

REVISED ACADEMIC REGULATIONS FOR THE DOCTORAL STUDIES OF THE UNIVERSITY OF GIRONA

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Preamble

These academic regulations, related to Royal Decree 99/2011 of 28 January governing official doctoral teaching, are based upon a review of all the regulations of the doctoral studies of the UdG in order to simplify and increase awareness of them. Thus, they regulate the procedure for obtaining doctoral degrees from the University of Girona and annul other partial existing regulations, leading to better systematization. This simplification covers not only the regulations themselves, but also the procedure for the review and submission of the doctoral theses.

The regulations contain new basic features and others related to the reading procedure. The purpose is to further the internationalisation of the doctoral studies of the University of Girona, with the promotion of joint tutorships and the international mention in doctoral degrees. A requirement is established that the figure of the thesis supervisor should have an ongoing line of research. The process for the review of the doctoral thesis will be performed by two anonymous external reviewers from two different institutions and, in the event of any disagreement, a settling third report will be requested. The criteria for the granting of extraordinary doctoral awards are also established.

Article 1. Purpose

The purpose of these regulations is to standardise the doctoral studies of the University of Girona.

Article 2. Access and admission

2.1 Access and admission requirements

Access to the doctoral studies is open to persons who fulfil the requirements established in the current regulations and, if appropriate, any additional admission requirements approved by the Academic Committee of each doctoral programme, that appear in the report for the verification of the corresponding doctoral programme.

2.2 Submission of applications

In order to gain access to the doctoral studies, it will be necessary to submit, by the electronic means established, the application for admission to the Doctoral School, which should specify which programme research line is being applied for, attaching the required documentation in compliance with the access and admission requirements.

2.3 Evaluation of the applications

1. The Academic Committee of each doctoral programme will establish the procedure for the selection and admission of the students, evaluate the applications and decide on the admissions to the doctoral programme.
2. If the demand for places on a doctoral programme exceeds those on offer, the applications will be prioritised in accordance with the evaluation criteria established in the report for the verification of the doctoral programme.
3. The Academic Committee may request that the admitted students undergo supplementary training, in accordance with that established in the report for the verification of the doctoral programme.

Article 3. Enrolment

1. The students admitted to the doctoral programme should enrol each academic year at the Doctoral School, within the period and in the manner established by the University.
2. The students should formalise the enrolment in the academic year for which they have been admitted. Otherwise, the admission will be deemed to have expired and will have to be applied for again. From the second enrolment onwards, the doctoral students will be deregistered if they do not formalise their enrolment within the period and in the manner established. However, the doctoral student may apply for and be admitted to another doctoral programme of the UdG in the following academic course. A full academic course must have passed if the student wishes to apply for and access the same doctoral programme.
3. In the case of inter-university doctoral programmes, the enrolment procedure established in the agreement signed by the institutions will be abided by. This regulation will be additionally applicable.

Article 4. Length and schedule of the doctoral studies

1. The full-time doctoral studies will last a maximum of three years, from the time of the enrolment until the submission of the doctoral thesis. If the application for the submission of the thesis has not been sent within the above-mentioned period of three years, the Academic Committee responsible for the programme may authorise an extension of this period for a

further year, which may, in exceptional circumstances, be extended by another additional year, under the conditions set out in the corresponding doctoral programme.

2. The Academic Committee of the doctoral programme may authorise the doctoral studies to be undertaken on a part-time basis. In this case, the studies will last five years, from the time of the enrolment until the submission of the doctoral thesis. If the application to submit the thesis has not been made within the abovementioned period, the Academic Committee responsible for the programme may authorise an extension of this period for a further two years, which, in exceptional circumstances, may be extended by another additional year, under the conditions set out in the corresponding doctoral programme.

Students who have begun their studies on a full-time basis may apply, in a reasoned manner, to the Academic Committee of the doctoral programme to change to a part-time schedule. Within a period of 15 working days, the Academic Committee must issue a reasoned report with regard to accepting or rejecting the change of schedule.

3. For the purposes of calculating the above periods, absence owing to illness, pregnancy or any other cause stipulated in the current regulations will not be taken into account.

Furthermore, the doctoral students may apply for temporary absence from the programme for a maximum period of one year, which may be extended by a further year. This application should be addressed, in a reasoned manner, to the Academic Committee responsible for the programme, which must decide upon the appropriateness of accepting the application within a maximum period of 15 working days.

4. In the case of students who are in the second extension of the doctorate, the deadline for submitting the doctoral thesis may not be extended.

5. Doctoral students enrolled on a full-time basis who have special educational needs due to a minimum of 33 per cent level of disability, will have the same time allowance to undertake the thesis as part-time doctoral students.

Article 5. Consequences of exceeding the maximum length of the doctoral studies

Students who have exhausted the maximum length of the doctoral studies, in accordance with each schedule and, when appropriate, the corresponding extensions, will be definitively deregistered from the doctoral programmes for which they have enrolled, making it impossible for them to continue their studies on the programme. However, the above students may apply for access and admission to another doctoral programme at the UdG in the following academic year, submitting a new thesis project with a new tutor and new supervisors. In the event that they wish to apply for access and admission to the same doctoral programme, a full academic year must have gone by and they must submit a new thesis project with a new tutor and new supervisors.

Article 6. Assignment of thesis tutors and supervisors

6.1 Thesis tutor

1. Once the doctoral students have been admitted, the Academic Committee of the doctoral programme will assign each of them a tutor, who will be a full-time professor of the UdG with a doctoral degree and an ongoing line of research related to one of the lines of research of the programme. The researchers who cannot legally apply for lines of research will have to have merits equivalent to those required in each field to obtain a line of research. Emeritus

professors may not be appointed as thesis tutors, although they may exercise their functions until the end of the theses they tutor at the time they obtain such a status.

The students may propose a tutor, who must be approved by the Academic Committee of the doctoral programme.

2. The Academic Committee of the doctoral programme may establish additional requirements for being a thesis tutor. Furthermore, the Academic Committee, if considered necessary, may assign as doctoral thesis tutors those full-time professors of the UdG who hold the qualification of doctor and are considered active researchers despite not having a current research line, but who have directed or co-directed a minimum of three defended theses or have three recognised lines of research.

3. It is the responsibility of the tutors to supervise the interaction of the doctoral students with the Academic Committee, helping them with the monitoring of the activities they perform by means of a review of the doctoral student's activity document (DAD), and to ensure that all the academic issues affecting the preparation, submission and defence of the doctoral thesis are dealt with appropriately.

4. A tutor who, during the preparation of the thesis, ceases to have an ongoing line of research may exercise his or her functions until the end of the thesis but may not be appointed for the tutoring of further theses.

6.2 Thesis supervisor

1. The Academic Committee of the doctoral programme will assign each doctoral student a thesis supervisor within a maximum period of three months following enrolment.

2. The thesis supervisors will be doctors with accredited research experience, regardless of the university, centre or institution where they provide their services. The researchers of the University of Girona have accredited research experience if they have an ongoing line of research; researchers from the University of Girona who may not legally apply for lines of research will have to accredit equivalent merits. Researchers from outside the UdG must have merits equivalent to those required for researchers from the University of Girona.

3. A supervisor who, during the preparation of the thesis, ceases to have an ongoing line of research, may exercise his or her functions until the end of the thesis but may not be appointed for the supervision of further theses, except as provided for in the following paragraph..

4. The Academic Committee of the doctoral programme may establish additional requirements for being a thesis supervisor. Furthermore, the Academic Committee, if considered necessary, may assign as doctoral thesis supervisors those full-time professors of the UdG who hold the qualification of doctor and are considered active researchers despite not having a current research line, but who have directed or co-directed a minimum of three defended theses or have three recognised lines of research.

5. The thesis supervisor will be ultimately responsible for the guidance of the doctoral student in the research activities leading to the completion of the doctoral thesis. These include the consistency and appropriateness of the training activities, the impact and innovative nature of the subject of the doctoral thesis in the field and guidance in the planning and its adaptation, when appropriate, to other projects and activities to which the doctoral student is related. The thesis supervisor will monitor the activities of the doctoral student by means of a review of the DAD.

6.3 Joint supervision of the thesis

1. The doctoral thesis may be jointly supervised by a maximum of three supervisors for academic reasons, such as the inter-disciplinary nature of the subject or programme executed with national or international cooperation, at the request of the doctoral student and the thesis supervisor and with the authorisation of the Academic Committee of the doctoral programme. This authorisation may be subsequently revoked if, in the opinion of the Academic Committee, the joint supervision does not benefit the development of the thesis.
2. If the thesis is jointly supervised, at least one of the supervisors must have an ongoing line of research or, in the case of researchers from outside the UdG, equivalent research experience, and the others may be active researchers in accordance with the regulations of the UdG or have equivalent research experience.

6.4 Change of thesis tutor or supervisor

The Academic Committee, at the request of the doctoral student, the tutor or supervisor, after hearing all of them, may change the tutor or supervisor of the doctoral thesis, provided that the change is for justified reasons.

Article 7. Supervision and monitoring of the doctoral students

7.1 Doctoral student's activity document (DAD)

1. Once the doctoral students have been enrolled on the programme, a DAD will be prepared for each of them. This is an updated record of all the training and research activities carried out within the framework of the doctoral programme. The supporting material for this document will be the CV management application in force at the UdG. The doctoral students are required to keep their DADs updated.
2. This document will be regularly reviewed by the thesis tutor and supervisor, and evaluated by the Academic Committee responsible for the doctoral programme.

7.2 Thesis agreement

The doctoral student, the rector or the rector's delegate, the tutor and the supervisor or supervisors of the thesis shall sign a thesis agreement establishing supervision of the doctoral student. This agreement, which should be signed as soon as the thesis supervisor has been named, will include conflict resolution procedures and anticipate aspects related to any intellectual or industrial property rights that may arise in the context of doctoral programmes.

7.3 Evaluation of the doctoral student

Each year, the Academic Committee of the doctoral programme will evaluate the doctoral student's activity document and research plan, together with the reports which, for this purpose, are issued by the doctoral student, the thesis supervisor or supervisors and the tutor, in accordance with the models established by the Doctoral School. A positive evaluation is an essential requirement for continuing on the programme. In the event of a duly reasoned negative evaluation, the doctoral student will be evaluated again within a maximum period of six months and, for this purpose, will have to prepare a new research plan. If the evaluation is once again negative, the doctoral candidate will be definitively deregistered from the programme.

Article 8. Doctoral thesis

8.1 Registration

The students enrolled on the doctoral programme must sign a thesis commitment. If appropriate, at that moment the student may request, in a reasoned manner, the realisation of the thesis on a part-time basis.

8.2 Content

1. The doctoral thesis should be an original research work based on one of the lines of research of the doctoral programme, with the sole authorship of the doctoral student.

2. The doctoral thesis may be a monograph or a compendium of accepted or published works, the result of the doctoral student's own research, of which he or she is the main author. All the works which comprise the thesis must have been accepted or published following the initial enrolment on the doctoral programme and correspond to the same line of research.

In the case of a compendium of publications, the doctoral thesis should include the work objectives or hypothesis, an introductory chapter, a general discussion and final conclusions.

8.3 Language

The thesis may be developed and defended in any of the languages normally used in scientific communication in the corresponding field of knowledge. If the language for the writing and defence of the thesis is not Catalan, Spanish or English, the doctoral student should previously inform the Academic Committee of the doctoral programme.

8.4 Joint tutorship

1. A doctoral thesis may be jointly tutored by the UdG and a foreign university, by means of an agreement, with the purpose of creating and developing scientific cooperation between the research teams from the two institutions and facilitating the mobility of the doctoral students. The minimum length of stay at each of the universities may not be less than six months, and it may be performed over one or several periods.

2. The Academic Committee of the doctoral programme is responsible for authorising the joint tutorship of the doctoral theses.

3. The thesis may be defended at any of the universities participating in the joint tutorship. The thesis defence will be conducted in compliance with the rules of the university at which it is performed and a single report on it will be drawn up, in accordance with the regulated documentation of the university where the thesis is defended, and a certified or true copy will be sent to the other university. In the event that the thesis is not defended at the UdG, once the composition of the examining board has been approved by the other university, the student should submit the following documents to the Doctoral School:

a) an electronic file with the entire content of the thesis, preferably in PDF format, or in any of the other formats accepted by the University,

b) authorisation to use the electronic CV extracted from the CV management application in force at the UdG,

c) the document for the approval of the composition of the examining board by the other university (taking into account that the composition should be in keeping with the legislation applicable to the university where the thesis is defended), and

d) authorisation of the reading from the other university.

4. Before the defence of the thesis, the Doctoral School should make the above documentation available to the Academic Committee of the doctoral programme which will decide, within a maximum period of 30 working days, whether to authorise the defence of the doctoral thesis in the other university. Should the Academic Committee of the doctoral programme refuse to authorise the reading, the doctoral student cannot apply for the qualification of doctor from the UdG.

5. With the approval of the Academic Committee of the doctoral programme, and once the thesis has been defended, the thesis supervisor should send a copy of the documentation to the Doctoral School accrediting its reading, stating the mark awarded in the system established in the corresponding country, together with the official UdG agreement from the Doctoral School provided prior to the defence. Should the mark awarded by the examining board be the maximum mark possible in the system of the corresponding country, the examining board can propose, through a secret vote, that the thesis obtains the mention of *cum laude* from the University of Girona. In this case, the procedure described in article 10 of this document will be followed and the mention of *cum laude* will be awarded if there is a unanimous favourable result of the vote. The supervisor of the thesis will be responsible for the delivery of the envelopes containing the votes to the Doctoral School.

6. The financing of the expenses of the professors who form the examining board is the responsibility of the university at which the examining board performs its duties.

7. Students under the joint tutorship system will be deemed for all purposes students of the UdG.

8. A jointly tutored thesis may also lead to an international doctoral degree, provided it abides by the provisions of section 8.5 of this article.

9. A jointly tutored thesis may also lead to an industrial doctoral degree, provided it abides by the provisions of section 8.6 of this article.

8.5 International mention

1. The doctoral degree certificate may include the “International Doctor” mention on the front, provided the following circumstances apply:

a) That, during the training period required for obtaining the doctoral degree, the doctoral student has completed a minimum stay of three months outside Spain at a higher education institution or prestigious research centre, pursuing studies and conducting research work there. This stay may be performed over one or several periods, which should always add up to a minimum of three months at the same institution. The stay and the activities should be endorsed by the supervisor, approved by the Academic Committee and included in the DAD.

b) That part of the doctoral thesis, at least the summary and the conclusions, has been drawn up and submitted in a language normally used for scientific communication in the field of knowledge, different from any of the official languages in Spain. This rule will not apply when the stays, reports and experts relate to a Spanish-speaking country.

c) That the thesis is reported on by a minimum of two expert doctors from a non-Spanish higher education institution or research institute, by means of an anonymous review process.

If one of the reports issued by the experts states that the thesis cannot be defended, the Academic Committee will appoint a third casting expert from a non-Spanish higher education institution or research institute. If two of the reports are negative, the process will be closed and the doctoral student and the supervisor or supervisors will be informed, so that the thesis may be improved and the review procedure, if necessary, may be subsequently reinitiated, provided this is within the maximum period of the doctoral programme.

d) That at least one expert from a non-Spanish higher education institution or research centre, with a doctoral degree and different from the person responsible for the stay referred to in paragraph a), has formed part of the examining board evaluating the thesis.

2. The defence of the thesis should be performed at the UdG or, in the case of joint doctoral programmes, at any of the participating universities, in the terms established in the collaboration agreements.

3. The application for the international doctoral degree will be made at the time of requesting the review of the doctoral thesis. The interested party should provide the documentation accrediting the circumstances outlined in point 1 of this section, at the time of the submission of the thesis. The accreditation of the circumstances referred to in sub-section a) of point 1 of this section will consist of a certificate issued by the researcher responsible for the stay.

4. The Academic Committee of the doctoral programme will decide on the granting of the international doctoral degree.

8.6 Industrial mention

1. The doctoral degree certificate may include the “Industrial Doctor” mention, provided it meets the requisites set out in article 15bis of the Royal Decree 99/2011, from 28 January, which regulates the official doctoral teaching.

2. The application for the Industrial mention on the doctoral degree will be made at the time of requesting the review of the doctoral thesis. The interested party should provide the documentation accrediting the circumstances outlined in point 1 of this section, at the time of the submission of the doctoral thesis.

3. The Academic Committee of the doctoral programme will decide if the thesis fulfils the requisites to be granted the Industrial mention on the doctoral degree.

8.7 Review of the doctoral thesis

1. In order to initiate the process of reviewing a doctoral thesis, the doctoral student should have received a minimum of one positive evaluation of his or her research plan and have entered his or her curricular data into the CV management application in force at the UdG. In order to ensure the quality of a doctoral thesis prior to its submission, the University will follow the procedure established in the following sections.

2. When the thesis is finished, the doctoral student should request the Doctoral School, with the approval of the thesis supervisor or supervisors and his or her tutor, to initiate the process for the review of the thesis. For this purpose, he or she should submit an application, using the standardised form available in the electronic office's section on procedures, through the University's Electronic Registry. The application should indicate whether an international doctoral degree or an industrial doctoral degree is being requested and whether the thesis is submitted as a compendium of publications. The application form should contain an authorisation to use the electronic CV extracted from the CV management application in force at the UdG, a declaration from the supervisors concerning ethical aspects of the doctoral thesis

under review, and the electronic file of the thesis will be attached, preferably in PDF format, or in any of the other formats accepted by the University. Doctoral students must also state if the thesis is co-supervised or if they wish to submit it in accordance with confidentiality protection processes. In this latter case, they must include the corresponding confidentiality agreement. In the event that the thesis is submitted as a compendium of publications, the following electronic files should also be attached to the application form:

- a) a report from the thesis supervisor or supervisors indicating the suitability of this format and demonstrating the relevance of the specific contribution of the doctoral student to the publications submitted,
- b) the acceptance of the co-authors, if any, of each of the publications the doctoral student submits as part of the thesis, and
- c) the renouncement by the co-authors of the publications to submit them as part of their doctoral theses.

3. Subsequently, the Doctoral School will send the thesis to the Academic Committee of the doctoral programme, which will verify, within a maximum period of five working days, starting from the date of its receipt, that the thesis fulfils the formal requirements specific to each field, as well as the format criteria approved by the Management Committee of the Doctoral School.

4. The thesis should receive a report from two expert doctors from two different higher education institutions or research centres or institutes outside the UdG by means of an anonymous review process. The experts will be appointed by the Academic Committee of the doctoral programme and must have an ongoing line of research or equivalent research merits. If publications have arisen from the thesis, none of the co-authors may act as expert in the review of the doctoral thesis. In the case of a joint doctoral programme, neither of these two experts may come from any of the universities participating in the programme.

5. The reports issued by the experts should refer to both the formal aspects of the thesis and to its adaptation to the theoretical framework, the objectives, the methodology, the results, the discussion, the conclusions and the references, and should emphasise, if applicable, the impact the results may have in the scientific and social fields. The reports should indicate the aspects which are regarded as worthy of mention. Finally, taking into account the aspects mentioned above, the consent, or otherwise, to the submission and defence of the doctoral thesis should be stated. The Doctoral School guarantees the anonymity of the reporting experts. The experts will be remunerated in accordance with the University budget established each year.

6. The Doctoral School should ensure that the process of issuing the experts' reports is completed within a period not exceeding two months, starting from the day following the date of the appointment of the experts. The student has the right to request the mediation of the Academic Committee in the event that this deadline is exceeded.

7. If one of the reports issued by the experts states that the thesis cannot be defended, the Academic Committee will appoint a third casting expert from a higher education institution or research institute outside the UdG different from the two previous experts. If two of the reports are negative, the process will be closed and the doctoral student and the supervisor or supervisors will be informed, so that the thesis may be improved and the review procedure, if necessary, may be subsequently reinitiated, within the maximum period of the doctoral programme.

8. The Doctoral School should send the doctoral student, the thesis supervisor or supervisors and the tutor a copy of the anonymous reports drawn up by the experts. The doctoral student should introduce the modifications proposed in the reports or, if appropriate, provide the reasons why he or she considers that they cannot be incorporated in a reply to the reports. The above-mentioned reply should also indicate the modifications made.

9. In the event that the student aspires to the international mention in their doctoral degree, the aspects mentioned in point 8.5 of these regulations should be borne in mind with regard to the external experts.

8.8 Submission of the doctoral thesis

1. Once the procedure for the review of the doctoral thesis has ended, the doctoral student may submit it within a maximum period of three months. If this period is exceeded, the procedure will be deemed terminated and the doctoral student, the tutor and the supervisor or supervisors will be informed. In this case, if the doctoral student wishes to defend the thesis, he or she should reinitiate the review process.

2. The submission of the doctoral thesis will be performed through the University's Electronic Registry by means of the standardised application form available in the section on procedures of the Electronic Office of the University of Girona. The application, signed by the doctoral student, should contain the authorisation to use the electronic CV extracted from the CV management application in force at the University of Girona, and the following will be attached:

- a) the electronic file of the thesis, preferably in PDF format, or in any of the other formats accepted by the University, signed by the doctoral student,
- b) the editable electronic file with an informative summary of the thesis in Catalan and English, of approximately one page in length, with a publishable image representative of the subject of the doctoral thesis.
- c) the electronic file of the doctoral student's reply to the reports of the Academic Committee, if necessary, and of the external experts, clearly indicating the modifications made to the doctoral thesis, and
- d) the electronic file of the favourable report of the thesis supervisor or supervisors, with the approval of the submission.

3. If an international mention in the doctoral degree is requested, it will also be necessary to attach accreditation of the stay lasting a minimum of three months at a higher education institution or research centre in a country other than Spain, signed by the head of the receiving centre or centres.

4. Through publication of the edict in the UdG's E-Office, the School of Doctoral Studies will convene a period of public exposure of five working days, counting from the day after the publication of the edict. During this period, the thesis is available for viewing at the School of Doctoral Studies by anyone who can prove they hold a doctoral degree.

5. Once the period for the public display has ended, the Academic Committee of the doctoral programme will authorise, as appropriate, the defence of the doctoral thesis and will appoint the examining board, specifying a president, a member and a secretary, as well as two substitute members.

6. Once the defence has been authorised and the examining board agreed upon by the Academic Committee of the doctoral programme, the Doctoral School will inform the doctoral student, the thesis supervisor or supervisors, the tutor and the members of the examining board within five working days. The Doctoral School will send to all the members of the examining board, together with the notifications of their appointments, the electronic copy of the thesis and other relevant documentation.

7. There must be a minimum of 15 working days between the notification date of definitive authorisation to defend the thesis and the date of the defence. Following the notification of the

definitive authorisation to defend the thesis and the designation of the examining board, the president will convene the act of defence and communicate this to the Doctoral School at least seven working days prior to the thesis reading date.

8. In the event that the defence of the doctoral thesis is not authorised within a maximum period of five working days following the adoption of the agreement, the Doctoral School should inform the doctoral student and the thesis supervisor or supervisors and tutor of the agreement, providing a reasoned report.

Article 9. The doctoral thesis examining board

1. The thesis examining board will be made up of three members (a president, a secretary and a member) and two substitute members, all with a doctoral degree and proven research experience, appointed by the Academic Committee of the programme. The researchers of the University of Girona will be deemed to have accredited research experience if they have an ongoing line of research. Researchers from outside the UdG must accredit the research merits equivalent to those required for UdG researchers. The thesis supervisor or supervisors will make the proposal for the examining board to the Academic Committee of the doctoral programme, justifying the curricular suitability of each of the members.

2. The examining board will be made up of a majority of members from outside the UdG and also the research institutions the supervisor or supervisors are from. Members from outside the UdG will be retired professors, professors on leave, professors in special services and honorary emeritus professors, but not emeritus professors contracted by the UdG. An effort will be made for one of the members of the examining board, incumbent or substitute, to be from the UdG. In the case of a joint doctoral programme, the majority of the board members must be external to the universities participating in the programme. If the secretary of the examining board is not able to bring the documentation to the Doctoral School, the UdG's internal member of the examining board will assume this task and should attend the defence of the thesis. The external members of the examining board should belong to different higher education institutions and research institutes.

3. The Academic Committee will appoint, from among its members, the president, the secretary and the member, incumbents and substitutes, in accordance with the suitability criteria arising from the CVs submitted. The president will generally be the doctor with the highest academic level and accredited research. If a member of the examining board renounces the position for justified reasons, the president will replace him or her with one of the substitutes.

4. Neither the thesis supervisor or supervisors, nor the thesis tutor may form part of the examining board. In the event that there are publications arising from the thesis, none of the co-authors of the publications may form part of the examining board.

5. If the doctoral student requests an international mention in the doctoral degree, at least one of the members of the examining board should belong to a non-Spanish higher education institute or research centre and should not be responsible for the stay mentioned in section 8.5, sub-section 1. a).

Article 10. Defence and evaluation of the doctoral thesis

1. The maximum period for defending the doctoral thesis will be four months, following the appointment of the examining board. The Academic Committee of each doctoral programme may authorise an extension of this period when unforeseen circumstances occur. The act of defence of the thesis should be convened by the president of the examining board; the Doctoral

School should also be informed of the date of the defence, at least seven working days prior to the date of the reading of the thesis.

2. The defence of the thesis must be performed at a public session, at any centre of the UdG or research institute affiliated with the UdG or joint research institute in which the UdG participates, within the academic period established for the reading of the thesis and on a teaching day.

3. For the thesis to be defended, it will be necessary for three members of the examining board to attend. If the School Management authorises it, one member of the examining board may perform his or her duties by video conference by the means determined, as appropriate, by the UdG. In this case, the Doctoral School will send this member the documentation he or she should complete, and the latter should send it to the Doctoral School within a maximum period of 15 working days.

4. In exceptional circumstances, the School Management may authorise the doctoral candidate to defend the thesis without being physically present at the place where the examining board has been constituted and do so remotely. The intervention of the doctoral student should be performed, in this case, by video conference, by the means determined by the UdG, ensuring the necessary immediate nature and the simultaneous exchange of information by means of images, sound and, if necessary, the transmission of other data.

5. If the doctoral student does not attend the act for the defence of the thesis without any justified reason, the mark *no apte* (fail) will be recorded in the corresponding act.

6. If the defence cannot be performed for justified reasons, the president may make a new call for the defence of the thesis, which must be performed within a maximum period of 15 working days, and inform the Doctoral School of the date of the new call at least two working days in advance.

7. The act should consist of a presentation by the doctoral student of the research work performed, the methodology employed, the results and the conclusions, with particular mention of his or her original contributions.

The members of the examining board may ask the doctoral student any questions they deem appropriate. Similarly, the doctors present at the public act of defence may ask questions at the time and in the manner indicated by the president of the examining board.

8. Once the defence and discussion of the doctoral thesis have ended, the examining board will draw up a written evaluation report. The examining board will issue the overall mark awarded to the thesis in accordance with the following scale: *no apte* (fail), *aprovat* (pass), *notable* (very good) and *excel·lent* (excellent). The members of the examining board may propose that the theses marked as *excel·lent* (excellent) receive a *cum laude* mention by means of a secret ballot, in accordance with the following procedure:

a) The Doctoral School will provide the members of the examining board with user names and passwords, if they do not already have valid credentials, in order to cast their secret votes via the University's e-voting system.

b) Each of the members of the examining board will issue their votes individually and in secret, before 10.00 a.m. on the first working day following the defence of the thesis.

c) Once the above period has passed, at a session different from that for the defence of the thesis, the counting of the votes cast by the members of the examining board will take place. This count will be performed in the presence of a member of the examining board, or, in his or her absence, the director of the Doctoral School, and the result obtained will be recorded in the corresponding act, signed by the member of the examining board, or, in his or her absence, the director of the Doctoral School.

d) The mention of *cum laude* will be granted when a unanimous proposal results from the counting of the votes cast. The minutes of the counting of the votes cast by the members of the examining board will be kept with the other documentation generated by the acts of defence and evaluation of the thesis.

f) The Doctoral School will inform the interested party of the final mark resulting from the count; it also will send copies to the thesis supervisor or supervisors and the members of the examining board.

Article 11. Publication and filing of the doctoral thesis

1. Once the doctoral thesis has been approved, the Doctoral School will send a copy of the electronic file of the thesis to:

a) the University Library, for its listing and subsequent inclusion, in open access, in the TDX (Online Doctoral Theses) repository, and

b) the Ministry of Education, together with all the mandatory supplementary information, for the appropriate purposes.

2. In cases in which, in accordance with Article 14.6 of Royal Decree 99/2011 of 28 January, the Academic Committee has envisaged the possibility of partially restricting the publication of the thesis, the doctoral student should notify the Doctoral School and provide an electronic file of the thesis, in PDF format, or in any other format accepted by the University, from which the aspects subject to special protection have been removed.

3. The Doctoral School will authenticate the electronic file of the defended thesis, signed by the doctoral student, and certify subjecting it to the public exposure process by the general secretary, in order to record the overall mark awarded by the examining board, and will enter it on the platform for document and archive management of the University for its permanent safekeeping.

Article 12. Procedure for the authorisation, reading and publication of doctoral theses of the University of Girona subject to processes related to data protection or transfer of technology or knowledge

1. The Doctoral School will provide a standardised application form, which should be submitted by the doctoral student to the Registry of the UdG, together with any confidentiality commitments and, if appropriate, confidentiality agreements signed with companies.

2. If there is the possibility of the generation of patents, the Doctoral School, at the request of the doctoral student or the supervisor or supervisors, will request a report from the Research and Technological Transfer Office of the UdG, which should be issued within a period of 15 working days.

3. The Academic Committee, with a prior binding report from the Research and Technological Transfer Office, will decide on the doctoral student's request within a maximum period of 15 working days, starting from the day following the date the request is submitted to the Registry. Applications will only be accepted when it is proven that secrecy is absolutely essential for the success of the protection or transfer process. The coordinator of the Academic Committee will inform the doctoral student, the thesis supervisor or supervisors and the tutor of the agreement.

4. The members of the Academic Committee of the doctoral programme, the experts from outside the UdG who conduct the review of the thesis and the members of the examining board which will assess the doctoral thesis, who will be specifically notified that the thesis is subject to protection or transfer processes, will have access to the full version of the doctoral thesis and will have the obligation to maintain secrecy and absolute confidentiality with regard to its content. Before gaining access to the thesis, each of the above-mentioned persons will send to the Doctoral School the corresponding confidentiality agreement, duly signed, for the period of time necessary to protect it.
5. Before the end of the defence of the doctoral thesis, the president of the examining board may ask the audience in attendance to leave the hall if he or she considers that the examining board should ask the doctoral student questions concerning confidential aspects of the doctoral thesis.
6. If the doctoral student considers that the replies to any of the examining board's questions may reveal data and information which might be regarded as confidential information, he or she may ask the president to answer the question in the second part of the act of the defence, when there is no audience present in the room.
7. Publication of the doctoral theses in the TDX will take place, as applicable, when the protection and knowledge transfer process has been completed, a measure the doctoral student will duly report to the UdG.

Article 13. Extraordinary doctoral awards

1. The Doctoral School will promote the convening of extraordinary doctoral awards each calendar year and for each doctoral programme of the UdG.

The call for applications for the awards will take place provided that at least five theses have been read during the period of the call, and at least three of the five have earned the *cum laude* mention. If the number of theses for a calendar year in a doctoral programme is less than five, or the number of theses receiving the mention *cum laude* is less than three, the submitted theses will be accumulated over the following year or years (maximum of five) until a number is reached that allows the awards to be given.

If the number of theses aspiring to an extraordinary award on a given doctoral programme exceeds ten, a further award can be granted for each ten theses or fraction thereof.

2. All the doctoral theses with the mention of *cum laude* read during the period established by the call may be considered for the award.

3. For awards to be granted, the following will be assessed, among others: thesis-related publications, patents and knowledge-transfer activities, the impact of the research in its field, doctoral research stays and the international nature of the degree.

Each Academic Committee will make a proposal for criteria to scale each of the merits mentioned in the preceding paragraph and any additional merits it considers it justified to add. The Commission will also establish the minimum mark threshold to obtain the extraordinary award. The criteria scale will be made public at the moment of the call.

4. The examining boards which will grant the awards are approved by the Delegate Committee for Research, Transfer and Doctoral Degrees at the proposal of the Management Committee of the Doctoral School, appointed by the rector.

5. The examining board will be made up of five members: a president, a secretary and three members, who must be teaching and research staff (PDI) with a doctorate and currently directing a research area or the equivalent. An alternate will also be named. Neither thesis

supervisors who aspire to the awards nor co-authors of publications arising from these theses may form part of the examining boards.

Article 14. Doctor Honoris Causa from the University of Girona

1. The UdG may award the title of Doctor *honoris causa* to relevant people in academic, scientific or cultural fields that it wants to distinguish in a special way.

2. The granting of this title represents recognition by the University:

- a) of the value of the candidates' contribution to science, to the progress of knowledge or artistic and cultural creation.
- b) of the demonstration of mastery in their specialised field.
- c) of the scientific and personal relationship with the UdG and of their projection in our cultural field.
- d) of their human values (their attitude towards the important themes of humanity, their consideration and love for our country, etc.).

3. The Governing Council will award the title of Doctor *honoris causa*. Given the exceptionality of this figure, the Governing Council will not grant more than three awards of Doctor *honoris causa* in one year. The granting of the title will take gender perspective into consideration.

4. Teaching centres and research departments and institutes can present one candidate each year. Once the candidate has been nominated, two years must have passed before they can present another.

5. The initiative to grant the award should come from the rector, the teaching centre, or a research department or institute of the University, and, unless the initiative comes from the rector, should be backed by an absolute majority of the members that make up the governing committee of the teaching centre or the council of the department or institute.

6. Apart from the scientific value of the candidate, the teaching centres and research departments and institutes should consider the aspects mentioned in section 14.2.

7. The proposal will be raised by the dean of the faculty, the director of the school or the director of the department or institute to the Governing Council of the University, accompanied by the certificate of the vote referred to in section 14.5 of this article and a report justifying the merits of the candidate regarding the aspects mentioned.

8. The Governing Council will ask the Doctorate School to value the academic, professional and personal profile of the candidate and, based on the report from the Doctorate School, will decide whether this highest academic degree can be awarded or not.

9. No one who has been a member of staff of the UdG for the last 10 years can be proposed as Doctor *honoris causa* from the UdG.

11. The degree of Doctor *honoris causa* will be awarded in a formal academic ceremony.

12. Those persons who have received the title of Doctor *honoris causa* from the UdG will become honorary members of the university community.

Transitory provisions

First

While the procedures referred to in articles 8.4.3, 8.7.2 and 8.8.2 and any other electronic procedure involving the submission of texts and documents to the University's electronic registry are not operative in the University's Electronic Office, they will continue to be performed via the conventional route and the submission will be made by means of the attendance register, in accordance with its governing regulations. While the UdG's Electronic Registry is not operative for the submission of doctoral theses in the manner envisaged in article 8.8, the procedure for submitting the doctoral thesis will be as follows:

Once the review procedure of the doctoral thesis has ended, the doctoral student may proceed to formally submit the thesis. To make the submission effective, the doctoral student should submit a standardised application to the Doctoral School via the University Registry, including an authorisation to use the electronic CV extracted from the CV management application in force at the UdG, accompanied by the following documentation:

- a) A complete copy of the doctoral thesis in paper format, hand-signed by the doctoral student.
- b) The complete electronic file of the doctoral thesis, in PDF format, or in any of the other formats accepted by the University, preferably signed by means of any certificate admitted by the University of Girona or in duly labelled physical format, signed by the doctoral student.
- c) The doctoral student's reply to the formal or format-related changes requested by the Academic Committee and the anonymous reports issued by the experts, setting forth his or her position regarding the content of the reports received and clearly indicating the modifications made to the doctoral thesis. This document should be signed by the doctoral student and the thesis supervisor or supervisors.
- d) A favourable report from the thesis supervisor or supervisors with the approval of this submission.

Second

The electronic production, signature and submission for registration of texts and documents before the University of Girona in relation to the procedure for registration, review, submission and defence of the doctoral thesis will be in keeping with that established in the order the general secretary will issue prior to 1 July 2020. The Electronic Register of the UdG will also need to be operational as of 2 October 2020 for the planned procedures in articles 8.4.3, 8.7.2 and 8.8.2.

Repeal provision

The regulations governing the coordination of doctoral teaching at the University of Girona (approved by the Governing Council at its meeting No. 3/12, held on 26 April 2012, and its subsequent amendments) is repealed, together with the academic regulations on doctoral studies at the UdG (approved by the Governing Council at its meeting No. 3/09 held on 2 April 2009, and subsequent amendments), and anything in contravention of this regulation.

Final provision

These modifications will come into force on the day following its publication in the Official Journal of the UdG.