

# REGULATIONS FOR DOCTORAL STUDIES AT THE UVIC-UCC

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## CHAPTER I. DOCTORAL STUDIES

### 1. Preamble

The University of Vic - Central University of Catalonia (UVic-UCC) emerged from a regional and citizens' initiative to continue with a university tradition that goes back to the Middle Ages. A privately managed institution under public supervision, it offers the public service activities of teaching, research and knowledge transfer in the range of fields that it covers. UVic-UCC's mission is to develop knowledge and innovation to serve the region, and the University has a distinctive international vocation. Due to our focus on student support and all-round training, our graduates embody values of individual creativity, professionalism and social responsibility.

The UVic-UCC Doctoral College was established in April 2011 following the publication in the same year of Decree 99/2011, which modified the structure of doctoral programmes as part of a general updating of these studies to adapt them to the European Higher Education Area (EHEA). Subsequently, a new offer of doctoral programmes was created and those that already existed were adapted to the new legislation.

According to the UVic-UCC Organisational and Operational Regulations, the Doctoral College is a structural unit for the regulation, organisation and coordination of teaching and other activities of doctoral studies, within the College's area of competence.

Ten years after the initial approval of Decree 99/2011, of 28 January, which regulates official doctoral studies, amendments have been made to the regulation of these courses. First, Organic Law 2/2023, of 22 March, on the university system reinforces the internationalisation of university studies, their connection with social needs and with the global and local environment, and the commitment to open and citizen science. This law specifically regulates international and industrial distinctions for doctoral degrees.

Second, Royal Decree 822/2021, of 28 September, establishes the organisation of university studies and the procedures for ensuring their quality. It contains references to interdisciplinarity and the research-related skills that must be acquired.

The need to amend various aspects of the functioning of doctoral programmes led to the introduction of several changes that enrich the conditions in which doctoral students carry out their studies. The amendment fully recognizes the role of doctoral colleges in advising their doctoral students. It regulates several aspects of doctoral studies, such as entry and admission requirements, the international distinction, the industrial distinction and joint supervision of theses. It also establishes as requirements the preparation of a personal training plan for each doctoral student and the representation of doctoral students in governing bodies. It specifies the duration of doctoral studies. Finally, it regulates other aspects related to the supervision of doctoral theses by thesis supervisors, the annual evaluation of doctoral students, gender balance and quality assurance for doctoral studies.

These regulations incorporate the new aspects mentioned above and adapt procedures to the structure of the Doctoral College.

### 2. Purpose

The purpose of these regulations is to regulate the organisation of doctoral studies.

Doctoral studies are the third cycle of official university studies in Spain, leading to the acquisition of the skills and competencies required for quality scientific research. They are organised in doctoral programmes in the various scientific, technological, humanistic, social and artistic fields or cross disciplines. They are completed with the preparation and public defence of a doctoral thesis.

These regulations describe the academic provisions of doctoral studies.

### 3. Glossary

**Training activities:** doctoral programmes include research training that does not have to be divided into ECTS credits. They are comprised of generic and specific training in the field of each doctoral programme. The Doctoral College is in charge of organising and coordinating these courses.

**Code of good research practice:** regulations to ensure that researchers' attitudes, the procedures they follow and the way they communicate information about scientific activities are in line with the principles of integrity and social commitment.

**Academic Committee for the Doctoral Programme (CAPD):** the body responsible for the definition, updating, quality and coordination of a PhD programme; for supervising the progress of research and education; and for authorising the submission of each student's doctoral thesis.

**Supervisory Board:** the body responsible for annually assessing a doctoral student's oral presentation on his/her research progress. The Supervisory Board is comprised of three PhD holders who are experts in the doctoral programme's research lines.

**Management Board:** the Doctoral College's governing body that carries out organisation and management functions. Its composition is determined by the University's statutes. It includes doctoral student representatives and, as far as possible, an equal number of women and men is ensured.

**Generic or specific competencies:** the minimum skills that a doctoral student must gain, according to the current Spanish Royal Decree, as well as the skills set out in Spanish Royal Decrees 1027/2011 and 96/2014 of the Spanish Qualifications Framework for Higher Education (MECES).

**Coordinator of the doctoral programme:** the person with overall responsibility for managing and coordinating the doctoral programme, for ensuring continuity and compliance with objectives, and for overseeing the programme's development. The coordinator also chairs the academic committee for the doctoral programme. Coordinators must have the minimum academic requirements established in the statutes and in the current Royal Decree regulating doctoral studies.

**Head of the Doctoral College:** a prestigious researcher from one of the UVic-UCC institutions who has the minimum aca-

demographic requirements established by statute and those stated in the current Royal Decree regulating doctoral studies.

**Doctoral thesis supervisor(s):** person(s) responsible for supporting and advising the doctoral student during the period of thesis preparation, in relation to the tasks included in the research plan and the personal training plan. The thesis supervisor is the person with overall responsibility for the coherence and suitability of training activities, for the impact and originality of the subject of the doctoral thesis, for guidance in planning, and for adaptation, if necessary, to other projects and activities for which the doctoral student is registered. Supervisors must have the minimum academic requirements established in the statutes and in the current Royal Decree regulating doctoral studies.

**Doctoral student:** a person who is accepted on a doctoral programme and enrolls after proving that he/she meets the requirements established in these regulations and in the Royal Decree on doctoral studies. Doctoral students enrolled in doctoral programmes are considered trainee researchers.

**Doctoral studies:** the third cycle of official university studies in Spain, leading to the acquisition of the skills and competencies required for quality scientific research. They are organised in doctoral programmes in the various scientific, technological, humanistic, social and artistic fields or across disciplines. They are completed with the preparation and public defence of a doctoral thesis.

**Commitment agreement:** a document that regulates the functions, rights and responsibilities of the doctoral student, the thesis supervisor(s), and the thesis tutor, signed by all the parties involved, and approved by the coordinator of the doctoral programme and the head of the Doctoral College. This document describes the functions of supervising the doctoral student and the conflict resolution process, and considers aspects relating to intellectual or industrial property rights that can be generated in the scope of the doctoral programme.

**The doctoral student activity report (DAD):** an individual record to monitor the doctoral student's training activities, in which the doctoral student must enter all training activities of interest, so that they can be regularly reviewed and validated by the thesis supervisor(s) and tutor, if applicable. The DAD must be assessed every year by the academic committee of the doctoral programme.

**Doctoral College:** a unit created by one or more UVic-UCC institutions, whose aim is to regulate, organise and coordinate doctoral studies and activities within its management area, in one or more knowledge areas or across disciplines. The Doctoral College has internal regulations and is responsible for advising students who join doctoral programmes on all the aspects necessary for their integration. The Doctoral College can collaborate with other bodies, centres, institutions and entities that undertake R+D+I activities, in Spain or other countries, to strengthen one or more areas of knowledge of its doctoral studies.

**Proven research experience:** this means the possession of at least one research premium (six yearly increment), recognised by the Spanish National Commission for Assessment of Research Activity (CNEAI) or by any other Spanish university quality assurance agency.

If a person cannot prove their research experience through a six-yearly increment, over the past ten years they must have

published five articles in quality, peer-reviewed journals or indexed in prestigious bibliographic databases. In the field of humanities and social sciences, books or chapters published by prestigious publishers are accepted, according to the systems set out in the scholarly publication indicators (SPI).

**Doctoral student assessment report (IAD): document issued by the academic committee of the doctoral programme, in which the doctoral student's progress is evaluated in terms of the research plan, the training plan, the activity report, and the reports of the supervisor(s) and tutor.**

**Research line:** all UVic-UCC doctoral programmes are organised in research lines supported by the scientific results of the research groups with which the teaching staff who participate in the doctoral programme are associated.

**Enrolment:** administrative act by which the doctoral student establishes a link with the UVic-UCC during an academic year, for the concept of academic supervision.

**Research plan (PF):** document drawn up by the doctoral student with the approval of their thesis supervisor(s). It describes the thesis project that will be carried out, the methodology, objectives, means and planned schedule.

**Doctoral programme:** set of activities leading to obtaining a doctoral degree. The activities of the doctoral programme enable the acquisition of skills and competencies required for quality scientific research. The programme covers aspects of doctoral training and must establish the procedures and research lines for the preparation of doctoral theses.

**Doctoral thesis:** a piece of original research work that is prepared by the student in any of the fields of knowledge covered by the doctoral programmes. The thesis must prepare the doctoral student to work independently in the field of R+D+I. The research work must be related to one of the lines of research developed in the student's doctoral programme.

**Doctoral thesis tutor:** a UVic-UCC doctoral researcher who is responsible for ensuring the interaction between the doctoral student and the academic committee of the doctoral programme, and for coordinating with the thesis supervisor(s) to ensure that the training and research activity meets the criteria and regulations of the Doctoral College and the doctoral programme to which it belongs. If the thesis supervisor is a member of UVic-UCC staff, this supervisor must carry out the role of tutor. When the supervisor(s) of the doctoral thesis are researchers from another university, research centre, company or institution with research activity, a tutor must be assigned who has a contract with the UVic-UCC.

#### 4. Organisation of doctoral studies

Doctoral studies are organised in doctoral programmes offered by UVic-UCC, which culminate with the writing, public presentation and defence of a doctoral thesis.

The Doctoral College is the University's teaching centre that organises the academic management of administrative and teaching activities related to UVic-UCC doctoral studies. It assures academic quality, promotes excellence in research, and fosters collaboration with external research centres to increase the national and international scope of its doctoral studies.

The internal regulations of the Doctoral College regulate the operation and composition of the governing bodies; the rights

and duties of doctoral students, thesis supervisor(s) and tutors; and the composition and functions of the academic committee of the doctoral programme (CAPD).

## 5. Admission to doctoral studies

In general, to be eligible for admission to an official doctoral programme, candidates must hold an official Spanish bachelor's degree (or equivalent) and a university master's degree (or equivalent). They must have obtained at least 300 ECTS credits for these two degrees together.

However, candidates in any of the following circumstances are eligible:

- a. Holders of official Spanish university degrees or equivalent Spanish degrees, as long as they have obtained at least 300 ECTS credits in all of these studies, and can prove that they have reached level 3 in the Spanish Qualifications Framework for Higher Education.
- b. Holders of a degree obtained in accordance with other education systems within the European Higher Education Area (EHEA), without the need for homologation, which demonstrates the achievement of level 7 in the the European Qualifications Framework and entitles the student to enter doctoral studies in the country that issued the certificate. Admission via this channel does not in any circumstances imply the homologation of the previous degree held by the candidate, or confer recognition of this qualification for any purpose other than entry to doctoral studies. The doctoral degree that is obtained shall have full official validity in Spain.
- c. Holders of a degree from an education system that is not part of the European higher education area (EHEA). In these cases, homologation is not required provided UVic-UCC finds that the qualification demonstrates a level of training equivalent to that of the official Spanish university master's degree and that, in the issuing country, holders of the degree are eligible for doctoral studies. Admission via this channel does not in any circumstances imply the homologation of the previous degree held by the candidate, or confer recognition of this qualification for any purpose other than entry to doctoral studies. The doctoral degree that is obtained shall have full official validity in Spain.
- d) Holders of another PhD qualification.
- e) University graduates who, having passed the entrance examination for specialised medical training, have successfully completed at least two years of a training course leading to an official qualification in a health sciences specialisation.

## 6. Admission to doctoral studies

The CAPD is the body responsible for establishing additional requirements and criteria for the selection and admission of doctoral students. It can request that the thesis project proposal is endorsed by a doctoral thesis supervisor.

To process entry and admission to doctoral studies, candidates must complete the online application within the established deadlines.

### 6.1. Bridging courses

Taking into account the profile required for doctoral students,

the CAPD may establish additional specific requirements for admission to doctoral studies. For example, it may require students to complete certain bridging courses.

The specific bridging courses must be completed in the initial period of thesis preparation, in a maximum period of one academic year. For the purposes of awarding study grants, bridging courses are considered doctoral level training.

Bridging courses may focus on either research or cross-disciplinary training. However, no doctoral student shall be required to enrol for 60 or more ECTS credits of bridging courses.

Candidates must take bridging courses in research training if they are admitted to the doctoral programme with a bachelor's degree of 300 ECTS or more, whose curriculum did not include research credits.

### 6.2. Admission requirements and additional selection criteria

Candidates may apply for entry to a UVic-UCC doctoral programme if they meet the admission requirements established in Point 3 of these regulations, and the admission requirements and criteria indicated on the Doctoral College's website and in the doctoral programme's verification report.

A description of the profile required of doctoral students is posted on each doctoral programme's website, and takes into account applicants' qualifications, languages, specific knowledge, previous experience, and their personal, academic and research skills and abilities.

If the number of applications to a doctoral programme is greater than the number of places that are offered each year, the CAPD may establish additional admission and selection requirements.

Each doctoral programme establishes additional public selection and ranking criteria, which must be posted on the programme's website. Among other factors, these criteria include some of the following requirements: a minimum grade in the academic record for the degree that provides entry to the doctoral studies, the publication of articles and other academic works (master's degree final project, etc.) related to any of research lines in the doctoral programme, professional experience, a certain level of language skills or a letter of motivation.

The admission procedure for each doctoral programme envisages the reservation of an additional 5% of the available places for candidates who have a recognised degree of disability equal to or greater than 33%, and for students with permanent special educational needs associated with personal circumstances of disability who in their previous studies needed resources and support for their full educational integration. In these cases, the CAPD is supported by the Disability Advisory Service (SAED) to assess the need for adapting the curriculum, pathways or alternative studies.

Once candidates have been accepted, they must complete their enrolment in the first enrolment period of the academic year. If this is not done, the place will only be reserved during the year in which the application was made.

In the case of joint doctoral programmes taught with other universities, the admission process shall be determined in the collaboration agreement.

Provisional admission is considered for:



- Holders of an official Spanish bachelor's degree, or equivalent, who, at the time of application, do not have documentation proving possession of the degree and of at least 60 ECTS master's degree credits.
- Candidates who, at the time of application, do not have documentation proving possession of the degree and at least 300 ECTS bachelor's degree credits.

Candidates who are accepted on the condition that they present the admission documentation before the start of their studies, must make a payment to reserve the place. This will subsequently be deducted from the enrolment fee.

If a candidate does not present the documentation before the established deadline, admission is withdrawn. The candidate loses the place on the doctoral programme and cannot request a refund of the amount paid.

Candidates may appeal to the CAPD against entry and admission decisions.

## 7, Enrolment for doctoral studies

### 7.1. General information

Students admitted to a doctoral programme must enrol for thesis tutorials every year until they have presented and defended their thesis. Enrolment entitles students to academic tutoring and to use the resources needed to carry out their research work.

Individuals who have been accepted on a UVic-UCC doctoral programme and have enrolled are regarded as doctoral students. This view remains as long as doctoral students enrol annually and pay the applicable fees, once they have obtained a positive assessment in the annual monitoring.

All doctoral students must enrol each academic year in the set period and according to the established procedure, regardless of the date of first enrolment. If a doctoral student fails to enrol for a particular year and does not formally withdraw from the doctoral programme, he/she must pay the corresponding amount retroactively.

Each student is responsible for his/her enrolment process. As members of UVic-UCC Doctoral College, students must be aware of the rights and responsibilities set out in the Doctoral College's internal regulations, the code of good practices, the UVic-UCC code of ethics, the commitment document, and these regulations on doctoral studies at UVic-UCC.

The enrolment period is posted on the Doctoral College's website.

Any application for enrolment outside of the established deadlines must be duly justified, for example if the candidate proves that he/she has obtained a grant or pre-doctoral contract.

### 7.2. Financial information

#### 7.2.1. Payment of enrolment fees

Before the start of the enrolment period, UVic-UCC will announce the fees and the payment methods on the University's Doctoral College website.

Enrolment covers the following concepts:

- Supervision and tutoring of the thesis

- Monitoring and supervision of the doctoral student throughout the process of writing the thesis
- Administrative fees
- Insurance
- Rights acquired as a member of the UVic-UCC and voluntary services, where applicable

The following forms of payment are available:

- Full payment of the enrolment fee in one sum. Students who are newly admitted during the February enrolment period can only choose this single payment option.
- Payment in instalments by direct debit: payment in two periods. Half of the fee, plus taxes and compulsory insurance, is paid at the time of enrolment, and the rest on 20 January.

Doctoral students must pay the full enrolment fee each academic year. If they withdraw from the doctoral programme, they are not entitled to a refund of the payments made nor are they exempt from payment of any outstanding amounts, except in the cases described in Point 6.3.

The enrolment fee must be paid in full for the doctoral studies to be valid. If a student chooses to pay the fee in instalments, his/her obligation is considered to be met when both instalments have been paid.

Doctoral students have up to one month to enrol from the date of receiving notice of admission from the CAPD. If they do not enrol during this one-month period, admission to the programme or renewal of thesis tutorials shall be withdrawn.

If students do not meet the payment terms for the enrolment fee, they shall be notified, and their student rights shall then be suspended automatically and temporarily (their access to the Virtual Campus shall be restricted and they shall not be able to carry out any administrative procedures).

If a student defaults on payment of an instalment, the costs that are incurred will be added to the outstanding amount.

Students must be up to date with payment of any amount related to enrolment fees for courses taken at UVic-UCC before they can enrol, be issued certificates or qualifications, and carry out any other administrative procedure at the University.

For newly admitted doctoral students who enrol during the February enrolment period, the cost of thesis supervision and tutoring will be 50% of the total amount.

If a thesis is deposited before 30 November in an academic year, the student does not need to enrol for thesis tutorials for the corresponding year.

If this deadline passes and the doctoral student has not deposited the thesis, they must enrol for thesis tutorials for the current academic year and pay the total amount of the enrolment fee.

If the thesis deposit is made between 30 November and 28 February, 50% of the paid amount may be discounted.

#### 7.2.2. Discounts

The following discounts are applicable to doctoral students:

- Second qualification at UVic-UCC: 10% discount on the fee for doctoral thesis tutoring for UVic-UCC graduates who wish to study for a second official qualification. To apply for this discount, you must be a member of UVic-UCC Alumni.

- Same family unit: 5% discount on the fee for doctoral thesis tutoring for each member of the family unit at UVic-UCC.
- Large family, special category: 5% discount on the fee for doctoral thesis tutoring for members of large families in the special category at the start of the academic year.
- People with disabilities: 10% discount on the fee for doctoral thesis tutoring for students with a 33% degree of disability or higher.
- Victims of terrorist attacks: 10% discount on the fee for doctoral thesis tutoring for people who have been victims of terrorist attacks, their spouses and their children.
- Victims of gender violence: 10% discount on the fee for doctoral thesis tutoring for victims of gender violence and their dependent children.
- Over 60 years old: 50% discount on the fee for doctoral thesis tutoring.

To apply the discount, proof must be provided in each case with the corresponding document.

### 7.3. Grants

Predocctoral grants are processed by the Doctoral College Office.

Grants that are available to UVic-UCC doctoral students are described on the Doctoral College website.

Doctoral students who have been awarded a grant that specifically covers the enrolment fee for thesis tutoring in a public university, will only have to pay at the time of enrolment the difference between the public enrolment fee for thesis tutoring determined in the Government of Catalonia's current decree on rates, and the enrolment fee for thesis tutoring established annually by the UVic-UCC.

The enrolment fee for thesis tutoring for a doctoral student who is part of the Industrial Doctorate Programme, shall be fully covered by the budget for the project.

### 7.4. Insurance

UVic-UCC offers doctoral students obligatory and specific insurance policies according to the qualification, as well as insurance for research periods abroad. Doctoral student status and cover are obtained once enrolment for thesis tutoring has been completed.

Information about insurance policies can be found on the UVic-UCC website.

### 7.5. Enrolment on doctoral programmes taught with other universities

Students who enrol on joint UVic-UCC doctoral programmes taught with other universities shall follow the enrolment process established by the UVic-UCC.

## 8. Academic progress and duration of studies

### 8.1. Academic progress

All aspects of academic progress are described in the academic progress regulations for doctoral programmes at UVic-UCC, which can be found on the Doctoral College website.

### 8.2. Duration of doctoral studies

The duration of doctoral studies is related to whether the doctoral student works full or part-time on the doctoral thesis preparation. The maximum duration is four years in full-time mode, counting from the date of first enrolment of the doctoral student in the programme to the date of thesis submission.

However, with the prior authorisation of the CAPD, doctoral studies can be pursued part-time. In this case, the maximum duration is seven years from the date of the doctoral student's initial enrolment on the programme until the date of submission of the doctoral thesis.

For doctoral students with a degree of disability equal to or greater than 33%, the duration of doctoral studies is a maximum of six years in full-time mode and nine years in part-time mode.

Before the end of the aforementioned periods, the doctoral student can request an extension by applying to the coordinator of the doctoral programme. The CAPD for the programme is responsible for evaluating and authorising, if applicable, the extension of the period for another year, under the conditions that it establishes.

When doctoral students enrol on a programme for the first time, they must state whether they will study full- or part-time.

Doctoral students who are the recipients of a grant for a pre-doctoral contract awarded in a competitive process whose rules specify that they must study full-time cannot apply for part-time mode.

Doctoral students may change from full- to part-time or vice versa no more than twice during their doctoral studies. To change their time commitment, doctoral students must send an official request to the CAPD coordinator of the doctoral programme at least one month before the start of the annual enrolment period.

The change from part-time to full-time is authorized when a doctoral student obtains a pre-doctoral contract.

The following situations are not counted in calculations of the duration of doctoral studies: temporary incapacity, birth, custody for the purpose of adoption, fostering, risk during pregnancy, risk during breastfeeding and gender violence or any other situation contemplated in current regulations. For these cases to be accepted, the doctoral students must complete the procedures required to pause the calculation of the duration of doctoral studies when the aforementioned situations occur.

### 8.3. Request for extension and temporary withdrawal

Doctoral students can request the CAPD for a period of temporary withdrawal from the doctoral programme up to a maximum of two years, as long as this withdrawal is justified and adequate evidence is provided with the corresponding documentation, so that the CAPD can resolve the request.

Reasons for temporary withdrawal are sick leave, leave for adoption, pre-adoptive or permanent foster care of children under six years, maternity and paternity leave, protracted or serious illness of relatives to the first degree, economic reasons or work situations of particular importance, or any other reason prescribed by current regulations.

If students requests permanent or temporary withdrawal once they have enrolled:

- Students who permanently withdraw from the doctoral programme will receive a refund of the enrolment fee for thesis tutorials if the withdrawal process is completed before 15 December for new students in the first enrolment period or students in the second and subsequent years, and before 30 March for new students in the second enrolment period, when the reasons are:
  - Serious illness
  - Serious situation that prevents a student from continuing to study
- If a student requests temporary withdrawal for a full academic year, cancellation of enrolment will only be considered if the student communicates their withdrawal before 15 December in the case of new students enrolled in the first enrolment period or students in the second or subsequent years, and before 30 March for new students enrolled in the second enrolment period. Students must provide proof of the reason for withdrawal and the corresponding documents so that the CAPD can resolve the request. If the CAPD approves the request for temporary withdrawal, it will cancel the enrolment but the fee paid by the student for thesis tutorials shall not be refunded. This amount will be deposited for enrolment for thesis tutorials the following academic year.

If temporary withdrawal from the programme is communicated after these dates, students must appear before a mandatory Supervisory Board before the start of the withdrawal period and the enrolment fees will not be cancelled or refunded. Students who wish to withdraw temporarily without appearing before the Supervisory Board, must notify CAPD and are considered to have left their studies. In the future, they must reapply for entry and admission to the doctoral programme should they want to rejoin it.

If a student requests temporary withdrawal for an entire academic year, the dates that apply will be from 14 September in the year that the withdrawal is processed to 15 September the following year.

The following are reasons for definitive withdrawal from the programme:

- The doctoral student communicates that he/she is leaving the doctoral programme.
- The doctoral student has not met the academic progress requirements for remaining on the course and the extension period is over.
- The doctoral student is denied the requested extensions, in accordance with the provisions in Article 6.2.
- The doctoral student's research plan is not accepted by his/her supervisor(s) or the CAPD.
- The doctoral student does not enrol for thesis tutoring during two consecutive academic years
- The doctoral student does not attend the annual sessions of the Supervisory Board and does not provide justification for their absence or he/she does not submit, within the established period, the documents established by the CAPD.
- The doctoral student has two consecutive negative assessments.

Definitive withdrawal means that the doctoral student cannot continue the doctoral programme and his/her academic record is closed.

#### 8.4. Appeals

Appeals can be lodged with the Rector of UVic-UCC against any decisions made in accordance with these regulations.

The rector's decision represents the final resolution of the administrative process, and can be challenged before the contentious administrative jurisdiction.

### 9. Monitoring and assessment of the doctoral thesis

#### 9.1. Supervision of the doctoral thesis

At the time of admission to the doctoral programme, the CAPD assigns a thesis supervisor to the doctoral student.

The thesis supervisor is the person with overall responsibility for the coherence and suitability of training activities, the impact and originality of the subject of the doctoral thesis, guidance in planning, and adaptation, if necessary, to other projects and activities for which the doctoral student is enrolled. The thesis supervisor must support and advise the doctoral student throughout the process of preparing the thesis in all the tasks included in the doctoral student's research plan and personal training plan.

In general, the thesis supervisor is a professor or researcher associated with the doctoral programme who is a member of the UVic-UCC with a doctoral degree and proven research experience. In this framework, doctoral staff may also be considered if they have proven research experience in associate entities or in institutes and research centres affiliated with the UVic-UCC, in accordance with the affiliate and associate collaboration agreements.

The CAPD can approve the appointment of an expert PhD holder who does not belong to the UVic-UCC, nor to the associate and affiliate entities mentioned above. This PhD holder must have proven research experience. In these cases, the CAPD assigns a co-supervisor who is a member of the UVic-UCC.

To assign a thesis supervisor, the CAPD considers the availability of people with PhDs associated with the doctoral programme and their expertise in the field of the thesis project.

The CAPD also assigns a tutor, a PhD holder with proven research experience who is associated with the doctoral programme in which the doctoral student is enrolled and ensures proper interaction between the student and the CAPD. The tutor will be one of the thesis supervisors. Only in exceptional cases, and at the discretion of the CAPD, the tutor may be different from the supervisors.

The doctoral thesis can be co-supervised by two PhD holders, as long as there are academic reasons for joint supervision, such as the cross-disciplinary nature of the thesis project or an interuniversity or international doctoral programme. Co-supervision of a thesis must be authorised by the CAPD. It must be shown that at least one of the two supervisors meets the requirements of proven research experience defined for thesis supervisors.

Joint supervision usually refers to two supervisors. However, in exceptional cases, the Doctoral College Management Board



may authorize a maximum of three supervisors, as long as the different and necessary contribution of each of the supervisors is duly justified to ensure adequate support of the PhD student's research plan and personal training plan.

In these cases, the doctoral student must send a request to the CAPD, which will pass the request on to the Doctoral College Management Board using the standard form. This authorisation could be revoked subsequently if, according to CAPD criteria, the supervision by three people does not benefit the thesis preparation. Exceeding the maximum number of three supervisors cannot be authorised in any case, including that of co-supervision agreements and that of theses with an international distinction.

A supervisor may oversee a maximum of five doctoral theses at the same time. Co-supervision with other people counts as half a thesis supervision.

## 9.2. Commitment agreement

The tasks of supervision, tutoring and monitoring a doctoral student are described in the commitment agreement, which is signed by the doctoral student, the thesis supervisor(s), the tutor, if applicable, and the coordinator of the doctoral programme, and has the approval of the head of the Doctoral College.

The commitment agreement also sets out the conflict resolution procedure, aspects of intellectual and industrial property rights, confidentiality issues, and other applicable regulations.

The commitment document must be completed and signed by the doctoral student during the application process. The rest of the signatures are obtained subsequently, under the responsibility of the Doctoral College.

In the event that there are changes in thesis supervision during the preparation of a thesis, a new commitment document must be signed by the doctoral student and their new supervisor(s) and sent to the Academic Administration.

## 9.3. Research plan and personal training plan for doctoral students

Within six months from the date of first enrolment, doctoral students, with their thesis supervisor(s) and tutor, must prepare a document that includes their research plan and personal training plan.

The research plan must contain at least the objectives to be achieved, the methodology used, the justification, the resources, the bibliographic review, the planned schedule and ethical considerations.

The doctoral student's personal training plan must include the various training activities that are expected to take place during the doctoral thesis (courses, delivery of seminars, mobility activities, attendance of conferences, etc.). In the case of doctoral students with an industrial specialisation, the research plan must also be endorsed by the person responsible in the company.

The doctoral student's research plan and personal training plan must be endorsed by the thesis supervisor and, if applicable, by the tutor. These plans must also be assessed by the CAPD. A positive evaluation of the research plan and personal training plan is an essential requirement to continue on the doctoral

programme. If the CAPD identifies major shortcomings in these plans, the doctoral student shall have six months to prepare and submit new proposals. If the shortcomings are not resolved, the CAPD must issue a detailed report and the student shall be permanently withdrawn from the programme.

The plans may be amended and detailed at any time during the period of thesis preparation, as long as the changes are justified and duly approved by the CAPD through the module for monitoring doctoral theses.

## 9.4. Doctoral student activity report

The doctoral student activity report (DAD) is a record of all the training and research activities carried out during the period of doctoral studies.

The DAD is designed, reviewed and approved regularly by the thesis supervisor(s) and, if applicable, the tutor, and is checked once a year by the CAPD.

The doctoral student must keep the DAD up to date and submit all academic certificates to the supervisor as proof of the activities that he/she has carried out, using the module for doctoral thesis monitoring. For these activities to be recorded and reviewed, the doctoral student must be enrolled in the academic year in which they are carried out.

The CAPD can propose training activities of a specific nature for doctoral students on the doctoral programme that are directly incorporated into each doctoral student's DAD. The thesis supervisor(s) and the tutor, if applicable, must then validate them.

## 9.5. Assessment

### 9.5.1. Bridging courses

In bridging courses that form part of the curricula of master's degree courses at UVic-UCC, assessment is carried out in accordance with the procedures and criteria established in the academic regulations that govern these courses.

In other activities organised by the CAPD or by the Doctoral College, the assessment criteria that are established for each activity shall apply.

### 9.5.2. Annual monitoring of the doctoral student

The CAPD is responsible for the annual assessment of doctoral students. This assessment is designed to ensure that, on completion of their studies, doctoral students have gained the generic and specific competencies defined in the doctoral programme, in accordance with the current regulations governing doctoral studies, and to verify the quality and progress of doctoral theses.

Every year, the doctoral student shall orally present the progress of their research work. The presentation shall be assessed by a Supervisory Board appointed by the CAPD and comprised of three doctoral degree holders who are experts in the field of the thesis and may or may not be teaching staff involved in the doctoral programme.

At the end of each academic year, the CAPD will establish the composition of the Supervisory Board, the academic calendar with the dates of the oral presentations, and any other requirements that the doctoral students must meet.

In exceptional cases, when the period for a doctoral student's oral presentation coincides with a short period of research training abroad, field work, etc. the CAPD may accept another format instead of an oral presentation.

The CAPD will evaluate the following documents every year:

- Research plan
- Personal training plan for the doctoral student
- Doctoral student activity report
- Reports by the thesis supervisor(s) and the tutor, if applicable
- Supervisory Board minutes

The results of all the evaluations shall be entered in the UVic-UCC's module for monitoring doctoral theses, with an indication of whether the assessment was positive or negative. To complete the assessment, the CAPD may request more proof of activities or information from the doctoral student, the thesis supervisor(s) or members of the student's research group.

For a student to remain on the doctoral programme, they must receive a positive annual assessment from the CAPD. In the event that the CAPD detects significant shortcomings, the doctoral student must be re-evaluated within a maximum period of six months. If the shortcomings are not resolved and the assessment is again negative, the CAPD shall issue a detailed report and the doctoral student will be permanently withdrawn from the doctoral programme.

The doctoral student has the right to consult and review the assessment reports.

The coordinators of each doctoral programme finalise all the assessment records of students on their programme within the periods established in the academic calendar. If this deadline has passed and a doctoral student has not been assessed, the Management Board and subsequently the doctoral student and thesis supervisor(s) will be informed that the assessment was negative. The student will then have six months to resubmit the documents and appear before the Supervisory Board. If after six months the student has not appeared before the Supervisory Board or receives another negative assessment, they will be withdrawn and their academic record will be closed.

### **9.6. Change of thesis supervisor**

The CAPD, the doctoral student and the thesis supervisor(s) may request a change in thesis tutor or supervisor at any time during the period of thesis preparation prior to submitting the thesis, provided that justifiable reasons are given.

A proposal to change thesis supervisor must be duly justified and approved by the CAPD for the change to take effect.

When a thesis supervisor is changed, a new commitment agreement must be signed by all parties.

### **9.7. Change of doctoral programme**

Doctoral students may apply to move to a different doctoral programme within the same university by submitting an application form explaining their reasons for the change to the CAPD of the chosen programme. This CAPD shall then hold an extraordinary meeting and, if necessary, consult the CAPD of the student's original doctoral programme to request any relevant information. The CAPD's decision shall then be announced.

If a doctoral student changes programme, they may need to take additional bridging courses. This will be determined by the CAPD of the chosen doctoral programme. The doctoral student may also need to change thesis supervisor(s).

If the doctoral programmes are equivalent and the change is due to the termination of a curriculum, the coordinators of the doctoral programme that is ending must indicate which procedures need to be followed.

## **CHAPTER II. THE DOCTORAL THESIS**

### **1. The doctoral thesis**

A doctoral thesis is an original piece of research carried out by a doctoral student in any field that is intended to prepare the student for independent work in research, development and innovation. The thesis must be on one of the lines of research covered by the student's doctoral programme.

The thesis must be written and subsequently defended in public in either of the official languages of Catalonia (Spanish or Catalan) or in English. In exceptional and duly justified cases, the CAPD can authorize the preparation and subsequent defence of the thesis in another language.

The doctoral thesis must include an introduction to the topic of study, the objectives, the research methodology used, a discussion of the results and conclusions. In addition, it may include any appendices that are deemed appropriate.

The template approved by the Doctoral College should be used for the cover.

The doctoral thesis can be in the format of a monograph or a compendium of publications.

### **2. Submission of the doctoral thesis**

When the preparation of a doctoral thesis has been completed and the compulsory activities of the doctoral programme have been validated, and in a period of two months prior to the possible date of the thesis defence, the doctoral student must apply to Academic Administration (AGA) for permission to submit the thesis. The application shall be accompanied by the documents described in appendices I, II, III, IV and V of these regulations.

To submit a thesis, doctoral students must prove that they have at least one positive assessment from the Supervisory Board for their doctoral programme. In exceptional circumstances, the Doctoral College Management Board may agree to shorten this period on request by the doctoral student and the thesis supervisor, provided there are justifiable reasons for doing so.

In addition, to ensure the quality of research in the doctoral thesis, the CAPD will require that the doctoral student has published an indexed article associated with the thesis at the time of thesis submission. The article must be published or have been accepted for publication. The indexed article must be a direct consequence of the work done within the doctoral programme.

Publications resulting from work carried out during the master's degree or professional activities of the doctoral student

prior to enrolment in the doctoral programme do not count, regardless of the date of publication.

In order to apply for thesis submission, it is also necessary to present two assessment reports issued by doctoral experts in the field from outside the University, associate entities and affiliate research institutes. The external evaluation team can propose aspects to improve. If this team identifies aspects to improve, the doctoral student must attach to the thesis submission application a document explaining the changes. These changes must be included in the final version of the thesis. The expert PhD holders who issue the reports can be members of the panel that evaluates the thesis.

The CAPD reviews the documentation and makes a decision. If the decision is favourable, the doctoral thesis is submitted to the library.

In no more than five working days after the thesis submission, the Doctoral College Office shall announce the submission on the Doctoral College website and to the departments, research and knowledge transfer centres, chairs, research groups and schools and faculties of UVic-UCC. The thesis shall be available in the library for ten working days, excluding Saturdays, the month of August, and the Christmas and Easter holidays. While the doctoral thesis is available, any doctoral degree holder can read it and, if necessary, send a report to the Doctoral College Management Board with any comments on the contents that he/she deems relevant. During this period, the thesis shall be analysed using anti-plagiarism software.

Taking into account the comments received, the results of the analysis of the thesis, and the advice of the CAPD and relevant experts, the Doctoral College Management Board shall decide whether to authorise the public defence of the thesis. If the Board does not approve the thesis defence, the doctoral student, thesis supervisor(s) and tutor, if applicable, shall be informed of the reasons in writing.

In the case of doctoral theses that contain confidential aspects, the thesis supervisors, the CAPD, the Supervisory Boards and the members of the panel and external reviewers must sign a confidentiality agreement.

### **3. Authorisation to defend the doctoral thesis**

#### **3.1. Composition of the doctoral panel**

In the proceedings to authorise the thesis defence, the Doctoral College Management Board, at the proposal of the CAPD, evaluates the proposal for the examination panel and appoints a panel comprised of three members and three substitutes.

The majority of examination panel members must be external to the programme and to the University, its associate entities or affiliate research centres.

If substitutes have to take their places on the panel, the same proportion of UVic-UCC and external members shall be maintained. In addition, in the overall proposal of (original and substitute) members, gender balance must be ensured, as established in the first additional provision of Organic Law 3/2007, of 22 March, on the effective equality of women and men.

All members must hold a PhD and have proven research experience, as established in Point 3 of Chapter I of these regulations.

If a student has opted for the international doctorate distinction, the composition of the doctoral panel must meet the requirements established in Point 5 of this chapter.

Students who have opted for the industrial doctorate distinction must meet the requirements and submit the documents described in Point 6 of this chapter.

If the thesis is presented under co-supervision, the requirements established in Point 7 of this chapter must be fulfilled.

When a thesis is submitted as a collection of published articles, the doctoral student must meet the requirements and submit the documents specified in Point 8 of this chapter.

The following people cannot form part of the doctoral panel under any circumstances: the supervisor or co-supervisor of the thesis, the tutor, the person responsible for the placement to obtain an industrial doctorate distinction or the person responsible for the placement to obtain an international doctorate distinction. Co-authors of published papers related to the thesis research cannot be members of the panel either.

In the case of co-supervised doctoral theses, the doctoral panel will be formed according to the provisions in the collaboration agreement between the participating universities.

The Doctoral College Management Board appoints one member of the examination panel as chairperson, one as secretary and one as member. The chairperson shall be the member of the panel who has the most demonstrated experience in research and/or in their academic career.

The Doctoral College Management Board shall send a copy of the agreements to authorise the thesis defence to the doctoral student, via the Doctoral College Office.

From the day after reception of the agreement authorising the thesis defence, the doctoral student has five days to submit to each member of the doctoral panel a copy of the doctoral thesis. He/she must also enrol for the thesis defence in this period. The copy of the thesis can be sent by email or printed, as deemed appropriate.

#### **3.2. Notification of the date and place of the thesis defence**

Once the thesis defence has been authorised and the doctoral student has paid in full the corresponding fee, all annual enrolment fees for thesis tutorials, and the annual fees for the period of thesis preparation, the Doctoral College shall announce the date and place of the thesis defence.

The Doctoral College Office shall submit to the members of the doctoral panel all the documents required for the thesis defence between five and seven days before the public event. Likewise, it will contact the panel members to arrange their travel and request the necessary documentation.

There must be a period of 15 to 60 days between the approval of the thesis by the Doctoral College Management Board and its defence.

The public defence must be held on a teaching day during the academic year. It cannot be held in August, as this month is considered a holiday.

### 3.3. Incidents involving the doctoral panel

In order for the panel to act legitimately, all three original members must participate.

If, for a justifiable reason and according to the doctoral panel's chairperson, the public defence cannot take place on the date announced, the chairperson may set a new date for the thesis defence that must be in the following 15 days. In this case, the individuals who were notified of the first date of the thesis defence must be informed of the new date with at least 24 hours' notice.

If the thesis defence has been convened and one of the members of the panel cannot attend for a justifiable reason, the chairperson must replace him/her with a substitute. If the chairperson is unable to attend, the Doctoral College Management Board will be responsible for appointing a substitute. In all cases, the appointment of substitutes is subject to the restrictions and conditions on the composition of the doctoral panel described in Point 3.1 of this chapter.

If the thesis defence cannot be held in the established period or there are not enough substitutes to ensure the presence of three members (including original members and substitutes), in accordance with the limitations and conditions on the composition of doctoral panels established in these regulations, the Doctoral College Management Board must appoint a new doctoral panel. To do so, the board must follow the procedure established in these regulations.

If a doctoral student does not attend the thesis defence and his/her absence is not justified, this fact will be recorded during the corresponding event and a fail grade will be awarded.

### 3.4. Suspension of the thesis defence

At the suggestion of the CAPD, the Doctoral College Management Board may suspend the thesis defence procedure for duly justified, serious reasons up to the moment immediately prior to the public presentation and defence.

## 4. Defence of the doctoral thesis

### 4.1 Public thesis defence

The thesis defence shall be held in a public session at UVic-UCC before the members of the doctoral panel. In the case of joint doctoral programmes and co-supervised theses, the thesis defence will take place at the location specified in the collaboration agreement.

The thesis defence could be held at federated or affiliate centres or at university hospitals associated with the UVic-UCC, as specified in these regulations, provided that a formal request is made by the thesis supervisor to the Doctoral College Management Board when the thesis is submitted. In this case, these institutions shall be responsible for the logistic organisation of the event.

The thesis defence should be held face-to-face. However, in duly justified cases, when the physical presence of a member of the doctoral panel is not possible, the Doctoral College Management Board may authorise the member to attend the event online. In this case, the Doctoral College Management Board must be notified. This situation can be authorised through the doctoral panel proposal document, as long as all the requirements established in these regulations are met.

The defence will consist of a 35-50 minute presentation of the research that was undertaken, covering the methodology, the contents and the conclusions, with special emphasis on the original contributions.

In exceptional circumstances determined by the CAPD, which include, among others, the involvement of companies or institutions in the programme, the existence of confidentiality agreements with companies or the possibility of obtaining patents related to the thesis content, appropriate measures shall be taken to ensure that confidential aspects of the work are not made public. However, the measures shall not impede the public presentation of the doctoral thesis' contribution to knowledge. The members of the doctoral panel and the Doctoral College Management Board shall be informed of these measures, in accordance with the industrial property regulations and other current University regulations.

The panel members may ask the doctoral student any questions they consider appropriate. Moreover, any doctoral degree holders in attendance may pose questions at the time and in the manner indicated by the chairperson of the panel.

The panel members must have access to the doctoral student's DAD that describes the completed training activities and the external expert evaluators' reports, as well as, when appropriate, the responses to any comments made by the doctoral student. The doctoral student's DAD is not used to generate a quantitative score, but rather as a qualitative assessment instrument that complements the evaluation of the doctoral thesis and reflects the skills acquired by the student during the doctoral studies.

### 4.2. Assessment and mark

Once the thesis defence has been completed, the doctoral panel will issue a report and award an overall mark on the following scale:

- Fail
- Pass
- Merit
- Excellent

Before closing the session, the chairperson of the doctoral panel shall verbally communicate the mark awarded to the doctoral student and anyone else present.

Once the event has ended, the secretary draws up the appropriate certificate of the doctoral thesis defence, which must be signed by all members of the panel. Once signed, it must be sent to the Doctoral College Office together with all the documentation derived from the thesis defence event. This task can be delegated to the thesis supervisor or tutor. If the thesis defence is held at a location other than the UVic-UCC Campus, the secretary of the doctoral panel shall be responsible for submitting to the Doctoral College Office the certificate of the doctoral thesis defence and all the other documents related to the thesis defence. If the secretary of the doctoral panel is not from the UVic-UCC, the thesis supervisor or tutor must take on this task.

### 4.3. *Cum laude* distinction

Members of the examination panel may suggest that the thesis merits the *cum laude* distinction, if it has been unanimously awarded an overall mark of excellent. The distinction shall only



be granted if panel members vote unanimously for this option by secret ballot. On the ballot paper, panel members must indicate their reasons for either granting or withholding the *cum laude* distinction.

Within five working days from the date of the thesis defence, the management of the Doctoral College will count the vote in a different session from the thesis defence. If there is a unanimous vote in favour of granting the *cum laude* distinction, the management will notify the doctoral student, the thesis supervisor, the Doctoral College Management Board and the corresponding CAPD.

If, based on comments made by the doctoral degree holders at the public thesis defence, the doctoral panel considers that the deposited copies of the thesis should be replaced, the secretary of the panel shall issue a report on this matter and the process of replacing the thesis shall begin.

The doctoral panel's decision cannot be appealed, and the content of the reports cannot subsequently be modified, amended or rectified.

The doctoral student can request a long-form certificate of the doctoral thesis assessment reports.

## 5. International Doctorate distinction in the PhD qualification

The doctoral student may be awarded an International Doctorate distinction if the following requirements are met:

1. During the training period required to obtain the PhD, the doctoral student carried out one or more research periods of at least three months duration outside of Spain in one or more higher education institutions or prestigious research centres, studying or doing research with the aim of expanding and reinforcing their research training. In the case of several research periods abroad, at least one of them must have a minimum duration of one month. The research period abroad and the activities must be assessed by the thesis supervisor(s) and approved by the CAPD. Once completed and validated by the host organisation, they must be incorporated into the DAD.
2. Part of the thesis (at least the abstract and conclusions) must be written and submitted in one of the languages commonly used for scientific communication in the area of knowledge in question. This language may not be any of the official languages of Spain. This regulation shall not be applied when the research visit, reports and experts are in or from a Spanish-speaking country.
3. At least two doctoral-level experts from a higher education institution or research centre in another country must issue reports on the thesis. These two doctoral experts cannot be the researchers responsible for tutoring or supervising the work of the doctoral student at the host institution.
4. The doctoral panel must include at least one doctoral-level expert from a higher education institution or research centre in a different country. This expert cannot be the person responsible for the student's research visit at a host institution, as mentioned in Section 1.

The thesis defence must take place on the premises of UVic-UCC or, in the case of joint doctoral programmes and co-supervised theses, at the location specified in the collaboration agreement.

## 6. Industrial Doctorate distinction in the PhD qualification

The doctoral student can obtain an Industrial Doctorate distinction if the following conditions are met:

1. The thesis is on a research project of industrial, commercial, social or cultural interest for an entity, public or private company, or government body. Universities, (national or regional) public research bodies and university hospitals are excluded. Exceptionally, the industrial doctorate can be prepared at any of the above institutions, except for universities, as long as the content of the thesis is clearly of an applied nature. The direct relationship between the doctoral thesis and the work carried out by the doctoral student at the institution or company shall be formalised in a scientific and technical report that must be approved by the CAPD in which the doctoral student is enrolled.
2. An agreement has been signed between the entity, the company or government body and the University for the academic preparation of the doctoral thesis. This agreement must establish, at least, the obligations of the parties and the industrial property rights that may be generated.
3. The doctoral student has been hired by the entity, company or public administration where he/she undertakes the research project for at least one year during the preparation of the thesis and a substantial part of the thesis is developed in the entity, company or government body.

The doctoral student has a thesis supervisor appointed by the University and a person responsible assigned by the entity, company or government body, who may also be the thesis supervisor, in accordance with Chapter 1, Point 7, of these regulations. In no case can the responsible person assigned by the company form part of the doctoral panel.

## 7. Joint supervision of the doctoral thesis

Doctoral students may apply for joint thesis supervision if they meet the following requirements:

- The doctoral thesis is supervised by PhD holders from two or more universities, one of which is the UVic-UCC and the other(s) is in another country.
- There is an agreement signed in the first year of preparation of the doctoral thesis between UVic-UCC and the university or higher education institution in another country that can award doctoral degree certificates.
- The doctoral student is accepted on a doctoral programme at the UVic-UCC and at the universities in other countries with which the co-supervision agreement has been signed.
- During the training period required to obtain the PhD, the doctoral student has spent at least six months in each of the institutions with which the co-supervision agreement has been established, carrying out research tasks. The research periods abroad can be divided into one or more periods and must be stated in the co-supervision agreement.
- The doctoral student's work on the doctoral thesis leads to two or more degrees, one from each of the higher education institutions responsible for the thesis preparation.

Theses under co-supervision can also obtain the international doctorate distinction if the research periods abroad are carried



out in an institution other than the signatories of the agreement, as long as the requirements are met for obtaining the international doctorate distinction, as established in Chapter II, Point 5, of these regulations.

Doctoral students who prepare a doctoral thesis under joint supervision must pay the UVic-UCC enrolment fee for the doctoral programme every academic year, as established in the provisions of the agreement.

Procedures for annual supervision, the doctoral panel, thesis defence, assessment and issue of the doctoral certificate shall also be determined by the provisions established in the agreement.

The back of the doctoral certificate shall contain the statement: "Thesis undertaken under co-supervision with the foreign university or higher education centre with which an agreement has been signed".

## **8. Thesis submission as a collection of published articles**

A doctoral thesis can be submitted as a collection of published articles.

In this case, the following requirements must be met:

- Have at least three articles published or accepted on the same line of research, two of which are indexed in the Journal Citation Reports (JCR - Clarivate) that includes the Science Citation Index Expanded (SCIE), the Social Science Citation Index (SSCI) and the Arts Humanities Citation Index (AHCI) and/or Scimago Journal Rank (SJR - Scopus) or have a minimum of five articles, three of which are indexed in Carhus+ band A. If the articles have been published in non-indexed journals, the scientific recognition of the journal in its area, and the rigour and objectivity of the article selection process will be considered. The journal must have an editorial board comprised of recognized experts and follow an external, independent review process prior to publication.
- At least the two papers in the thesis that have the best journal ranking were published or accepted for publication during the period of preparation of the doctoral thesis.
- The co-authors of papers in the thesis cannot form part of the doctoral panel that assesses the thesis, or be considered as external thesis evaluators.
- Whenever possible, the association of the doctoral student with UVic-UCC is stated in the published papers, either in the acknowledgements, or in a footnote, using the expression: "This work was carried out as part of the doctoral programme in ... at the University of Vic - Central University of Catalonia", or a similar phrase.
- In addition to a copy of the published articles, the thesis must include a general introduction to present the papers and justify the thematic unity of the thesis and the coherence of the collection of articles included in this format of doctoral thesis. It must also include a general summary of the results, the discussion of the results, and the final conclusions.
- Other requirements that may be established for this purpose by the CAPD of the doctoral programme in which the doctoral thesis has been prepared.

## **9. Publication and archiving of the doctoral thesis**

If the doctoral thesis receives a pass grade, the UVic-UCC Library will archive an electronic copy in the Catalan University Network's repository Doctoral Theses Online (TDX) and the University of Vic - Central University of Catalonia's repository (RIU-VIC). All the documentation must be sent to the library between three and six months after the thesis defence. Documents must have been sent before the PhD certificate is processed. A copy of the thesis in electronic format shall also be sent to the Thesis Database of the Ministry of Education, Culture and Sport, along with all the data and additional information required for the identification of the thesis.

Copyright is protected by the publication agreement, in which the author reserves the right to publish the thesis with other publishing companies and/or in other media.

## **CHAPTER III. THE DOCTORAL DEGREE CERTIFICATE**

### **1. Issue of the doctoral degree certificate**

After successful completion of the thesis defence, the new doctoral degree holder can apply for issue of a doctoral degree certificate in accordance with current legislation. In line with regulations on the issuance of certificates, the title of the qualification shall be: Doctor of the University of Vic - Central University of Catalonia, and the certificate shall include information on the corresponding doctoral programme and any doctoral distinctions.

#### **1.1. Payment of fees**

To be issued an official doctoral degree certificate, the doctoral degree holder must pay the fee that is set every year by the University of Vic - Central University of Catalonia, and must be up to date with payment of their annual enrolment fees for thesis tutorials and annual fees for the thesis preparation period.

The new doctoral degree holder can apply for a provisional doctoral degree certificate whilst the original is being prepared, so that they can join associations, submit the certificate to government departments in other countries, etc.

#### **1.2. Collection of the doctoral degree certificate**

The certificate is given to the new doctor in person. He/she must provide proof of identification with the corresponding valid official document. Doctoral degree holders may grant another person permission to collect the certificate, through power of attorney.

New doctoral degree holders can ask the Doctoral College to send their degree certificate to the closest official offices to their place of residence if they do not live in the Province of Barcelona, or to the closest Spanish ambassador or consulate if they live outside of Spain.

#### **1.3. Signing of the degree certificate**

Once the new doctoral degree holder has confirmed that the information displayed on the degree certificate is correct, he/she must sign it.

## 1.4. Duplicate certificates

The new doctoral degree holder can request the issue of a duplicate degree certificate when the initial information in the document needs to be modified or rectified. Supporting documents must be provided.

The main reasons for requesting a duplicate degree certificate are:

- A change of name, surname or personal details
- A change in nationality
- Loss of the original certificate

The new doctoral degree holder must pay the fee established for issuing a duplicate certificate in the following cases:

- When the initial information needs to be modified for a reason attributable to the degree holder.
- When the certificate has already been collected by the student and subsequently needs to be rectified.
- In the case of loss of a doctoral degree certificate, graduates must pay the fee for officially recording the loss in the Official Gazette of the Spanish Government (BOE).

## 2. Special awards

UVic-UCC may give honourable mentions or special awards to doctoral theses that deserve recognition for their high quality. These awards will be noted in the corresponding academic certificate.

## 3. Honorary doctorate

UVic-UCC may award an honorary doctorate to individuals whose exceptional academic, scientific or personal merits deserve this distinction.

### 3.1. Awarding and procedure

The University may award an honorary doctorate to people in

recognition of their relevance and excellence in the academic, scientific, literary, cultural, social, political or economic spheres.

The following bodies may propose the award of an honorary doctorate from UVic-UCC, according to current University regulations: departments, governing bodies of the faculties or schools, the Doctoral College Management Board and the rector. The proposal must be submitted during the academic year, must be approved by the Doctoral College's Management Board and by the Governing Council of UVic-UCC.

Once approved by the Governing Council, the proposal must be submitted to the Board of FUBalmes, which shall approve, when appropriate, the award of the honorary doctorate in question.

## PROVISIONS

### First transitional provision

Doctoral students who started their doctoral studies before these regulations came into force are subject to current academic regulations on doctoral studies, with the exception of provisions relating to the doctoral panel, defence and assessment of the doctoral thesis, which shall be applied from the 2024-2025 academic year.

### Final provision

These regulations enter into force the day after the date of their approval.

### Repeal

These regulations replace and abrogate previous doctoral studies regulations of UVic-UCC and repeal any other contradictory previous regulations, without affecting the points established in the first transitional provision.

## APPENDICES

### Appendix 1. Documents that must be submitted to submit a doctoral thesis

The doctoral student must present the following documents in order to submit a doctoral thesis:

- Thesis submission authorisation form.  
*Report and curriculum vitae of two evaluators who are not from UVic-UCC or involved in the doctoral programme, who are experts in the subject(s) addressed in the doctoral thesis. The thesis supervisor and/or tutor, if applicable, must have contacted the external evaluators to request the reports.*
- Doctoral student activity report, using the corresponding application form.
- Authorisation given by the supervisor(s) to submit the doctoral thesis, confirmed by the thesis tutor, if applicable.
- A digital copy of the doctoral thesis and of the student's curriculum in PDF format or similar.
- If the thesis is written in a language other than Catalan, a summary must be submitted in Catalan that is at least five pages long.
- The thesis supervisor must submit a proposal of six experts who could form part of the doctoral panel and a proposal for the date of the thesis reading and defence, using the corresponding application form.
- Curriculum vitae and acceptance of each of the proposed members of the examination panel, using the standard form.
- Copy of a published indexed article associated with the doctoral thesis or a copy of an official document indicating that a paper has been accepted by an indexed journal.
- For theses on art that include interventions, exhibitions, use of objects, etc., a proposal for the public presentation of the project must be attached, including the technical conditions and the design of the thesis defence.

All these documents must be drawn up and reviewed by the thesis supervisor(s) and the doctoral student together.

### Appendix II. Documents required for submission of the thesis as a collection of published articles

If a doctoral thesis is submitted as a collection of published articles, the doctoral student must attach the documents described in Chapter II, Point 2, of these regulations to the thesis submission authorisation form, as well as the following:

- A report by the thesis supervisor on the impact factor or ranking of the journal in which the papers included in the doctoral thesis have been published. The report must explain why the collection of articles is coherent and thus has the character of a doctoral thesis.
- A list of the publications that form part of the collection of published articles.
- Doctoral students must provide a copy of the published papers, according to UVic-UCC's regulations on authorship

of scientific publications by teaching staff, and the full reference of the journal in which they have been published. If a paper has been accepted for publication, proof of acceptance must be provided as well as the full reference of the journal. In all cases, the impact factor, the quartile and the knowledge area must be provided for each journal in which a paper has been published, or data must be included on the objective impact of the results.

- If any of the publications were written with a co-author, the thesis supervisor must provide a report that describes the doctoral student's participation in each article in detail.
- A consent form must be submitted that is signed by the rest of the co-authors (both doctoral degree holders and non-doctoral degree holders) of the paper presented in the doctoral thesis.

The CAPD shall study the submitted documents and decide whether it is appropriate to present the doctoral thesis in this format.

### Appendix III. Documents required to apply for an International Doctorate distinction

Together with the thesis submission authorisation form, doctoral students who wish to apply for an International Doctorate distinction on their doctoral degree certificate must submit the following documents:

- A certificate of the research period abroad issued by the head or director of the host institution, which certifies that the requirements established in Chapter II, Point 5, of these regulations have been met.
- The reports of two experts from a non-Spanish higher education institution or research centre, who are not the tutors where the student has completed the research period abroad. The curriculum vitae of the experts must be attached.

### Appendix IV. Documents to apply for the Industrial Doctorate distinction

Together with the thesis submission authorisation form, doctoral students who wish to apply for an Industrial Doctorate distinction on their doctoral degree certificate must submit the following documents:

- Approval of the industrial doctorate project report, if applicable.
- A copy of the collaboration agreement between the relevant parties, if applicable.

### Appendix V. Application and authorisation of co-supervision

During the first year of preparation of the doctoral thesis, doctoral students who wish to apply for the co-supervision system must present the following:

- An application to the CAPD, explaining the reasons for applying for co-supervision.
- A proposed agreement, using the standard model.

## **Appendix VI. Documents required to apply for publication and archiving of the doctoral thesis**

If the thesis is satisfactory, UVic-UCC library shall archive a copy in electronic format in the University's open repository (RiUVic) and in the Catalan University Network's repository Doctoral Theses Online (TDX). For this purpose, the doctoral student must submit the following documents to the library:

- Full text of the thesis in PDF format. If the thesis contains some sections that are subject to a *copyright transfer agreement*, that is, publishing policies determine that part of the thesis content cannot be published in open access format, then a copy of the text should be submitted in PDF format,

in which the affected chapters are replaced by a reference to the paper in question.

- A Word file containing a summary of the thesis in Catalan and/or Spanish, and another in English (maximum length: 150 words in each language).
- A list of keywords on the content of the thesis in Catalan and/or Spanish and another in English.

In addition, the new PhD holder must sign a publication agreement with the University. Once the document has been signed, the library will add the thesis to the repositories and notify the author.