

## **REVISED TEXT OF THE ACADEMIC REGULATIONS OF DOCTORAL STUDIES AT THE UNIVERSITY OF GIRONA**

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## Preamble

The present academic regulations, linked to RD 99/2011, of 28 January, which regulates official doctoral studies, are based on a revision of all the regulations for doctoral studies at the UdG in order to simplify them and facilitate knowledge of them. Thus, the procedure for obtaining the doctoral degree at the University of Girona is regulated and other existing partial regulations are repealed, resulting in a better systematization. This purpose of this simplification is not only present in the regulatory development, but also in the procedure for revision and deposit of the doctoral thesis.

The regulations include some fundamental changes and some changes regarding the reading procedure. The aim is to promote the internationalization of doctoral studies at the University of Girona with the promotion of co-supervision and the international and industrial mention of the doctoral degree. The figure of the thesis director, with active research premium, is established as a requirement. The process of reviewing the doctoral thesis will be carried out by two anonymous external reviewers belonging to two different institutions and, in the event of disagreement, a third report will be requested. The defence of doctoral theses by videoconference is incorporated, gender equality is favoured in the composition of the thesis tribunals and the conflict of interests in the courts is regulated. Doctoral students with long-term sick leave are exempt from enrolment and monitoring. The electronic deposit of the doctoral thesis and the electronic voting of the mention “*cum laude*” are regulated. The requirement for a positive assessment of a follow-up report to initiate the review of the doctoral thesis is added. The embargo on the publication of the thesis is regulated for reasons of intellectual or industrial property. Finally, the regulations are adapted to the UdG guide for non-sexist use of the language. The criteria for the award of extraordinary doctoral awards are also established.

## Article 1. Purpose

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

## Article 2. Access and admission

### 2.1. Access and admission requirements

People may access the doctoral studies when they meet the access requirements established in the current regulations and, where applicable, the additional admission requirements approved by the Academic Committee of each doctoral programme, which will appear in the verification report of the corresponding programme.

### 2.2. Submission of applications

To access doctoral studies, it will be necessary to submit an application for admission to the Doctoral School, by the established electronic means, specifying to which line of research of the programme the person wants to be admitted, and attach the required documentation for access and admission.

### 2.3. Evaluation of applications

1. The Academic Committee of each doctoral program will establish the procedure for selecting and

admitting students, evaluate the applications and decide the admission to the doctoral programme.

2. If the demand for places for a doctoral programme exceeds the offer, applications will be prioritized in accordance with the evaluation criteria established in the doctoral programme verification report.

3. The Academic Committee may request the admitted students to carry out training activities, in accordance with the verification report of the doctoral programme.

### **Article 3. Enrolment**

1. Students admitted to the doctoral program must enrol each academic year in the Doctoral School, within the dates and in the manner established by the University.

2. Students must formalize the enrolment in the academic year for which they have been admitted, otherwise admission will be void and they will have to reapply. From the second enrolment, the doctoral student will not be enrolled if he / she does not formalize the enrolment within the established dates and in the established manner.

3. In the case of interuniversity doctoral programmes, the enrolment procedure established in the agreement signed between the institutions will be followed. In addition, these regulations will still apply.

### **Article 4. Duration and dedication of doctoral studies**

1. The duration of doctoral studies is a maximum of three years, full-time, from the time of enrolment until the deposit of the doctoral thesis. If, after the aforementioned period of three years, the application for the deposit of the thesis has not been submitted, the Academic Committee responsible for the programme may authorize the extension of this period for another year, which, exceptionally, may be extended to another additional year, under the conditions established in the corresponding doctoral programme.

2. The Academic Committee of the doctoral programme may authorize the completion of part-time doctoral studies. In this case, the duration of the studies will be five years, counting from the time of enrolment until the deposit of the doctoral thesis. If, after this period, the thesis deposit application has not been submitted, the Academic Committee responsible for the programme may authorize the extension of this period for two more years, which, exceptionally, may be extended to another additional year, under the conditions established in the corresponding doctoral programme.

Students who have started full-time studies may apply to the Academic Committee of the doctoral programme, in a justified manner, for a change to part-time dedication. The Academic Committee must issue a reasoned report accepting or refusing the change of dedication within 15 working days.

3. For the purposes of calculating the previous period, sick leave, pregnancy or any other cause provided for by current regulations are not taken into account.

The doctoral student can also apply for temporary leave of absence from the programme for a maximum period of one year, which can be extended up to one more year. This application must be justifiably addressed to the Academic Committee responsible for the programme. The Academic Committee must decide on the result of the application within a maximum of 15 working days.

When a doctoral student has a leave of absence granted by the Academic Committee for 5 or more months within the same academic year, it is not necessary to enrol in that course and, therefore, he / she will not have to present the monitoring of that course in order to enrol in the next.

If the student is granted leave once already enrolled, he / she will need to apply for cancellation in order to receive the aforementioned conditions.

4. For students who are in the second extension of the doctorate, the deadline for submitting the doctoral thesis is non-extendable.

5. Full-time doctoral students enrolled with special educational needs (due to a 33% minimum degree of disability) will have the same deadlines for completing the thesis as those established for part-time doctoral students.

## **Article 5. Expiry of the maximum duration of doctoral studies**

Students who exceed the maximum duration of doctoral studies and, where applicable, the corresponding extensions, will be permanently excluded from the doctoral programme in which they have enrolled and this will make it impossible to continue their studies in this programme. However, they will be able to request access and admission to another doctoral programme at the UdG in the following academic year, presenting a new thesis project with a new tutor and new supervisors. If they want to apply for access and admission to the same doctoral programme, they must have completed a full academic year, and submit a new thesis project with a new tutor and new supervisors.

## **Article 6. Assignment of thesis tutor and supervisor**

### **6.1. Thesis tutor**

1. Once the admission has been confirmed, the Academic Committee of the doctoral programme will assign a tutor to each doctoral Student. The tutor will be a full-time professor of the UdG with a doctoral degree, with a current research premium and with a link to one of the research lines of the programme. Researchers who are not legally able to apply for research premiums must have merits equivalent to those required in each field to obtain a research premium. Emeritus professors cannot be appointed thesis tutors; although they will be able to exercise their function until the end of the theses they were tutoring at the time of their retirement.

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

2. The Academic Committee of the doctoral program may establish additional requirements for being a thesis tutor. Likewise, the Academic Committee, if it deems it appropriate, may assign the tutoring of doctoral theses to full-time UdG professors with a doctoral degree who are considered active researchers even if they do not have a current research Premium, as long as they have directed or co-directed a minimum of three defended theses or have three recognized research premiums.

3. It is the tutor's responsibility to ensure the doctoral student's interaction with the Academic Committee, and to assist him / her in monitoring the activities he / she carries out, through the revision of the doctoral student's activity document (DAD). In general, to ensure that all the academic aspects that affect the production, presentation and defence of the doctoral thesis are developed suitably.

4. The tutor who, during the production of the thesis, ceases to have a live research premium will be able to exercise his / her function until the end of the thesis, but will not be able to be appointed as a tutor of new theses.

### **6.2. Thesis supervisor**

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

2. The thesis supervisor will be a doctor with accredited research experience, regardless of the university, centre or institution in which he / she provides his / her services. UdG researchers have accredited research experience if they have a current research premium; UdG researchers who are not legally able to apply for research premiums will have to prove equivalent merits. Researchers external to the UdG must have merits equivalent to those required of UdG researchers.

3. A supervisor who, during the production of the thesis, ceases to have a current research premium may exercise his / her function until the end of the thesis, but may not be appointed to supervise new theses, except in the case provided for in next section.

4. The Academic Committee of the doctoral programme may establish additional requirements to be a thesis supervisor. Likewise, the Academic Committee, if it deems it appropriate and in a justified manner, may assign the supervision of doctoral theses to full-time UdG professors with a doctoral degree who are considered active researchers even if they do not have a current research premium. However, they must have supervised or co-supervised a minimum of three defended theses or have three recognized research premiums.

5. The thesis supervisor is responsible for guiding the doctoral student in the research activities leading to the completion of the doctoral thesis, the coherence and suitability of the training activities, the impact and novelty of the subject of the doctoral thesis in his / her field, and of the guiding in the planning and its adaptation to other projects and activities to which the doctoral student is linked. The thesis supervisor will monitor the doctoral student's activities through the DAD review.

### **6.3. Co-supervision of the thesis**

1. The doctoral thesis may be co-supervised by a maximum of three supervisors for academic reasons, such as thematic inter-disciplinarity or programmes executed in national or international collaboration, at the request of the doctoral student and the supervisor, and with the authorization of the Academic Commission of the doctoral programme. This authorization may be revoked later if, in the opinion of the Academic Committee, the co-supervision does not benefit the development of the thesis.

2. If the thesis is co-supervised, at least one of the supervisors must have a current research premium or, in the case of external researchers, equivalent research experience, and the others may be active researchers in accordance with UdG regulations, 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 the supervisor, with a prior hearing from all of them, may change the tutor or the supervisor of the doctoral thesis, provided there are justified reasons.

## **Article 7. Supervision and monitoring of the doctoral student**

### **7.1. Doctoral student activity document (DAD)**

1. Once enrolled in the programme, the DAD will be produced for each doctoral student, which is an up-to-date register of all the training and research activities carried out within the framework of the doctoral programme they are studying. This document will be in the current curriculum management application at the UdG. The doctoral student has the obligation to keep his / her DAD up to date.

2. This document will be regularly reviewed by the tutor and the thesis supervisor and evaluated by the Academic Committee responsible for the doctoral programme.

### **7.2. Thesis commitment**

The doctoral student, the rector or person to whom he / she delegates, the tutor and the thesis supervisor or supervisors will sign a thesis commitment in which the supervisory functions of the doctoral students will be established. This commitment, which must be signed once the thesis supervisor or supervisors have been appointed, must include the dispute resolution procedure and must provide for the aspects relating to intellectual or industrial property rights that may arise in the areas of the doctoral programmes.

### **7.3. Assessment of the doctoral student**

The Academic Committee of the doctoral programme will annually evaluate the document of activities and the research plan of the doctoral student, together with the reports that for this purpose must be issued by the doctoral student, the thesis supervisor or supervisors and the tutor, according to the models established by the Doctoral School. A positive evaluation is a prerequisite for continuing in the programme. In the event of a duly motivated negative evaluation, the doctoral student will be re-assessed within a maximum period of six months, and for this purpose, he / she will have to draw up a new research plan. If the evaluation is again negative, the doctoral student will be permanently removed from the programme.

## **Article 8. Doctoral thesis <sup>\*</sup>**

### **8.1. Registration**

Students enrolled in the doctoral program must sign the thesis commitment. They may request, in a justified manner at this time, the completion of the thesis, part-time.

## 8.2. Content

1. The doctoral thesis must be an original research work, in one of the lines of research of the doctoral programme, exclusively authored by the doctoral student.

2. The doctoral thesis can be a monograph or a compendium of accepted or published publications, the result of the doctoral student's own research and of which he / she is the main author. All the publications that make up the thesis must have been accepted or published after the first enrolment in the doctoral program and belong to the same line of research.

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

## 8.3. Language

The thesis can be developed and defended in any of the usual languages of scientific communication in the corresponding field of knowledge. In the event that the language of writing and defence of the thesis is not Catalan, Spanish or English, it will be necessary for the doctoral student to inform the Academic Committee of the doctoral programme in advance.

## 8.4. Co-tutoring

1. A doctoral thesis can be co-tutored between the UdG and another foreign university, through an agreement, with the aim of creating and developing scientific cooperation between research teams of both institutions and promoting the mobility of doctoral students. The minimum length of stay at each of the universities may not be less than 6 months, and may be carried out in a single period or various periods.

2. It is the responsibility of the Academic Committee of the doctoral programme to authorize the co-tutoring of doctoral theses.

3. The thesis may be defended at any of the universities participating in the co-tutoring. The defence of the thesis will be made following the regulations of the university where it is carried out. This university will issue a single report, in accordance with the regulated documentation of the same university, and send a certified or authentic copy to the other university. In the event that the thesis is not defended at the UdG, once the other University has approved the composition of the panel, the student must present the following documentation to the Doctoral School:

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

b) the authorization to use the electronic CV extracted from the curriculum management application of the UdG,

c) the document approving the composition of the panel by the other university (taking into account that the composition must comply with the legislation applicable to the university where the thesis is defended), and

d) permission to defend at the other university.

4. Before defending the thesis, the Doctoral School must make the aforementioned documentation available to the Academic Committee of the doctoral programme, which must authorize, if it deems it appropriate, the defence of the doctoral thesis at the other University within 30 working days. In the event that the Academic Committee of the doctoral programme does not authorize the reading, the doctoral student will not be able to apply for the doctoral degree from the UdG.

5. With the approval of the Academic Committee of the doctoral programme, and once the thesis has been defended, the supervisor of the UdG thesis must send the Doctoral School a copy of the documentation accrediting its reading. This documentation states the qualification awarded in the system established in the corresponding country, together with the official minutes of the UdG provided by the Doctoral School prior to the defence. In the event that the grade awarded by the panel is the highest possible grade in the system established in the corresponding country, the panel may propose by secret ballot that the thesis obtain the mention of "*cum laude*" by the University of Girona. To this end, the procedure described in article 10 of these regulations will be followed and the mention "*cum laude*" will be granted when the unanimous vote results favourably. The thesis supervisor will be

provided with the link to an application where this vote can take place and will be responsible for sending it to the members of the panel.

6. The payment of the expenses of the members of the panel is the responsibility of the university where the panel sits.

7. Co-tutored students will for all purposes be considered UdG students.

8. A co-tutored thesis may also be eligible for the mention of international doctor, provided it complies with the provisions of section 8.5 of this article.

9. A co-tutored thesis may also be eligible for the mention of industrial doctor, provided it complies with the provisions of section 8.6 of this article.

### **8.5. International mention**

1. The title of doctor may include the words “International doctor” on the reverse, provided that the following circumstances apply:

a) That, during the training period necessary to obtain the doctoral degree, the doctoral student has completed a minimum stay of three months outside Spain in a prestigious higher education institution or research centre, studying or doing research work. This stay can be done in one period or in several periods, which must always total a minimum of three months in the same institution. The stay and activities must be endorsed by the supervisor and authorized by the Academic Committee, and must be incorporated into the DAD.

b) That a part of the doctoral thesis, at least the summary and the conclusions, has been written and presented in one of the usual languages for scientific communication in its field of knowledge, different from any of the official languages in Spain. This rule will not apply when the stays, reports and experts come from a Spanish-speaking country.

c) That the thesis has been reviewed by a minimum of two doctoral experts belonging to a non-Spanish higher education institution or research institute, through an anonymous review process.

If one of the reports issued by the experts states that the thesis is not in a position to be defended, the Academic Committee will appoint a third expert, belonging to 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 notified so that the thesis can be improved and then the review procedure can be restarted, if necessary, as long as it is within the maximum period of permanence in the doctoral programme.

d) That at least one expert belonging to a non-Spanish higher education institution or research centre, with a doctoral degree, and other than the person in charge of the stay mentioned in section a), has been part of the evaluation panel of the thesis.

2. The defence of the thesis must be carried out 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 mention in the doctoral degree will be made at the time the revision of the doctoral thesis is requested. The interested party must provide documentation proving the circumstances described in point 1 of this section, at the time as submitting the doctoral thesis. Proof of the circumstance referred to in subsection a) of point 1 of this section shall consist of a certificate issued by the researcher responsible for the stay.

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

### **8.6. Industrial mention**

1. The doctoral degree may include the mention “Industrial doctorate” as long as the requirements set out in article 15bis of Royal Decree 99/2011, of 28 January, which regulates official doctoral studies, are met.

2. The application for the industrial mention in the doctoral degree will be made at the time the revision of the doctoral thesis is requested. The interested party must provide documentation proving the circumstances described in point 1 of this article at the time the doctoral thesis is submitted.

3. The Academic Committee of the doctoral programme will check if the thesis meets the requirements

to obtain the industrial mention for the title of Doctor.

### **8.7. Revision of the doctoral thesis**

1. To begin the process of reviewing a doctoral dissertation, the doctoral student must have received at least a positive evaluation of his or her research plan and a monitoring report. The last monitoring report submitted must also have been approved, and curricular data entered in the current curriculum management application at the UdG. In order to guarantee the quality of a doctoral thesis prior to the submission of the thesis, the University will follow the procedure established in the following sections.

2. When the doctoral thesis is complete, the doctoral student must request the Doctoral School to begin the process of reviewing the doctoral thesis. To do this, the corresponding application must be accessed, which can be found on the university's website, and entering the Student record. The application must indicate whether it is for the international or industrial mention, or both, in the doctoral degree and whether the thesis is presented as a compendium of publications. The application must be accompanied by the electronic CV taken from the current curriculum management application at the UdG, a statement from the supervisors on the ethical aspects of the doctoral thesis that is being reviewed. The electronic file of the thesis will be attached in PDF format. The doctoral student must also inform if it is a co-tutored thesis or if he / she requests it to be presented confidentially. In the event that the thesis is presented as a compendium of publications, the following documents must also be attached to the application:

a) a report from the thesis supervisor or supervisors indicating the suitability of this format and demonstrating the relevance of the doctoral student's specific contribution to the publications submitted,

b) the acceptance by the co-authors of the publications, if any, that the doctoral student presents them as part of the thesis, and

c) the waiver of non-doctoral co-authors of publications to present them as part of their doctoral thesis.

In order for the review process to continue, the thesis supervisor and the tutor (in the case that all the supervisors are external) must give their approval and state that, as far as their knowledge goes, the thesis faithfully reflects the work carried out by the doctoral student, and has been drawn up in accordance with the Code of Good Practice of the Doctoral School and does not contain plagiarized elements.

3. Subsequently, the Academic Committee of the doctoral programme will check, within a maximum period of five working days from the approval of the thesis director and the tutor, if it meets the requirements established in these regulations, the specific formal requirements for each field, as well as the criteria for the format approved by the Doctoral School Management Committee.

4. The thesis must receive a report from two doctoral experts belonging to two different higher education institutions or institutes or research centres and external to the UdG through an anonymous review process. The experts will be appointed by the Academic Committee of the doctoral programme and must have an active research background or equivalent research merits. In the event that there are publications derived from the thesis, none of the co-authors of the publications may act as an expert in the review of the doctoral thesis. In the case of interuniversity doctoral programmes, neither of these two experts may be part of any of the universities participating in the programme.

5. The reports issued by the experts must refer both to the formal aspects of the doctoral thesis and to its adequacy to the theoretical framework, objectives, methodology, results, discussion, conclusions and references, and they should highlight, where appropriate, the repercussions that the results may have in the scientific and social field. Reports should indicate any issues that should be addressed. Finally, taking into account the aforementioned aspects, the conformity or non-conformity of the presentation and defence of the doctoral thesis must be stated. The Doctoral School guarantees the anonymity of the reporting experts. Experts are remunerated in accordance with the annual budget of the University.

6. The Academic Committee must ensure that the process of issuing reports of the experts is completed within a period not exceeding two months, starting from the day after the date of appointment of the experts.

7. If one of the reports issued by the experts states that the thesis is not in a position to be defended, the Academic Committee will appoint a third expert from by a higher education institution or research institute external to the UdG and 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 notified so that the thesis can be improved and then the review procedure can be restarted, if necessary, as long as it is within the maximum period of permanence in the doctoral programme.

8. The Academic Committee must send a copy of the anonymous reports prepared by the experts to the doctoral student, the thesis supervisor and the tutor. The doctoral student must introduce the modifications proposed in the reports or, if necessary, provide in the response to the reports the reasons why he / she considers that they cannot be incorporated. The aforementioned response must also state the modifications made. This response must be submitted at the time of deposit.

9. In the event that the student aspires to the international mention in the doctoral degree, it is necessary to keep in mind, with respect to external experts, the aspects mentioned in point 8.5 of these regulations.

### **8.8. Submission the doctoral thesis**

1. Once the procedure for reviewing the doctoral thesis has been completed, the doctoral student may submit it, within a maximum period of three months. If this period is exceeded, the procedure will be terminated and the doctoral student, the tutor and the supervisor or supervisors will be informed. In this case, if the doctoral student wants to defend the thesis, he / she will have to start the review process again.

2. The application for the submission of the doctoral thesis will be made by the doctoral student through the corresponding procedure on the university's website. Once the student has identified himself / herself, and entered in his / her record, the following need to be attached:

a) the electronic file of the thesis in PDF format.

b) the editable electronic file with an informative summary (of approximately one page) of the thesis in Catalan and in English with a publishable image representative of the subject of the doctoral thesis.

c) the electronic file of the doctoral student's response to the reports of the Academic Committee, if applicable, and of the external experts, which clearly indicate the modifications introduced to the doctoral thesis.

d) The details of the doctoral student, the summary of the thesis and the UNESCO codes, necessary for the publication after the reading of the thesis in the Xarxa Doctoral Theses (TdX) repository, and the inclusion of the thesis in the TESEO database.

e) To add an international mention to the doctoral degree, it is also necessary to attach the accreditation of the research stay of at least three months in the same higher education institution or research centre outside of Spain, signed by the person in charge of the reception centre or centres.

f) To apply for an industrial mention, in the case of not already being recognized for having obtained an industrial doctorate grant from the Government of Catalonia or the Government of Spain, you must provide documentation proving the circumstances described in the requirements set out in article 15bis of Royal Decree 99/2011, of 28 January, which regulates official doctoral studies.

In order for the submission process to continue, the thesis supervisor and the tutor (in the case that all supervisors are external) must give their approval.

3. By publishing an edict on the notice board of the electronic office, the Doctoral School will open a period for public exhibition of 3 working days, starting from the day after publication. During this period the thesis may be examined at the Doctoral School by anyone who accredits the status of doctor, and within 2 working days, starting from the day following the last day of public exhibition, may present any considerations deemed appropriate to the Doctoral School, which will send them to the corresponding Academic Committee.

4. Once the public presentation period has elapsed, the Academic Committee of the doctoral programme will authorize, where appropriate, the defence of the doctoral thesis, appoint the panel, specifying a president, a member and a secretary, as well as two substitutes.

5. Once the defence has been authorized and the panel has been agreed by the Academic Committee of the doctoral programme, the Doctoral School will notify the doctoral student, the thesis supervisor, the tutor and the members of the panel within five working days. The Doctoral School will send all the members of the panel the electronic copy of the thesis and the rest of the pertinent documentation, together with the notification of appointment. The members of the panel must inform the Doctoral

School of the existence of possible conflicts of interest. The Academic Committee of the doctoral programme will evaluate possible conflicts of interest and, if it deems appropriate, will propose a new panel or replace the affected members with one of the substitutes.

6. Upon notification of the definitive authorization to defend the thesis and the appointment of the panel, the president shall convene the act of the defence. The president must also notify the Doctoral School. This must be done at least 15 working days prior to the date set for the defence. The School will ensure compliance with this deadline. The president will also need to communicate whether the thesis will be defended in person or by videoconference. If it is by videoconference, the doctoral student must submit the relevant application and follow the procedure established by the Doctoral School.

7. In the event that the defence of the doctoral thesis is not authorized, within a maximum period of five working days following the adoption of the decision, the Doctoral School must notify the decision, together with a reasoned report, to the doctoral student, to the supervisor or supervisors and to the tutor of the thesis.

## **Article 9. The panel of the doctoral thesis**

1. The thesis panel will be composed of three full members (a president, a secretary and a member) and two substitute members, all with a doctorate and accredited research experience, appointed by the Academic Committee of the programme. UdG researchers will be considered to have accredited research experience if they have an active research background or equivalent merits. Researchers outside the UdG must accredit research merits equivalent to those required of UdG researchers. The thesis supervisor or supervisors will propose the panel to the Academic Committee of the doctoral programme, justifying the curricular suitability of each of the members.

2. The panel will be made up of a majority of members external to the UdG and to the research institutions to which the supervisor or supervisors belong. Retired professors, professors on leave, special services lecturers and honorary emeritus professors will be considered external members of the UdG, but not emeritus professors contracted by the UdG. An attempt will be made to include a representative of the UdG as one of the members of the panel, or the substitutes. In the case of interuniversity doctoral programmes, the majority of the members of the panel must be external to the universities participating in the programme. In the event that the secretary of the panel is not available to bring the documentation to the Doctoral School, the internal member of the UdG of the panel will assume this task, and will have to be present in the defence of the thesis. External members of the panel must belong to different higher education institutions or research institutes.

3. There must be at least one woman among the full members of the panel. Considering all members, including substitutes, there must be at least two women. If duly substantiated and objective reasons are given, the Doctoral Academic Committee, following a report, may waive compliance with this point.

4. The Academic Committee of the programme will appoint the president, the secretary and the third member, and substitutes from among the members, in accordance with the criteria of suitability derived from the curriculum presented. The president will generally be the doctor with the highest accredited academic or research level. In the event of a member of the panel resigning for just cause, the president shall replace him or her with one of the substitutes.

5. Thesis supervisors as well as the thesis tutor may not be part of the panel. In the event that there are publications derived from the thesis, none of the co-authors of the publications may form part of the panel.

6. If the doctoral student requests the international mention in the doctoral degree, at least one of the members of the panel must belong to a non-Spanish higher education institution or research centre, and must not be responsible for the stay mentioned in section 8.5, subsection 1. a).

## **Article 10. Defence and evaluation of the doctoral thesis [\\*](#)**

1. The maximum period for defending the doctoral thesis is four months from the appointment of the panel. The Academic Committee of each doctoral programme may authorize an extension of this period when unforeseen justified causes occur. The president of the panel must convene the act of defending the thesis.

2. In general, the defence of the doctoral thesis must be in person and must be done in public session in any UdG centre or research institute affiliated to the UdG or mixed research institute with UdG participation, within the academic period established for the reading of theses and on a working day. In order to be able to start the defence of the thesis, the presence of all the members of the panel and the doctoral student will be required.

3. If authorized by the President of the Academic Committee, the act of defence and qualification of the doctoral thesis may be done with the participation of one or all mandatory attendees (panel, doctoral student) by non-face-to-face means (synchronous videoconference). This must be in accordance with the procedure established by the Doctoral School, to the extent that the means necessary for the proper functioning and assurance of the academic quality of the defence of the thesis are guaranteed, as is the public session of the act, without prejudice to the provisions of Article 12 regarding theses with confidential content.

4. If the doctoral student does not attend the thesis defence without justified reason, it will be recorded in the corresponding report with the qualification of "fail".

5. If the defence cannot be carried out due to any justified circumstance, the president may make a new call for the defence of the thesis. This must be made within a maximum period of 15 working days, and the date of the new call communicated to the Doctoral School at least two working days in advance.

6. The act must consist of the doctoral student's presentation of the research work carried out, the methodology used, the results and the conclusions, with a special mention of their original contributions.

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

7. Once the defence and discussion of the doctoral thesis has been completed, the court will produce a written assessment report. The panel will award an overall grade to the thesis according to the following scale: "fail", "pass", "very good" and "excellent". The members of the panel may propose that the theses rated as "excellent" be awarded "*cum laude*" by secret ballot, in accordance with the following procedure:

a) The Doctoral School will provide the secretary of the panel with the minutes and all the documentation for the defence of the thesis and a link to an application where each member of the panel will cast their vote in relation to the awarding of the mention "*cum laude*", individually and secretly, before 10 am on the working day following the day on which the thesis is defended.

The secretary will send the minutes of the defence of the thesis with the original handwritten signatures to the Doctoral School. The minutes can only be sent electronically if all the signatures of the members of the panel are digital. Reports signed by each of the members of the panel will also be sent. These may be electronically signed or with an original handwritten signature.

The secretary of the panel will ensure that each member of the panel has voted whether or not to award the mention "*cum laude*".

b) The Doctoral School will scrutinize and record the result of the vote in a report signed by a representative of the academic secretariat and the director of the Doctoral School.

c) The mention "*cum laude*" will be granted when the results from the scrutiny of the votes cast are unanimous. The minutes of the scrutiny of the votes cast by the members of the panel shall be kept together with the other documentation generated by the act of defence and evaluation of the thesis.

d) The Doctoral School will communicate to the interested party the final grade resulting from the scrutiny; it will also send a copy to the thesis supervisor or supervisors and to the members of the panel.

## **Article 11. Publication and archiving 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 cataloguing and subsequent incorporation, in open access, into the TDX

repository (Tesis Doctorals en Xarxa), and

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

2. In cases where, in accordance with the provisions of article 14.6 of Royal Decree 99/2011, of 28 January, the Academic Committee has provided for the possibility of partially restricting the publication of the thesis, the doctoral student must inform the Doctoral School and must provide an electronic file of the thesis, in PDF format or in one of the other formats accepted by the University, in which the aspects that are the subject of special protection have been removed.

3. The doctoral student may request the director of the Doctoral School to withhold the publication of the thesis for reasons of intellectual or industrial property for a period of 6 or 12 months up to a maximum of 24 months. After 24 months, unless communicated otherwise, the full text of the thesis will be published.

### **Article 12. Procedure for authorizing, reading and publishing doctoral theses from the University of Girona that are subject to data protection processes or the transfer of technology or knowledge**

1. The Doctoral School will provide a standard application form that the doctoral student must submit to the UdG Registry, together with the confidentiality commitments and, where applicable, the confidentiality agreements signed with companies.

2. If there is a possibility of generating patents, the Doctoral School, at the request of the doctoral student or the supervisor or supervisors, will request a report from the UdG's Office of Research and Technology Transfer. This must be issued within 15 working days.

3. The Academic Committee, with the report from the Office of Research and Technology Transfer, will resolve the doctoral student's application, within a maximum period of 15 working days from the day following the date of receipt by the Registry. The application will only be accepted when it is proven that secrecy is essential for the success of the protection or transfer process. The coordinator of the Academic Committee will notify the agreement to the doctoral student, the supervisor or supervisors of the thesis and the tutor.

4. Members of the Academic Committee of the doctoral programme, experts external to the UdG who review the thesis and members of the panel who judge it, will be expressly warned that the thesis is subject to protection or transfer processes. They will have access to the full version of the doctoral thesis but will be required to maintain absolute secrecy and confidentiality about its contents. Before having access to the thesis, each of the people mentioned will deliver the corresponding confidentiality commitment to the Doctoral School, duly signed, for the period of time necessary to protect the work.

5. Before concluding the defence of the doctoral thesis, the president of the panel may request the audience present to leave the room if they consider that the panel should ask the doctoral student questions about confidential aspects of their doctoral thesis.

6. If the doctoral student considers that the answer to any of the questions from the panel may reveal data and information that may be considered confidential information, he / she may request the president to answer the question in the second part of the defence, when there is no public present in the room.

7. The publication of doctoral theses in the TDX will be carried out, where applicable, when the process of protection and transfer of knowledge has been completed. The doctoral student will duly communicate this situation to the UdG.

### **Article 13. Extraordinary doctoral awards**

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

Prizes will be awarded as long as at least five theses have been read within the stipulated period, and at least three theses have received the mention "*cum laude*". If the number of theses for a calendar year in

a doctoral programme is less than five, or there are not three theses that have obtained the mention "*cum laude*", this number is added to that of the following year or years, to a maximum of five courses or years, until a number is reached that allows the prize to be awarded.

If the number of theses aspiring to an extraordinary prize in a given doctoral programme is greater than ten, another prize may be awarded for every ten more theses or fraction of ten.

2. All doctoral theses with a "*cum laude*" mention that have been read during the stipulated period can be entered for the prize.

3. To be awarded a prize, the following will be valued, among others: the publications derived from the thesis, the patents or activities of knowledge transfer, the impact of the research in its field, the doctoral research stays carried out and the international mention.

Each Academic Committee will propose the grading criteria for each of the merits mentioned in the previous paragraph and the additional merits that it considers justified to add. The Commission will also set the minimum scoring threshold in order to obtain the extraordinary prize. The grading criteria will be made public at the time of the call.

4. The Delegate Commission for Research, Transfer and Doctorate approves the juries that award the prizes at the proposal of the Management Committee of the Doctoral School and appointed by the rector.

5. The composition of each jury will be five members: a president, a secretary and three members, who must be teaching and research staff who hold a doctorate with an active research premium or equivalent. A substitute will also be appointed. The supervisors or tutors of the theses aspiring to the award and the co-authors of the publications derived from these theses may not be members of the jury.

## **Article 14. Doctor Honoris Causa from the University of Girona <sup>\*</sup>**

1. The UdG may confer the title of doctor honoris causa to people in the academic, scientific and cultural field who it wishes to distinguish in a special way.

2. The awarding of this degree means recognition by the University:

a) of the value of the person for their contribution to science, to the progress of knowledge or to cultural and artistic creation.

b) of their projection of mastery in their specialised field.

c) of their scientific and personal relations with the UdG and of their projection in the field of our culture.

d) of their human values (such as their attitude towards the great issues of humanity, their consideration and love for our country, etc.).

3. The Governing Council is the body that awards the title of doctor honoris causa. Due to the exceptional nature of this figure, the Governing Council may not award more than three honorary doctorates in a year. The gender perspective is taken into account in the awarding of the degree.

4. Teaching centres and research departments or institutes may present a candidate each year. Once the candidate has been nominated, they will have to wait two years to present another candidate.

5. The initiative for the award must come from the rector, a teaching centre or a department or research institute of the University. Unless the initiative comes from the rector, it must be defended at least by the absolute majority of the members that constitute the Managing Commission of the educational centre or the Council of the department or institute.

6. In addition to the scientific value of the candidate, teaching centres and research departments and institutes must take into account the aspects mentioned in section 14.2.

7. The proposal will be submitted to the Governing Council of the University by the dean of the Faculty, by the director of the School or by the director of the department or institute, accompanied by the voting certificate provided for in section 14.5 of this article and by a justifying report that outlines the merits of the candidate in relation to the mentioned aspects.

8. The Governing Council will ask the Doctoral School to assess the academic, professional and personal profile of the candidate and, based on the report of the Doctoral School, will agree on the awarding or not of this maximum academic degree.

9. No one who has been part of the UdG staff for the last 10 years may be nominated as an honorary doctor of the UdG.

10. The conferment of the degree of doctor honoris causa will be made during a formal sitting.

11. People who have received the title of doctor honoris causa from the UdG will become honorary members of the university community.

## **Transitional provisions**

### **First**

As long as the procedure referred to in article 8.8 is not operational in the doctoral students' file, the thesis will be submitted through the procedure agreed by the Management Committee of the Doctoral School of the University of Girona in session 3/2021, of 10 May 2021, establishing the procedure for the submission of doctoral theses while the corresponding procedure is not operational.

### **Repeal**

The regulations for the organization of doctoral university studies at the University of Girona (approved by the Governing Council in session 3/12, of 26 April 2012, and their subsequent modifications), the academic regulations for doctorate studies at the UdG (approved by the Governing Council in session no. 3/09, of 2 April 2009, and its subsequent modifications) and everything that opposes these regulations are repealed.

### **Final provision**

These modifications will enter into force the day after the publication of the Revised Text of the Regulations for the Organization of Doctoral Studies at the University of Girona in the Official Gazette of the University of Girona.

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\* The numbering has been corrected with respect to the regulations published in the BOU (Official Gazette). The BOU will also be corrected shortly.