw from the supervision of a thesis project that they have accepted, by communicating with the Academic Doctoral Committee, stating the reasons for this decision.

#### **3.2.2 Rights of the supervisor of a doctoral thesis**

1. To be fully integrated into the structure and activities of the Doctoral School, in accordance with the rules defined in this regulation for doctoral plans.
2. To use appropriate and accessible academic facilities and the availability of the appropriate material resources for their role as supervisor or co-supervisor of a 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.
4. To take part in the training activities for thesis supervisors offered by the Doctoral School in order to carry out in a responsible manner the role of supervisor of the doctoral students.
5. All those rights that are recognised in the general legislation, in the Catalan government regulations and in the statutes and regulations of the International University of Catalonia.

### **3.2.2 Duties of the supervisor of a doctoral thesis**

1. To sign the commitment document that establishes their responsibility and the functions of supervision of doctoral students, in the form established by the International University of Catalonia.
2. To build a constructive and positive relationship with their doctoral students, establish the necessary conditions for an effective transfer of knowledge and the positive future development of their careers as researchers.
3. To regularly review their doctoral students' personal activities document.
4. To send the supervisor's report on the development of the work carried out by the doctoral student annually to the CAD.
5. To ensure that their doctoral students are familiar with the strategic objectives that govern their area of activity and the funding system and that all necessary permissions have been requested before starting the work or accessing the resources provided.
6. To ensure that the research results of their doctoral students are beneficial and disseminated and made use of by assisting with, for example, communication with intermediaries, transfer to other research contexts or, where appropriate, marketing.
7. To facilitate the dissemination of the research activities of their doctoral students to society as a whole so that they can be understood by non-specialists.
8. To ensure that their doctoral students follow, at all times, safe working practices, according to current legislation. Similarly, ensure that their doctoral students adopt the necessary measures to comply with the legal requirements in the field of data protection and confidentiality.
9. To deal with the needs of their doctoral students with disabilities, in accordance with the guidelines established by the International University of Catalonia.
10. To sign the commitment to observe the code of good practice adopted by the Doctoral School.
11. To propose possible members for the specific committee of each doctoral student (CED) to the Academic Doctoral Committee (CAD)
12. To propose the External reviewers to assess the theses deposited with the Academic Doctoral Committee (CAD).
13. To propose the individuals who may be part of the panel for the defence of the thesis to the Academic Doctorate Commission (CAD)

### **3.2.3 Responsibilities of the thesis supervisor**

1. To assist the doctoral student in defining the topic of their doctoral research, which must culminate in the doctoral thesis.
2. To assist the doctoral student in addressing the various aspects of the research and in establishing the specific details, as well as the resources required and, if relevant, the experimental design.
3. To suggest to the doctoral student the most appropriate training activities for their research when offered by the Doctoral Programme.
4. To communicate to the doctoral student any regulations or ethical issues that may be related to their research.
5. To agree on the research plan for supervision of the research work and plan regular meetings.
6. To read, correct and comment on the manuscript of the thesis, in the successive drafts, before the agreed date of its deposit.

### **3.3 The Doctoral Student's Tutor**

The doctoral student's tutor is responsible for ensuring the training and research activity is appropriate. To all intents and purposes, the doctoral student's tutor is the same individual as the supervisor of the doctoral thesis and, in this sense, the rights, duties and responsibilities indicated in the section above regarding the thesis supervisor fall upon them.

For cases where the thesis supervisor appointed by the CAD is external to the university, the Academic Doctoral Committee (CAD) will assign the doctoral student a UIC Barcelona Tutor who will be responsible for advising the student regarding the administrative procedures and providing them with the necessary guidance regarding the organisation of the doctoral studies. In this regard, the UIC Tutor has the rights and duties set out herein.

#### **3.3.1 Designation of the UIC Barcelona tutor**

For all purposes, the tutor of the doctoral student will be the same individual as the supervisor of the doctoral thesis. Therefore, when the Doctorate Academic Committee (CAD) assigns the supervision of the thesis, they will also specify the tutor.

In case the thesis supervisor appointed by the CAD is external to the university, the Academic Doctoral Committee (CAD) will assign the doctoral student a UIC Barcelona Tutor who will be responsible for ensuring the student's training is appropriate. They shall also be responsible for advising the doctoral student in the administrative procedures with the Academic Doctoral Committee (CAD) or the Doctoral School. In this case, since the tutor will not be the supervisor of the doctoral thesis, any member of Barcelona PDI with a doctorate who is linked to the Doctoral programme where the student is registered can be appointed as tutor.

In this case, the Academic Doctoral Committee (CAD) may modify the assignment of the UIC Barcelona tutor of a doctoral student at any time during the period of completion of the doctorate, upon request of the doctoral student, provided that justified reasons are given.

### **3.3.2 Rights of the UIC Barcelona tutor**

1. Full integration into the structure and activities of the Doctoral School, in accordance with the rules defined in this regulation for doctoral plans.
2. The use of appropriate and accessible academic facilities and the availability of the appropriate material resources for their role as tutor.
3. Their task of tutoring 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.
4. Take part in the training activities for tutors offered by the Doctoral School in order to carry out in a responsible manner the role of supervisor of the individuals they tutor.
5. All those rights that are recognised in the general legislation, in the Catalan government regulations and in the statutes and regulations of the International University of Catalonia.

### **3.3.3 Duties of the UIC Barcelona tutor**

1. Sign the commitment document that establishes their responsibility and the functions of supervision as a tutor of doctoral students, in the form established by the International University of Catalonia.
2. Assist the students they tutor throughout the training process and provide them with the necessary information and guidance based on the organisation of the doctoral studies.
3. Inform and advise the doctoral students regarding the procedures and the steps that must be taken up to the final defence of the doctoral thesis.
4. Deal with the needs of their doctoral students with disabilities, in accordance with the guidelines established by the International University of Catalonia.
5. Sign the commitment to observe the code of good practice adopted by the Doctoral School.

### **3.4 Procedure for Complaints and Incidents**

Complaints, grievances and incidents raised by students, supervisors, tutors, members of the Academic Doctoral Committees and any other affected persons shall be resolved by the Academic Doctoral Committee, the Head of the School or the School Executive Committee, without prejudice to the right to address the University Ombudsman's Office, in accordance with the procedure established by the School Executive Committee.

## HEADING IV. STRUCTURE OF THE DOCTORAL STUDIES

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The organisation, planning and management of doctoral studies will be carried out in accordance with the official regulation of doctoral studies and the rules on the organisation and internal operation of the university.

### 4.1 Access and Admission to Doctoral Studies

#### 4.1.1 Admission to the doctoral programme

Applicants must comply with the academic requirements for access to doctoral studies established by the current legislation.

In the event that an interested individual has begun their doctoral studies at another university and wishes to complete their thesis at UIC, they may apply for admission to the doctoral programme and include a written request with their application to the Academic Doctoral Committee (CAD), requesting that their work to date be recognised.

In the event that a student originally admitted to the doctoral programme, and who subsequently left it permanently, wishes to resume their doctorate, they must reapply for admission to the doctoral programme.

#### 4.1.2 Application and admission to doctoral studies

The applicant must apply for admission to the doctoral programme in the set time frame, which will be published on the Doctoral School website, by filling in the form published on the university's website and attaching the requested documentation.

Applications for admission will be submitted to the Academic Doctoral Committee by the Doctoral School's Secretary's office. The Academic Doctoral Committee will study the applications and will issue a report with their decision regarding admission, which will be communicated to the Doctoral School. The Secretary's office of the Doctoral School shall inform the student that they have or have not been accepted on the doctoral programme, after which, the academic record can be opened and enrolment on the programme carried out.

The procedure for admission to the programme will be established by the Doctoral School in accordance with the provisions of each of the reports of the UIC Barcelona Doctoral Programmes, which are summarised in the following points:

- 1) The Academic Doctoral Committee (CAD) establishes the procedures and criteria for admission to the corresponding doctoral programme. Criteria may include a prerequisite of specific prior training for some disciplines or methodologies.
- 2) These procedures and criteria shall be approved by the Doctoral School Executive Committee. These systems and procedures must include, in the case of students with specific educational needs arising from disability, appropriate support and counselling services that provide for possible adjustments to the curriculum, alternative programmes or studies.

The Academic Doctoral Committee (CAD) will study the applications for admission and will issue a report on their admission, or not, which will be communicated at the Doctoral School, according to the criteria established for the evaluation of the applications for admission (in general these criteria include the

candidate's CV, that the proposed research plan will feed into one of the research lines of the programme, and the number of new places offered). The Academic Doctoral Committee (CAD) can request the input of faculties, departments and institutes to prioritise the list of candidates according to their research needs.

#### **4.1.3 Opening of the doctoral student's folder/file**

Once the candidate has been informed of their acceptance on the doctoral programme, the secretary of the Doctoral School will open a computer folder with the file in which the documents relating to the doctoral student shall be kept: Academic documentation, CV and Identity document, Doctoral commitment, CAD resolutions (admission to the programme, evaluation by the specific committee, approval of the research plan-thesis project, annual evaluation of the DAD and of the research plan, request for deposit, approval of the defence of the thesis and degree certificate and any other documents that make reference to the academic situation of the doctoral student.

#### **4.1.4 Enrolment in the doctoral programme**

Enrolment in the doctoral programme entitles the student to academic tuition, the use of the resources needed to undertake their work and to all the full rights, duties and responsibilities that this regulation sets out for doctoral students.

The student can only enrol on one of UIC Barcelona's doctoral programmes. There is no option to simultaneously enrol on another doctoral programme, other than for a joint doctoral programme with another university

##### **A) Annual enrolment fees of the doctoral programme**

The enrolment procedure and time frame will be established and managed by the Doctoral School's Secretary's office, following the university's rules of academic management.

Each academic year, the doctoral student must formalise the enrolment for the tuition corresponding to the tuition or supervision of their thesis and pay the enrolment fee within the established period.

In the event that a doctoral student does not request to make the annual enrolment within the established period, if the Academic Doctoral Committee (CAD) has not, at the request of the doctoral student, granted a temporary leave, it will be understood that they do not want to continue with the studies. In this case, before permanently removing them from the programme, the Doctoral School will ask them why they have not enrolled.

##### **B) Thesis inscription fees (deposit and defence of the doctoral thesis)**

The academic and administrative fees for the deposit and defence of the theses will be recorded when the deposit and reading process begins.

The doctoral student must pay the thesis deposit fees. In the event that the Academic Committee of the Doctorate does not accept the thesis, the time limit for resubmitting it for approval is six months from the date of payment of the thesis deposit fees. After this time, to redeposit the thesis, the deposit fees must be paid again.

## 4.2 Permanency Regulations

The duration of doctoral studies will be determined by current legislation.

1. The following cases are grounds for **definitive withdrawal** from the program:
  - a) By voluntary resignation to continue in the program, which must be communicated in writing to the Doctoral Academic Committee (CAD)
  - b) Due to non-payment of the annual registration fee within the established period.
  - c) By reasoned decision of the Doctoral Academic Committee (CAD).
  - d) When the Doctoral Academic Committee (CAD) does not approve the research plan presented by the doctoral student for the second time.
  - e) By completion of the doctoral program after defending the doctoral thesis.
2. The doctoral student can request **temporary withdrawal** from the programme for a maximum period of one year, extendable up to one more year. This request must be addressed and justified to the academic committee responsible for the program, which must rule on whether it is appropriate to accede to what the doctoral student requests.
3. The doctoral student **may request the deposit of the thesis before** the maximum terms established above, provided that he has formalised the enrolment corresponding to two academic years.

## 4.3 Organisation and Planning of the Doctoral Studies

During the period of study, the doctoral student must also take part in the training activities set out in the programme, in addition to developing their research plan.

Specifically, during the first year of the studies, they will have to present their research plan and the development of the thesis project to the Specific Doctoral Committee (CED), as a preliminary procedure for the Academic Doctoral Committee (CAD) to be able to approve the research plan. The research plan must then be approved by the University Research Ethics Committee (CER).

### 4.3.1 Formative activities

During the period of studies, the doctoral student must carry out formative activities to complete their experience as a researcher, thereby complying with the provisions of the report pertaining to the Doctoral Programme in which they are enrolled.

These activities may be inter-disciplinary and organised by the Doctoral School, or more specific to each programme and organised by the Academic Doctoral Committee (CAD)

The doctoral student will plan the training activities that they need to undertake, according to their characteristics and research competencies, with their thesis supervisor, and must record the training activities carried out both at UIC Barcelona and in other institutions on the Activity Registry sheet on an annual basis.

The Activity Registry sheet will be sent annually, together with the Doctoral Activities Document, to the Academic Doctoral Committee (CAD) for evaluation. It must also be included, fully completed, at the time of the deposit of the thesis.

#### 4.3.2 Research Plan

The doctoral student will draw up a Research Plan (thesis project) that must include, at least, the methodology to be followed and the objectives to be achieved, as well as the means and the timeline to achieve it. Before the end of the first year, the Academic Doctoral Committee (CAD) must approve the research plan presented by the doctoral student. This Plan can be improved and filled out throughout the duration of the programme. In the event of substantial modifications to the research plan approved by the CAD, the doctoral student must submit a formal request to the CAD for approval of the modified research plan.

An already completed research project cannot be presented as a Research Plan, since the research work cannot be carried out until the Research Plan has been approved by the CAD. In addition, the research work for the doctoral thesis must be undertaken during the period in which the doctoral student is enrolled on the doctoral programme.

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

In the first academic year, the doctoral student must present their Research Plan and the development of the thesis project to the Specific Doctoral Committee (CED), as a preliminary procedure for the Academic Doctoral Committee (CAD) to be able to approve the research plan.

This Research Plan will be defended orally in person, whenever possible, by the doctoral student before the Specific Doctoral Committee (CED) according to the procedure established by the Doctoral School Executive Committee.

- **Structure of the CED:** The members of the specific committees will be appointed by the Academic Doctoral Committee (CAD) following the criteria established by the Doctoral School's Executive Committee.

For each doctoral student, the Academic Doctoral Committee (CAD) shall appoint a Specific Doctoral Committee (CED) consisting of three members, according to the following criteria:

- A member of the Academic Doctoral Committee (CAD) or a member of the university teaching staff acting as a representative of the CAD.
  - Two members who are specialists in the field of research. In this case, priority will be given to at least one of them being an expert external to UIC Barcelona.
- **Assessment of the CED:** The function of the Specific Doctoral Committee (CED) is to provide information to the Academic Doctoral Committee (CAD) regarding the Research Plan presented by the doctoral student and to ensure the quality of the proposed thesis.
- The doctoral student must give a presentation of their Research Plan, the results they aim to achieve and the planning of future work, followed by a discussion with the Committee.
  - The Specific Doctoral Committee (CED) must evaluate the quality and feasibility of the Research Plan, and may reject it if it is not deemed suitable, or may indicate improvements if



they deem it to be appropriate, according to the criteria established by the Executive Committee of the Doctoral School. For this purpose, the Specific Doctoral Committee (CED) will send the Academic Doctoral Committee (CAD) a report for the evaluation of the Research Plan.

### **B) Approval of the Research Plan by the Academic Doctoral Committee**

In view of the report issued by the Specific Doctoral Committee (CED), the Academic Doctoral Committee (CAD) will send a communication to the doctoral student with a copy to the thesis supervisors, stating that the research plan has been approved and specifying:

- Title of the thesis project (provisional title until the thesis is deposited with the final title)
- Thesis supervision (name supervisor/supervisors)
- UIC tutor, if applicable.
- Mode of study (Full-time or Part-time)
- Academic year of start of programme

If, on evaluation, the Academic Doctoral Committee (CAD) turns down the research project, the doctoral student shall be required to submit a new research plan (with the conditions and deadlines established by the CAD) which will be reassessed. In the event that the CAD turns down the plan for the second time, the doctoral student will leave the programme.

### **C) Approval by UIC Barcelona's Research Ethics Committee (CER)**

Once the Research Plan has been approved by the CAD for the first time, it must be submitted to the University Research Ethics Committee (CER) to assess the possible ethical implications of the proposed research. If there are any shortcomings detected of an ethical nature, they must be remedied and once the CER has given its approval, the new Research Plan must be approved again by the Academic Doctoral Committee (CAD).

## **4.4 Supervision and Annual Review of the Doctoral Student**

The Academic Doctoral Committee (CAD) is responsible for the annual review of all the doctoral students on the programme and it does so through the annual assessment of the Doctoral Activities Document (DAD) and the development of the research plan, as well as the reports issued by the thesis supervisor or co-supervisor and, where appropriate, by the UIC tutor.

### **A) Doctoral Activities Report (DAD)**

In accordance with the current regulations, annually, the Academic Doctoral Committee (CAD) will evaluate the research plan and the activities document (DAD) of the doctoral student together with the reports that the supervisor or co-supervisors must issue for this purpose and, if appropriate, the UIC Tutor within the time-frame and in the form set forth in accordance with the administrative management procedure established by the Doctoral School Executive Committee.

For this purpose, each year, the doctoral student must complete the DAD, indicating the training activities they have attended during the academic year, setting out the progress and development of their Research Plan and comment on their view of the relationship with the supervisor or co-supervisors of their thesis, and,

if applicable, with the UIC Tutor. For their part, the supervisor of the thesis (or each co-supervisor individually), and, if applicable, the UIC Tutor, must also issue a report assessing the progress made by the doctoral student.

A positive assessment from the Academic Doctorate Commission (CAD) once the DAD and the reports have been considered is essential in order to continue in the programme.

### **B) Research Plan**

In the event that during the development of the thesis project, substantial modifications are made to the initially approved Research Plan, the doctoral student and the supervisor or co-supervisors must make a request to the Academic Doctoral Committee (CAD) to evaluate and approve the proposed new Research Plan with the changes that have been made.

## HEADING V. THE DOCTORAL THESIS

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### 5.1 The Doctoral Thesis

The doctoral thesis consists of an original research project on a subject related to the scientific, technical or artistic field of the programme in which the doctoral student is enrolled.

#### A) Structure of the doctoral thesis

The thesis can be drawn up in the traditional format or it can also be presented as a compendium of publications. The Academic Doctoral Committee (CAD) may specify the structure and the minimum number of sections that a Doctoral Thesis must contain according to the particular features of each programme. However, in general, the doctoral thesis must contain the following sections:

- Abstract
- Introduction, state of the art, background
- Working hypothesis, study question
- Objectives
- Methodological framework
- Findings and discussion
- Conclusions, possible transfer or future perspectives
- Bibliography
- Appendices
- In the case of theses by compendium of publications, the full text of the article published or pending publication must be attached as an APPENDIX.

When the doctoral thesis is a compendium of publications, in the Findings section, you must include a complete copy of the works (articles, books or chapters of books) and of their APPENDICES or supplementary material, if any, in the format sent in the journal before it is set out for publication. The full references of the works, the personal details of all the authors and the journal in which they have been published (or, if applicable, the letter of acceptance) must be included. In works in which the doctoral student is not the first author, their contribution has to be specified.

For the format or style of the doctoral thesis, the Doctoral School will provide a Style Guide for the doctoral theses that are defended at UIC Barcelona.

#### B) Format of the doctoral thesis

The thesis can be drawn up in the traditional format (monograph) or it can also be presented as a compendium of publications.

In relation to the compendium of publications thesis, the following requirements have to be considered:

a) **General** requirements for submitting the compendium of publications thesis:

1. The doctoral candidate must be the main author of the publications presented and must state in the articles that they belong to UIC Barcelona.
2. The works must have been published or accepted for subsequent publication on the date of registration of the thesis project.
3. The publications that make up the doctoral thesis cannot be used for previous theses.
4. The articles that make up the thesis cannot be included as part of another one. In this regard, co-authors who are not Doctorate holders must sign an agreement waiving their use in other theses. These documents must also be included at the time of the deposit of the thesis.
5. The works presented, besides having scientific value in itself, must form together a scientific unit. The candidate must be able to establish a common thread to put forward a single scientific thesis with a wider value than the sum of the different papers presented independently from each other.

**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.

**C) Language of the doctoral thesis**

The thesis must be written in one of the official languages of Catalonia or in English. Exceptionally, the Academic Doctoral Committee (CAD) may authorise the thesis to be written in another language if there are academic reasons to do so.

**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.

**5.2.1 Deposit of the doctoral thesis**

The thesis deposit is the period that starts when the doctoral student files a deposit request and ends when the Academic Doctoral Committee (CAD) issues a ruling authorising the thesis to be defended and appoints a panel.

**A) Doctoral thesis checks for originality**

Prior to the start of the deposit stage, the originality of the thesis will be checked according to the system for checking approved, for this purpose, by the Doctoral School Executive Committee. In the event that the thesis does not meet the originality criteria, it cannot be accepted for deposit.

Once the originality of the thesis has been checked by the Doctoral School's Secretary's office and all the documentation corresponding to the deposit has been received (application of the doctoral student, proposal for external reviewers of the thesis and members of the panel presented by the supervisor or co-supervisors) the thesis will be deposited.

## **B) Assessment of the thesis by external reviewers**

For the approval of the defence of the thesis, the Academic Doctoral Committee (CAD) will request the report of two experts in the subject, proposed by the thesis supervisor according to the criteria established by the Doctoral School Executive Committee, so that, on an anonymous basis, they assess the thesis deposited and whether it is appropriate to be defended.

In particular, the external reviewers will report on the work submitted indicating whether the Thesis is a Pass or Not Pass to be defended. In the latter case, they will make suggestions and propose modifications to the thesis.

The contact with external reviewers and the management of the thesis review will be managed by the Doctoral School's Secretary's office.

In the event that the thesis contains sensitive patent material and in other exceptional circumstances such as the existence of confidentiality agreements with companies, external reviewers will sign a confidentiality contract before receiving the thesis to be assessed.

## **C) Approval of the thesis defence**

The Academic Doctoral Committee (CAD) in light of the report issued by the reviewers, will make a decision and inform the doctoral student and supervisor:

- a) That the thesis may be defended, in which case the CAD will officially appoint the members of the Thesis Defence Panel.
- b) That the thesis must be revised and modified in accordance with the recommendations made in the reviewers' reports. In this case, the doctoral student, after including the recommendations suggested to the doctoral thesis, will re-submit the thesis to be re-evaluated by the Academic Doctoral Committee (CAD) or, if the CAD deems it appropriate, re-evaluated by the external reviewers. If the doctoral student does not incorporate all the proposed modifications, they must include a supporting letter.

### **5.2.2 Defence and reading of the doctoral thesis**

The presentation and public defence of the work leading to the doctorate is particularly important, although it is only the final stage of a complex evaluation system that, with this act, reaches its culmination.

Reading and Defence of the Thesis will consist of the presentation by the doctoral student of their thesis and evaluation of it by the Panel. This event will be conducted face-to-face and publicly. As an exception, for justified reasons, the doctoral student and the thesis supervisor may request the Academic Doctoral Committee to authorise the defence of the thesis in a virtual or semi-virtual way (by video conference).

The Doctoral School is in charge of dealing with the organisation of and the act itself of defence and reading, according to the protocol established by the School's Executive Committee.

### **A) Constitution of the thesis panel**

The Academic Doctoral Committee (CAD) shall appoint the members of the panel who will assess each doctoral thesis, according to the criteria established by the Doctoral School Executive Committee, as proposed by the supervisor or co-supervisors of the relevant thesis. The panel is appointed by choosing specialists on the subject matter of the thesis.

The panel proposal must be accompanied by the CV of each member of the panel external to UIC Barcelona. The appointment of each member of the panel, including the substitutes, shall be communicated by the Doctoral School in writing.

The panel consists of three full members and two substitute members. If deemed appropriate, the Academic Doctoral Commission (CAD) may extend their proposal for the make-up of the panel to two additional members, to form a panel of seven members, five of whom are members and two substitutes.

Under this format, the following requirements must be taken into account:

- a) The members must have a doctorate degree, be specialists in the subject matter of the thesis, or a related one, and have recognised research experience. The objective criteria for defining the recognised research experience will be set out by the Doctoral School Executive Committee.
- b) There cannot be more than two members of UIC on the thesis panel if the panel consists of five members and two substitutes. If the panel is composed of three members and two substitutes, only one member of UIC Barcelona may form part of the panel.
- c) In no event may the thesis supervisors be included in the panel, except for theses submitted within the framework of bilateral agreements for joint supervision with foreign universities that have provided for this.
- d) In designating the chair of the panel, the person's academic position, status and seniority within the university teaching staff must be taken into account.

### **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.

In the evaluation process and before the defence proceedings, the university must guarantee that the completed doctoral thesis is made public so that other Doctorate holders can submit their observations on the content. For this purpose, the thesis shall be in public deposit for consultation for 15 working days before the date for the defence and reading of the thesis.

The act of defence and reading of the thesis will be carried out following the protocol approved by the Doctoral School Executive Committee, notwithstanding which the indications set out below must be taken into account:

1. The panel that evaluates the thesis will have the Doctoral Activities Document with the training activities carried out by the doctoral student. This monitoring document will not be scored quantitatively but it is a qualitative assessment tool to support the evaluation of the doctoral thesis.

2. The defence proceedings must be held in a public session, within the facilities of the University or associated centres and it must comprise the presentation and defence of the research work prepared by the doctoral student to the members of the panel. Doctorate holders present at the public event may pose questions at the time and in a manner indicated by the chair of the panel.
3. In exceptional circumstances, determined by the Academic Doctoral Committee of the programme, such as the participation of companies in the programme, the existence of confidentiality agreements with companies or the possibility of creating patents relating to the content of the thesis, the University will activate the procedures to ensure proceedings are not made public and the defence of the thesis will be done behind closed doors.
4. The thesis must be presented and defended in one of the official languages of Catalonia or in English. Theses in the fields of philology or translation and interpretation can be defended in the relevant languages. As an exception, the Academic Doctoral Commission may authorise the defence in another language if there are academically justified grounds and provided that all members of the panel have stated their agreement.
5. After the defence and discussion of the thesis, the panel must issue a written assessment report and award an overall grade to the thesis of fail, pass, very good or excellent.
6. Upon completion of the defence and discussion of the thesis, the chair of the panel must publicly inform the doctoral student of the qualification obtained. The chair of the panel shall issue the appropriate statement of grading, which must be signed by all members of the panel.
7. The panel may grant the mention “cum laude” if the overall qualification is a distinction and if this is agreed unanimously in a secret ballot. The vote must be made individually in a closed envelope.
8. The secretary of the panel must include the votes with the rest of the documentation and address them to the Doctoral School.
9. The vote counting must be done at the Doctoral School. The Head of the Doctoral School shall issue the final qualification and the Doctoral School shall notify the doctoral student of the result.
10. Once the doctoral thesis has been approved, the University must file it in electronic format in the institutional repository TDX (Doctoral Theses Online), THESEO and submit it in electronic format, together with any necessary additional information to the Ministry of Education for the appropriate purposes.

In case of possible incidents, the following are established as general conditions for the defence of a thesis:

1. The presence of three members is necessary for the panel to act legitimately.
2. In the event that, once the reading is convened, a member of the panel is unable to attend, the Head of the School must replace them with a substitute.
3. If the defence of the thesis cannot be carried out due to a justified cause, the act of defence will be reconvened by the Doctoral School.
4. If the doctoral student does not attend the proceedings for the defence of their doctoral thesis without a justified cause, this must be stated in the corresponding report and the qualification is a fail.

## **5.3 Thesis Defence under Specific Circumstances**

### **5.3.1 Defence of a doctoral thesis in confidential circumstances**

In cases where doctoral theses are subject to processes of data protection or transfer of technology or knowledge, the following conditions shall apply.

Once the doctoral thesis has been completed, if the doctoral student wishes the authorisation, defence and publication of the doctoral thesis to be done under confidentiality agreements, they must make the pertinent request to the Academic Doctoral Committee (CAD) at the time of signing the confidentiality agreements.

The request is only accepted when it is proven that secrecy is absolutely indispensable for the success of the protection or transfer process, for which purpose the Academic Doctoral Committee (CAD) will consult the Knowledge Transfer centre. The secretary of the Academic Doctoral Committee (CAD) must notify the doctoral student of the agreement and, if it is favourable, they must also notify the supervisor of the thesis and the tutor of the thesis, if there is one.

The members of the Academic Doctoral Committee (CAD) have the duty to maintain absolute confidentiality regarding the contents of the doctoral theses, and therefore they must sign the relevant confidentiality agreements for the period of time necessary for the protection. The signed confidentiality agreements are kept in the Doctoral School's Secretary's office and a copy may be issued to the doctoral student if requested.

If the Academic Doctoral Committee (CAD) approves the request, the thesis which is to be deposited will not be disseminated. The Academic Doctoral Committee (CAD) can grant access to the doctoral thesis to two persons who are specialists in the subject, who have to examine it and make a report. The designated persons must first sign the appropriate confidentiality agreement.

The members of the panel who must examine the doctoral thesis, who must be expressly advised that the thesis is subject to protection or transfer processes, must have access to the full version of the doctoral thesis and have an obligation to maintain absolute secrecy and confidentiality regarding its content. Before the referral of the doctoral thesis, the members of the panel must issue the corresponding confidentiality agreement for the period of time necessary to protect it, duly signed, to the secretary of the Academic Doctoral Commission (CAD). In these cases, the sending of the documentation to the members of the panel must be done by the Academic Doctoral Committee (CAD).

The publication in TDX and THESEO of the doctoral thesis is carried out, if appropriate, when the process of protection or transfer of knowledge has been completed, a circumstance that the doctoral student must duly communicate properly to the Head of the Doctoral School.

### **5.3.2 Defence of a doctoral thesis that is jointly supervised**

UIC may enter into agreements with foreign universities to carry out doctoral theses on a joint supervision basis. In this case, the doctoral students must do their work under the supervision and responsibility of a thesis supervisor in each of the two centres signing the agreement.

#### **A) Joint Supervision Agreement**

The procedure starts with the application for a joint supervision agreement to be formalised, made by the doctoral student. The deadline for submitting the application shall be 12 months from the date of approval of the research plan by the Academic Doctoral Committee (CAD)



Prior to the agreement being formalised, the proposal for joint supervision must be approved by the Academic Doctoral Committee (CAD).

The joint supervision agreement to be signed by the two participating universities, must specify, at the very least:

- a. The co-supervisors of the thesis.
- b. The periods that the doctoral student must spend at each of the universities.
- c. Agreement regarding payment of tuition fees, or equivalent.
- d. The university where the public defence of the thesis will take place.
- e. The agreement of the two universities, on the basis of a single defence of the doctoral thesis, to issue the corresponding Doctorate degree, with the advance payment of the relevant issuance fee.

### **B) Enrolment in the doctoral programme**

The doctoral student must annually enrol in the doctoral programme at UIC.

The fees for the deposit and defence of the thesis are only paid at the university where the defence of the thesis takes place, as specified in the agreement.

### **C) Presentation of the thesis, deposit, and reading and defence ceremony**

A thesis that has been produced under a co-supervision format must be written in one of the languages accepted by one of the universities to which it is linked, and must be accompanied by a summary in the language of the other university.

If the act of defence of the thesis takes place at a university other than UIC, the doctoral student must make the deposit under the same conditions as if they had carried out the defence at UIC.

The thesis panel is made up in accordance with the rules of the university where the defence takes place.

The defence of the thesis under co-supervision must be done in one of the languages accepted by the university where the public defence takes place and must be accompanied by a summary of the oral presentation in one of the languages accepted by the other university.

The publication, use and protection of the results of the thesis under the regime of co-sponsorship, derived from shared research in the departments where it has been performed, must be guaranteed in agreement with the specific provisions of each country.

### **5.3.3 Defence of a doctoral thesis that opts for international mention**

In the current legislation, the words "International Doctor" may be included on the reverse side of the doctorate certificate, provided that:

- a. During the period of training necessary to obtain the doctorate qualification, the doctoral student has undertaken a minimum stay of three months outside Spain in a prestigious higher education institution or research centre, studying or carrying out research work. The stay and activities must be

endorsed by the supervisor and authorised by the Academic Committee, and will be added to the doctoral student's activities document.

- b. Part of the doctoral thesis, at least the abstract and conclusions, has been written and presented in a language that is commonly used for scientific communication in that particular field of knowledge but different from any of the official languages of Spain. This rule will not apply when the period abroad takes place in and the reports and experts are from a Spanish-speaking country.
- c. The thesis has been shown to at least two Doctorate holders from a non-Spanish higher education institution or research centre.
- d. At least one member of the thesis examination panel, who is not the coordinator of the period abroad referred to in paragraph (a), and is a Doctorate holder from a non-Spanish higher education institution or research centre must form part of the assessment panel.

#### **A) Coordination of the doctoral student's research stay**

The doctoral student must submit an application to the Academic Doctoral Committee (CAD) for approval of the research stay with the approval of the thesis supervisor, following the administrative model of the application.

At the end of the research stay, the doctoral student must submit to the Academic Doctoral Committee (CAD) a brief summary of the work carried out during the research study signed by the supervisor of the university or research centre where they have undertaken the stay.

#### **B) Doctoral thesis' defence and reading ceremony**

The defence of the thesis must be carried out in the Spanish university where the doctoral student is registered, or, in the case of joint doctoral programme, at any of the participating universities or under the terms that are specified in the cooperation agreements.

Before the defence of the thesis, the Academic Doctoral Committee must assess whether all the necessary requirements for this European procedure are met. If the Academic Doctoral Committee gives their approval for the submitted documentation, a specific certification must be sent to the secretary of the panel for the thesis defence.

The secretary of the panel must certify, in writing and in the minutes, that the requirements for the international mention of the title of doctor have been met.

### **5.4 The Doctoral School Extraordinary Award**

The Doctoral School Executive Committee will approve the rules for the call for the extraordinary doctoral awards according to the following criteria:

1. Extraordinary Doctoral Awards can be awarded for each doctoral programme and academic year depending on the quantity and scientific quality of the theses defended.
2. In each academic year an Extraordinary Award can be made, provided that in this period and doctoral programme or line of research there have been at least four theses or more with an excellent cum laude grade.

3. When the number of theses is less than four, they are accumulated for the next academic year or years, up to a maximum of three academic years, at the end of which an award is made.
4. In the event that, in the same programme or research line, there are a large number of theses that are eligible to be considered for the extraordinary award, one may be awarded for every ten theses or fraction.
5. All theses with a grade of pass or excellent cum laude are eligible for the extraordinary prize without the need for the author to request it.
6. The awards do not necessarily have to be made.
7. The same thesis cannot be eligible for the extraordinary prize in more than one round.

The Evaluation panel for the extraordinary prize will be appointed by the Doctoral School Executive Committee and chosen from among the doctorate-holding members of UIC Barcelona teaching staff. The Panel may request the assistance of specialist teaching staff in the subject matter to be able to assess the different theses.

The Panel must undertake a comparative examination of the different theses presented in each doctoral programme or line of research, while it may not request any special exercises or tests to be performed. In this examination, preference will be given to the results derived from the work carried out in the thesis (quality and number of publications, patents, presentations at conferences, etc.).

Once the theses have been evaluated, the Court will submit its proposal for the selected thesis in relation to each doctoral programme or research line for the award of the prize to the Head of the Doctoral School.

The Head of the Doctoral School shall inform the Doctoral School Executive Committee of the Panel's decision, who in view of the proposals shall request the Executive Committee of the Governing Board of the University to approve and grant the Extraordinary Doctorate Awards.

The final ruling will be published on the UIC website and the winners of the Awards will be notified in person and in writing.

The Dean will issue a certificate with the corresponding mention to all those doctorate holders to whom they have awarded an Extraordinary Doctorate Award and they will be awarded the relevant price for this case, according to the rules of Academic Management of the university.

## **ADDITIONAL, TRANSITIONAL AND FINAL PROVISIONS**

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### **Additional provision**

It is the responsibility of the Executive Committee of the Doctoral School to assess and respond to any questions and doubts that may arise in the application of this regulation.

### **First final provision**

Any modification, correction or updating made by the Doctoral School Executive Committee in relation to the content of these Internal Rules of Procedure shall be approved by the Governing Board of the University.

### **Second final provision**

In relation to the appendices that accompany and supplement this regulation, and that correspond to the agreements adopted by the Doctoral School Executive Committee of the Doctoral School in the exercise of its functions, they can be corrected, modified, or updated by the aforementioned Executive Committee without the approval of the Governing Board of the University.

### **Derogatory provision**

All the previous regulations issued by UIC Barcelona bodies referring to the matters that are regulated in this regulatory framework remain null and void.

## MODIFICATIONS

Previous status	Date of approval	Reason revised
Approval Governing Board	18-05-2016	
Executive Committee Doc.	16-06-2021	Update of the regulations and restructuring of the chapters and articles to achieve a better fit with the reality of the functioning of the doctoral studies and the procedures and management of the doctorate.
Revision carried out by SIQE	18-06-2022	SIQE has positively appraised the change in structure and some regulations, updating the regulations to bring them in line with the organisation and management being implemented, taking into account also the incorporation of the management of the programme with the NAOS project
Approval by the Governing Board	22-07-2022	