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Agreement of the Governing Council of 4 May 2016, approving the amendment of Regulation UCA/CG06/2012 of 27 June 2012, which regulates the organization of doctoral studies at the University of Cadiz.

At the proposal of the Vice-Rector for Planning, the Governing Council, in its ordinary session of 4 May 2016, in point 14 of the Agenda, approved by assent the amendment of Regulation UCA/CG06/2012 of 27 June 2012, which regulates the ordering of doctoral studies at the University of Cadiz, whose integrated version is published below:

Regulation UCA/CG06/2012 of 27 June 2012, which regulates the organization of doctoral studies at the University of Cadiz (Approved by agreement of the Governing Council of the University of Cadiz in the extraordinary session held on June 27, 2012; modified by agreement of the Governing Council of the University of Cadiz, in the session held on May 4, 2016)

Consolidated text (in force), drawn up pursuant to the third paragraph of the first final provision of these Regulations

# **PREAMBLE**

The consolidation of the European Higher Education Area in Europe is based, among other things, on the correct definition of the educational offer of the universities. This offer is made up, on a first level, of the base provided by degree qualifications and, later, on a second level, of "postgraduate studies," a category made up of masters and doctoral studies.

The Organic Law 6/2001 of 21 December, on Universities, determines that doctoral studies, corresponding to the third cycle of university studies, lead to a Doctorate degree, which is official and valid throughout Spain. It also states that such studies shall be organized and carried out in the manner determined by the statutes of the universities, in accordance with the criteria approved by the Government for obtaining the doctoral degree, following a report from the Council of Universities.

Royal Decree 99/2011, of 28 January, which regulates doctoral studies, provides the specific framework for organizing such studies, which is an essential foundation for the consolidation of the so-called "knowledge-based society," placing them at the intersection of the European Higher Education Area and the European Research Area. These studies should also characterize the university, since part of the integral university education requires training in research, both doctoral and, in due course, post-doctoral. Mobility is also one of the key elements in the organization of university education in general, and of doctoral education in particular. Doctoral studies have the vocation to become a key element in the policy of

consolidating a sustainable economy. In this way, the qualified participation of universities in the generation and transfer of R&D&I is required, acting in close cooperation with other bodies and institutions. Research is, therefore, a key element in increasing employability since doctors must play a leading role in the development of a new production model based on knowledge, research, and innovation.

Since research is conceived as an integral part of university higher education, participants in doctoral programs should be considered not only as university students but also as researchers in training.

This is the perspective already defined in Royal Decree 63/2006, of 27 January, which approved the Statute of research personnel in training.

For all these reasons, the institutional strategies in R+D+i of the universities must place the doctorate at the center of their perspectives, planning, and actions. The regime that each university, in the exercise of its own autonomy, determines for these studies must allow for a wide range of flexibility in the organization of the doctorate, while also fostering high levels of quality, internationalization, innovation, recognition, transfer, collaboration with other institutions and mobility of studies and researchers. These principles are to be projected both in the pre-doctoral phase and during the development of the doctoral stage in the strict sense and, finally, after the conclusion of the doctorate, in the performance of research activity by the doctor.

Royal Decree 99/2011, of 28 January, in line with European recommendations (Berlin Communiqué of 2003, Bergen Conference Communiqué of 2005, Salzburg Meeting-Seminar of 2005), includes for the first time in our legislation the creation of the so-called Doctoral Schools, a model of doctoral training based on universities, although integrating the collaboration with other bodies, entities, and institutions involved in R+D+i, both national and international. The belonging of the University of Cadiz to different Campuses of International Excellence (CEI) will favor its participation in doctoral schools created under the protection of the same and will demand, in some cases, an orientation in the definition of the model, so that it responds to the specialties of our research and that of the collaborating institutions that characterize its development. The ERC model does not exhaust the regime of the centers that organize university research. Thus, additionally, the creation of a multidisciplinary or interdisciplinary Doctorate School of the University of Cadiz is contemplated. The definition of these centers constitutes a priority of the University of Cadiz since they will allow the order of the criteria and the adequate strategic lines to ensure the effectiveness of the synergies that can be established between the different doctorate programs, as well as the interaction and the transversal training of the doctorate students belonging to different areas of specialization. In any of the cases, in addition, these centers will be able to house the set of generalist doctoral programs that are offered under the protection of the Royal Decree 99/2011. However, the complexity of their regime and the convenience, where appropriate, of adapting them to the agreements that may be adopted with other universities or institutions are circumstances that make it advisable to regulate them in other specific regulations.

The new national legal framework also strengthens the role of supervision and monitoring of doctoral activities in terms of the objectives of doctoral programs. The institutions that manage the programs themselves, through their Academic Committees and the figure of the

Program Coordinator, and, where appropriate, the Doctoral Schools, are jointly responsible for verifying these objectives through various mechanisms.

Another of the novelties introduced by the new legal framework is the provision that the courts in charge of evaluating Ph.D. thesis must be made up mostly of doctors from outside the university to which the thesis is assigned in each case through the corresponding doctoral program, and the institutions collaborating in the programs. The norm also contemplates aspects related to the protection of confidential data and the guarantee of possible patents derived from the research work. Furthermore, it establishes the possibility of including the mention of "International Doctor" in the title and contemplates deadlines for the reading of the thesis, if applicable, taking into account the full-time or part-time dedication of the doctoral student.

The Regulations also contemplate the basic regime for the mention of the industrial thesis, a research model that, linking the training of doctors at the university, according to verified academic programs, and the needs and opportunities that companies allow, evidence and values the connection between the university and the productive fabric. In this way, the results derived from the industrial thesis will directly benefit the business and institutional environment of the University of Cadiz, participating directly in the transfer activity that characterizes the university.

The relevance of the legal developments, on the one hand, and the mission that is entrusted to the university in relation to the training of its researchers and its production, on the other hand, evidence the need to develop specific regulations of the University of Cadiz that regulate the official doctoral programs, facilitate the proposal and organization of doctoral programs and orient them towards the strategic objectives of the institution. The internal procedures that guarantee the application of the criteria defined in this regulation and the organization of the means available must be defined. These points, which are nothing more than the concretion of the principles designed in these regulations, are entrusted to the development that is sought from the competent vice-rectorate in the matter.

Finally, the proposed reform seeks the complete alignment of the basic regulations on doctoral training with the provisions of the II Strategic Plan of the University of Cadiz (2015-2020), which specifically provides, through the line of action 1.3, to strengthen the Doctoral Schools. In order to address this line of action, it provides for the development of the following actions:

- AP.01.03.01. To complete the design of the educational offer of the Doctorate Schools, distinguishing the basic and stable offer, the seasonal offer, and the specialized offer.
- AP.01.03.02. Promote the Doctoral Schools as qualified centers for research and doctoral training.
- AP.01.03.03. Supporting inter-institutional and international doctoral programs.

In addition, the II PEUCA contemplates the promotion of the interconnection between research and the productive fabric (L.A.05.01) by means of different actions, among which we can highlight the strengthening of the program of Ph.D. thesis in companies in a bidirectional way (AP 05.01.03).

For all of which the following is provided.

#### **PRELIMINARY TITLE**

#### **General Principles**

#### Article 1. Purpose and scope

Doctoral studies at the University of Cadiz will be governed by the provisions of current legislation, as well as by the provisions of the Statutes of the University of Cadiz and the rules of development and application approved by its Governing Council and by the competent bodies in the field.

By virtue of the legitimacy thus defined, the purpose of this Regulation is to regulate the organization of doctoral studies corresponding to the third cycle of official university education at the University of Cadiz, in the basic framework established in Article 38 of the Organic Law of Universities and Royal Decree 99/2011 of 28 January, which regulates the official doctoral education.

#### Article 2. 9 Strategy on research and doctoral training of the University of Cadiz.

- 1. The University of Cadiz establishes among its main functions the creation, development, transmission, and criticism of science, technology, and culture, seeking the integration of its results in the inherited intellectual heritage. Likewise, the University of Cadiz declares as one of its priority objectives to promote research as an indispensable foundation of university teaching and as an essential activity for the cultural, scientific, and technical progress of society.
- 2. To achieve these aims and objectives, the University of Cadiz will develop and consolidate its strategic actions in research based on the following lines of action:
- a) The incorporation of pre-doctoral and post-doctoral researchers to the University of Cadiz.
- b) The support to young researchers for the development of their scientific career.
- c) The improvement of research management.
- d) The promotion of research of consolidated groups, without prejudice to the support required by other research units.
- e) Encouraging the creation of new research teams.
- f) The promotion of the creation of doctoral programs and doctoral schools.
- g) The promotion of the transfer of knowledge and research results to society.
- 3. In the set of actions aimed at promoting research, the University of Cadiz will aim to achieve the degree of excellence in all actions developed.
- 4. The doctoral training at the University of Cadiz is established as a basic vehicle through which to achieve its objectives of the research strategy, constituting the point of integration between the European Higher Education Area and the European Research Area. The final objective of this strategy is to improve the results of the University of Cadiz in the area of research, seeking the best positioning of the University of Cadiz in the group of national universities and its environment of reference.
- 5. The research strategy of the University of Cadiz will preferably attend to the orientations derived from its participation in the campuses of international excellence in which it

participates or leads, to the integration in its planning of research of other universities or institutions, public or private, national or international, with which specific agreements are reached, outside the framework offered by the Campuses of International Excellence. This strategy will be established without prejudice to the essential attention to the interests and research activities that, outside these areas, integrate the global research activity of the University of Cadiz.

# Article 3. Organization of the doctoral studies

- 1. The planning and supervision of doctoral studies at the University of Cadiz are entrusted to the Doctoral Committee of the University of Cadiz, acting as a delegated committee of the Governing Council of the University of Cadiz in the terms provided in its Statutes. This committee will also assume the functions that this regulation or its operating regulations entrust to it, under the terms agreed by the Governing Council of the University of Cadiz.
- 2. The organization and management of the teaching leading to the achievement of a doctoral degree by the University of Cadiz correspond to the doctoral schools, constituted as centers of the University of Cadiz under the provisions of Royal Decree 99/2011, of 28 January, which regulates the official doctoral education, in the terms provided in the Statutes of the University and the rules of its creation.

The fundamental objective of the doctoral schools is to organize, within their management scope, the doctorate in one or several branches of knowledge or with an interdisciplinary character.

- 3. The University of Cadiz may create jointly with other universities and/or in collaboration with other organizations, centers, research institutes, institutions, and entities with R+D+I activities, national or foreign, doctoral schools. Its regime of operation will be contained in the agreements and other rules that regulate its creation that, in any case, must generally respect the provisions of this Regulation.
- 4. The doctoral program report shall state the doctoral school to which the program will be attached, justifying the choice of the best opportunity and specialization for each degree.
- 5. The Doctoral School of the University of Cadiz, EDUCA, is the reference center for the organization of studies of the University of Cadiz. As the center responsible for the doctoral studies, EDUCA will provide support and management services to all the doctoral programs of the University of Cadiz, ensuring the coherence of the training activities of the doctorate and the coordination of the action of the academic committees of the programs. The coordination of the doctoral programs of the University of Cadiz assigned to other doctoral schools will be exercised by the competent Vice-Rector due to the subject, through EDUCA.

# Article 4. 9 Structure of the doctoral studies

- 1. Doctorate studies have as their objective the specialization of the doctoral student in his/her research training within a field of scientific, technical, humanistic, or artistic knowledge. The doctoral studies will be structured through doctoral programs, in the form established in the Statutes of the University of Cadiz and agreed by the Governing Council of the University of Cadiz.
- 2. The doctoral program is called the set of training and research activities leading to the acquisition by the doctoral student of basic competences and the necessary skills related to

quality scientific research for the achievement of the Ph.D. degree, ensuring their qualified training in various professional fields. These competencies and skills are listed in the Spanish Framework of Qualifications for Higher Education and in article 5 of Royal Decree 99/2011, of 28 January, or in the corresponding regulations.

The doctoral programs will have the objective of developing the different formative aspects of the doctoral student and will establish the procedures and lines of research for the development of the Ph.D. thesis.

- 3. In attention to the academic principle of freedom of research, the doctoral training offer of the University of Cadiz responds to specialized doctoral programs, defined according to the qualifications of the researchers that support their lines of research, presenting a coherent offer. However, the Vice-Chancellor with competence in the area will ensure the definition of a generalist doctoral offer, complementary to the previous one, which allows doctoral training at the University of Cadiz in all branches of science and the attention of the lines of research that are proposed or considered strategic for research at the University of Cadiz. For this purpose, the Vice-Chancellor with competence in the matter may propose modifications in the reports of the doctoral programs, which will be managed according to the corresponding protocol.
- 4. By virtue of specific agreements with other public research bodies, centers, institutions and entities with national or international R+D+i activities, including strategic agreements reached within the framework of the Campuses of International Excellence, the University of Cadiz may participate in joint or inter-university doctoral programs of a specialized field, preferably within the doctoral schools. This preference is established without prejudice to other forms of collaboration and organization of the doctorate with other universities, national or foreign, in the framework determined by the corresponding regulatory agreements.
- 5. Each doctoral program shall specify the lines of research that support the program and the teams of researchers with active research projects involved in each line.
- 6. The doctoral programs of the University of Cadiz will be developed in the center competent in doctoral training or in the doctoral schools in which the University of Cadiz participates. In the latter case, the regime of the doctoral program will be adapted to the provisions of the agreement for the creation of the doctoral school and its rules of operation, which will apply in preference to the provisions of these regulations; all this, without prejudice to the fact that the Vice-Chancellor responsible for doctoral matters will previously ensure the maximum adequacy and correspondence between the rules of the doctoral schools and the University of Cadiz itself.

#### **TITLE ONE**

# Organization of doctoral studies

# **Chapter One**

# **About the Doctoral Programs**

# **Article 5. Proposal for doctoral programs**

1. The Doctorate Committee of the University of Cadiz is responsible for proposing doctoral programs, and must in any case; channel both its own initiatives and those that are the result of a previous request from a doctoral school, research institute, center, or department of the University of Cadiz.

The Vice-Rector with competence in the area will ensure that the specialty of the center or unit proposing the program is reflected in the report of the doctoral program, in particular, in order to exercise the academic, training and research skills required by the report and the development of the program, as well as, where appropriate, in its economic management. All of this is done from the perspective of coordinating the center's overall academic offering, which takes doctoral studies as the highest level of training.

- 2. Each doctoral program will be organized, designed, and coordinated by an Academic Committee, responsible for the training and research activities of the program, appointed in the terms provided for in Article 6 of these Regulations.
- 3. Proposals for doctoral programs shall comply with the Report on the Verification of Doctoral Degrees contained in the Appendix I of Royal Decree 99/2011, or the corresponding standard, and with what is established by the competent evaluation agency, and shall contain the following sections:
- a) Description of the doctoral program.
- b) Competences.
- c) Access and admission of students.
- d) Training activities.
- e) Program organization. Thesis supervision and monitoring of the doctoral student.
- f) Human resources.
- g) Material resources and support are available to doctoral students.
- h) Review, improvement, and results of the program.
- 4. The proposals for doctoral programs, once they have been drawn up and favorably informed by the Doctoral Committee, will be presented to the Governing Council and, where appropriate, to the Social Council, for approval and for compliance with the process of verification of the report by the University Council and authorization by the Andalusian Regional Government. Subsequently, in the terms that correspond, they will proceed to request their inscription in the Register of Universities, Centers, and Degrees.

# Article 6. - Academic Committee of the doctoral program

- 1. The academic committee responsible for each doctoral program will be chaired by the Coordinator of the Program, designated and appointed by the Rector of the University of Cadiz or, where appropriate, according to the procedure provided in the agreement or in the rules of the scheme of the center responsible for the program. In any case, it will be guaranteed in the agreements that the University of Cadiz, through its Rector, participates in the appointment of the coordinator.
- 2. The coordinator of the doctoral program must be a relevant researcher and will be guaranteed by the previous direction of at least two Ph.D. thesis. In addition, it must have at least two positive periods of research activity recognized by the National Committee for the Evaluation of Research Activity. If applicable, when the application of this last criterion does not correspond, the coordinator must accredit merits comparable to those indicated. The

criteria will be evaluated and informed by the Vice-Rector with competence in the area of doctorate.

- 3. The academic committee responsible for each doctoral program shall also be composed of a number of doctors between seven and fifteen with, at least, a positive evaluation of their research activity by the National Committee for the Evaluation of Research Activity. If applicable, when this criterion is not applied, the doctors must accredit merits comparable to those indicated. The criteria will be evaluated and informed by the Vice-Rector with competence in doctoral matters.
- 4. Researchers from public research bodies or other entities and institutions involved in R+D+I activities, whether national or international, may also participate in the aforementioned Committee. The number of these researchers may not exceed the number of doctors indicated in the previous section.
- 5. The appointment of the members of the academic committee responsible for each doctoral program corresponds to the Rector, after hearing the proposal of the Doctoral Committee of the University of Cadiz. This is without prejudice to what, if any, is provided in the agreements or in the rules of operation of the Center responsible for the program.

# Article 7. Punctions of the academic committee of the doctoral program

- 1. The academic committee is the body responsible for defining the doctoral program, updating it, quality, and coordination, as well as the progress of the research and training of the doctoral students on the program.
- 2. In relation to the doctoral program, the following functions correspond to this Committee
- a) To prepare the proposal for the degree.
- b) To organize, design, and coordinate the training and research activities of the doctoral program.
- c) To design the procedure for the admission and selection of students, which shall be consistent with the scientific scope of the doctoral program, establishing, where appropriate, the additional requirements and criteria for their selection and admission.
- d) To carry out the evaluation of the merits of the applicants, in order to be admitted to the doctoral program.
- e) To control compliance with the procedures for assigning the tutor and the director, the preparation of the document of activities of each doctoral student, the annual assessment of the research plan and the document of activities of the doctoral student, the control of the quality of the Ph.D. thesis and the assessment of the activities to promote multiple direction and supervision of the Ph.D. thesis. To carry out these functions, it may appoint a monitoring committee.
- f) Organizing the doctoral student mobility program and analyzing its results
- g) Planning the acquisition of skills for both full-time and part-time doctoral students.
- h) To ensure that public information on the doctoral program is kept up to date in accordance with the provisions of Article 9 of these Regulations.

- i) To monitor the development of the doctoral program, analyze the results obtained, and determine improvement actions.
- j) The completion of the Quality Assurance System of the University of Cadiz in relation to the doctoral program.
- k) The appointment of the Quality Committee of the doctoral program.
- I) To ensure the monitoring of the doctoral graduates of the program.
- m) Authorize the incorporation of new teaching staff to the doctoral program and the collaboration of professionals in specific activities.
- n) To coordinate the management of applications for public or private aid to the program, its students and researchers, aimed at promoting mobility, internationalization, or excellence.
- o) To propose the establishment of specific agreements with other institutions and bodies.
- p) To resolve any doubts or disputes that may arise in the development of the doctoral program.
- q) Other functions that may be assigned by the doctoral school or the center to which the doctoral program or some of its lines of research are assigned.
- 3. In relation to doctoral students, the following functions correspond to this committee:
- a) To establish the methodological and scientific training complements for the doctoral student, according to the access profiles.
- b) To assign doctoral students to the tutor and the thesis supervisor.
- c) To authorize part-time doctoral studies and the extension of the deadline for submitting the Ph.D. thesis. To grant temporary leave of absence from the doctoral program.
- d) To annually evaluate the research plan and the document of activities of the doctoral students, together with the reports of the tutors and the thesis advisors, to submit them to the Doctorate Committee of the University of Cadiz, which will assume the certification of the data obtained and its presentation and publication.
- e) To ensure that the thesis meets the requirements set out in these regulations and to overcome the quality control required, authorizing, if necessary, its presentation.
- f) Authorize that the thesis can compete for the International Doctorate Award.
- g) To propose the members of the tribunal that will evaluate the Ph.D. thesis for its appointment by the Doctoral Committee of the University of Cadiz.
- h) The authorization, monitoring, and supervision of Ph.D. thesis under a coterminous regime, without prejudice to Article 35.

# Article 8. 9 Structure of doctoral programs.

1. The doctoral program shall consist of an organized set of training and research activities leading to the preparation and defense of a Ph.D. thesis, which must provide original research results and a high level of professional qualification in the field of its implementation.

- 2. The doctoral programs shall include in their report the specific and transversal research training activities of the doctoral program, which shall not require structuring in ECTS credits and shall include both transversal and specific research training in the area of each program, which shall be reflected in the verification report of the doctoral program.
- 3. All researchers on a doctoral program shall hold a doctoral degree, without prejudice to the possible collaboration, in certain specific activities, of other experts or professionals who do not meet this requirement, by virtue of their relevant qualifications in the corresponding field of knowledge. In the case of personnel outside the University of Cadiz, it will be necessary that the professors have the express consent of the institution or company to which they belong and that they obtain a favorable report from the academic committee of the doctoral program.
- 4. Each doctoral program will be supported by reliable and experienced research teams. The University of Cadiz will justify the most relevant aspects of these teams, valuing the scientific qualification of the people who integrate them, the competitive projects in which they participate, the most relevant scientific contributions achieved and the experience of its members in the direction of the Ph.D. thesis, as well as the quality of these.

These points will be approved and made public by the Doctoral Committee of the University of Cadiz, based on the documents and reports provided by the research teams themselves, approved by the corresponding academic committee, and after a report from the Vice-Rector with competence in the area of doctoral studies.

# Article 9. 9 Information linked to the doctoral program

The Academic Committees must keep the web pages of the doctoral programs updated with the information required by national and regional regulations and by the Doctoral Committee of the University of Cadiz and, in any case, with all relevant information of the program.

The coordination of the information of the different programs will be carried out by the competent vice-rectorate in matters of doctorate.

#### Article 10. Monitoring and accreditation of doctoral programs

- 1. Verified doctoral programs shall be subject to an assessment procedure for the purposes of renewing the accreditation provided for in Article 24 of Royal Decree 1393/2007, dated 29 October.
- 2. It is the responsibility of the academic committees of the doctoral programs to monitor the activities developed by evaluating at least the following indicators:
- a) Percentage of researchers with accredited experience
- b) Competitive projects in which they participate.
- c) Recent publications.
- d) Funding available to doctoral students.
- e) degree of internalization of doctoral programs, with emphasis on international networks, the participation of international teachers and students, mobility of teachers and students, and results such as co-tutorials, international citations, joint publications with foreign researchers, and organization of international seminars

- f) Collaboration with other institutions and companies
- g) Existence of mechanisms and procedures to ensure coordination between universities participating in inter-university programs.
- 3. In order to guarantee the effectiveness of the procedure, a Quality Assurance System will be established for doctoral program activities, which will be aimed at the continuous improvement of their activities and the results achieved. Each doctoral program may have a Quality Committee, appointed by the academic committee, which will include doctors and representatives of doctoral students and graduates, which will assume the development of the Quality Assurance System. Likewise, the integration of independent experts into the quality committees will be encouraged, according to the procedure, to be arbitrated by the Vice-Rector responsible for doctoral matters.
- 4. The Doctorate School of the University of Cadiz may constitute a quality assurance committee that will watch over the system of the doctorate programs that are agreed upon.
- 5. In the cases of joint doctoral programs and in relation to their system of quality assurance, what is established in the corresponding agreement will be followed.

#### Chapter II

#### Access, admission, enrolment, and rules of stay in the Doctoral Programs

#### Article 11. General requirements for access to doctoral studies

- 1. In general, in order to be admitted to an official doctoral program, the student must hold an official Spanish degree or equivalent and a university master's degree.
- 2. In addition, those who are in any of the following situations may be admitted:
- a) Those who hold an official Spanish university degree, or a degree from another country belonging to the European Higher Education Area, which qualifies them for access to masters programs in accordance with the provisions of the Article 16 of Royal Decree 1393/2007, of 29 October, and have passed a minimum of 300 ECTS credits in all official university studies, of which at least 60 must be a master's level.
- b) Those who are graduates, architects, or engineers and are in possession of the Advanced Studies Diploma obtained in accordance with the provisions of Royal Decree 778/1998, of 30 April, or those who have achieved the research proficiency provided for in Royal Decree 185/1985, of 23 January.
- c) Those who hold an official Spanish Graduate Degree, the duration of which, in accordance with Community law rules, is at least 300 ECTS credits. These graduates must take the specific training complements referred to in Article 12 of this Regulation, unless the curriculum of the corresponding degree includes training credits in research, equivalent in training value to the research credits coming from master studies.
- d) Those who hold an official university degree that has obtained the correspondence to level 3 of the Spanish Framework of Qualifications for Higher Education, in accordance with the procedure established in Royal Decree 967/2014, of 21 November, which establishes the requirements and procedure for the homologation and declaration of equivalence to official university qualifications and for the validation of foreign higher education studies, and the procedure to determine the correspondence to the levels of the Spanish framework of

qualifications for the higher education of the official titles of Architect, Engineer, Licentiate, Technical Architect, Technical Engineer, and Diploma.

- e) University graduates who, after obtaining a place in the corresponding entrance examination for health specialist, have passed with a positive evaluation at least two years of training in a program for obtaining the official qualification in one of the specialties in Health Sciences.
- f) Those who hold a degree obtained in accordance with foreign educational systems, without the need for its homologation, after verification by the University that it accredits a level of training equivalent to that of the official Spanish degree of university master's degree, and that it entitles, in the country issuing the degree, to access doctoral studies. This type of admission does not imply, in any case, the homologation of the previous degree held by the interested party or its recognition for other purposes than access to doctoral studies.
- g) Those in possession of another Spanish doctoral degree obtained in accordance with previous university regulations.

#### Article 12. Specific requirements for admission to the doctoral program

- 1. Admission and selection procedures for doctoral candidates shall be clearly described by the academic committees for the doctoral programs and shall be consistent with the scientific scope of the program. They must include the requirements relating to students with specific educational needs derived from disability, in accordance with the provisions of the current regulations of the University of Cadiz.
- 2. The academic committees of the doctoral programs may establish additional requirements and criteria for the selection and admission of students in the case that there are various entry profiles, and may require the passing of specific training complements, which must be approved by the Doctorate Committee of the University of Cadiz.
- 3. Both the requirements and admission criteria, as well as the design of the training complements, will have to be included in the verification report. The training complements will have to be adjusted to each of the profiles.
- 4. When in compliance with the research strategy or internationalization of the University of Cadiz, agreements are signed that provides for the direct incorporation of doctoral students to a doctoral program, provided that the applicant meets the requirements of the program report, admission will be granted after a report of opportunity from the Vice-Chancellor with competence in the field.
- 5. Training complements will preferably be subjects of official master's degrees and may not be activities that form part of the doctoral program. Other types of training activities will require the prior authorization of the Vice-Rector with competence in the subject, who will inform about the opportunity of such activities.
- 6. The training complements must be taken during the first year after the admission of the doctoral student. Their development will count for the purposes of the deadlines set for the completion of the Ph.D. thesis.
- 7. The training complements will have, for the purposes of public prices, the consideration of master's degree courses. For the purposes of granting scholarships and study aids, training complements shall be considered as training at the doctoral level.

# Article 13. Admission process, enrolment and conditional admission

- 1. Those interested in admission to a doctoral program offered by the University of Cadiz must submit the corresponding application, together with the supporting documentation required in Article 11 of these Regulations, to the Doctoral School of the University of Cadiz.
- 2. The academic committee of the doctoral program will decide on the origin or not of the admission to the doctoral program and on the need, if necessary, to take specific training complements within a maximum period of one month.
- 3. The admission of a student to a doctoral program will imply the assignment of a tutor to the doctorate, in the terms provided for in Article 15 of these regulations.
- 4. The students admitted to a doctoral program will register annually in the Doctoral School of the University of Cadiz as academic tutoring of the doctoral student, within the deadlines established for this purpose.

In the case of an interuniversity doctoral program, the agreement in question will determine the form in which the registration should be carried out.

5. The academic committee of the doctoral program may proceed to the conditional admission of the doctoral student, without the possibility of academic tutorship, when the applicant meets the admission requirements but has pending the formalization of documentation or other requirements.

#### Article 14. Dedication regime and rules of permanence of doctoral studies

- 1. The duration of doctoral studies will be a maximum of three years, full time, from the admission of the doctoral student to the program until the presentation of the Ph.D. thesis.
- If, after the three-year period has elapsed, the application for submission of the thesis has not been submitted, the academic committee responsible for the program, at the request of the doctoral student, may authorize the extension of this period for a further year, which may exceptionally be extended for a further year, under the conditions established in the report on the corresponding doctoral program.
- 2. Part-time doctoral studies may be undertaken for duly justified reasons and with the prior authorization of the academic committee responsible for the program. In this case, doctoral studies may last a maximum of five years from the admission of the doctoral student to the presentation of the Ph.D. thesis. At the request of the doctoral student, the extension may be authorized for a further two years, which may exceptionally be extended for a further year.
- 3. For the purposes of calculating the periods indicated, sick leave, maternity or paternity leave, or any other cause provided for by the regulations in force shall not be taken into account.
- 4. Doctoral students may request temporary leave from the program for a period of one year, which may be extended for a further year. This request must be addressed, with due justification, to the academic committee responsible for the program, which will decide whether to grant the request.

#### Title II

#### **Development of doctoral studies**

# Chapter I

# **Tutoring and thesis direction**

# Article 15. Doctoral student's tutorship

- 1. In terms of Article 16.2 of these Regulations, after the admission of the doctoral student to the doctoral program, the academic committee may assign a tutor from among the doctors with accredited research experience who are linked to the unit or the School responsible for the doctoral program. The requirements for the tutor are the same as those set out in the following article for the thesis supervisor.
- 2. The appointment of a tutor proceeds when the director of the thesis is not assigned to the doctoral program in which the doctoral student is enrolled or when it is external to the University of Cadiz or the unit or school organizing the program.
- 3. The tutor is responsible for the adaptation of the training and research activity of the doctoral student to the principles of the programs and, where appropriate, the doctoral schools. The tutor is also responsible for ensuring that the doctoral student interacts with the program's academic committee and for supervising his/her training.
- 4. The appointment of the tutor may be modified at any time, if the academic committee, after hearing the doctoral student, if it finds that there are justified reasons and agrees to do so.
- 5. The guardianship of the doctoral student will be recognized as part of the teaching dedication of the professor who exercises it, in the manner determined by the Governing Council of the University of Cadiz.

# Article 16. Direction and co-direction of the thesis.

1. At the time of admission to the doctoral program, the academic committee of the doctoral program will assign each doctoral student a director of Ph.D. thesis.

The thesis supervisor is the person most responsible for the coherence and suitability of the doctoral student's training activities, the impact, and novelty, in his/her field, of the subject matter of the Ph.D. thesis and the guidance in the planning and its adequacy, if applicable, to that of other projects and activities in which the doctoral student is enrolled.

- 2. Preferably, the director of the thesis will carry out the functions assigned to the tutor.
- 3. The thesis advisor may be any doctor, Spanish or foreign, with accredited research experience, regardless of the university, center, or institution in which he/she works. In the case of membership of a public research body, the prior agreement of the body responsible for the doctoral program will be required, in the manner provided for by its own regulatory regulations.
- 4. A doctor shall be considered to have accredited research experience for the purposes of his appointment as a thesis advisor when he fulfills any of the following requirements:
- a) Have been recognized by the CNEAI as having at least one positive evaluation of research activity in the last six years if applicable, when the application of this criterion does not

correspond, the director must accredit merits comparable to those indicated which will be evaluated and informed by the Vice-Rector with competence in doctoral matters.

- b) To be a principal researcher on a research project under the European Union Research Program, the National R&D&I Plan, a Regional Government of Andalusia Excellence Project, or other research projects in equivalent competitive calls, either national or foreign or to have been so in the last five years. The criteria of equivalence will be evaluated and informed by the Vice-Rector with competence in the area of doctorate.
- c) To have directed or co-directed, in the last five years, a Ph.D. thesis that has obtained the maximum qualification and that has given rise to at least two publications in journals with an impact index or an equal number of relevant contributions in its scientific field, according to the criteria in force for the evaluation of the research activity (it is suppressed by the National Committee for the Evaluation of Research Activity).
- 5. Doctoral schools may establish additional requirements to become thesis advisors.
- 6. With the authorization of the academic committee, the doctoral student may have a codirector when there are academic reasons that justify it. Academic reasons that can be addressed include the advisability of the exercise of a co-directed thesis by an experienced supervisor and a junior supervisor, the co-protection of the interdisciplinary thesis, and collaboration with another university or other national or international institution.

When the reason for academic nature is the convenience of the exercise of the co-direction of the thesis by an experienced director and a novel director, the latter will only be required to have the condition of Doctor in order to be co-director.

The authorization for co-direction may be revoked if, in the opinion of the academic committee, it is not beneficial for the development of the thesis.

- 7. In exceptional cases, prior authorization of the Doctoral Committee of the University of Cadiz, taking into account the multidisciplinary nature of the object of the Ph.D. thesis or the need for collaboration between different institutions, a third director may be appointed. In these circumstances, two directors of the work may not belong to the same department, area of knowledge, or research group.
- 8. The appointment of a director or co-director of a doctoral student may be modified at any time during the period of the doctoral program, if the academic committee of the program, having heard the doctoral student, finds that there are justified reasons and agrees to do so.
- 9. When in compliance with the strategy in matters of research or in matters of internationalization of the University of Cadiz, agreements are signed that provides for the direct incorporation of doctoral students to a doctoral program, the person appointed by the Vice-Chancellor with competence in the area, after preparing a report on the opportunity, will be appointed director of the thesis.
- 10. The thesis director will be recognized as part of the teaching dedication of the faculty in the manner determined by the Governing Council of the University.

#### **Chapter II**

#### Institutional commitment and conflict resolution

#### Article 17. Institutional commitment

- 1. Once the thesis supervisor has been assigned, an institutional commitment will be established that must be signed, at least, by the doctoral student, his/her tutor (if applicable), his/her thesis supervisor and the coordinator of the doctoral program.
- 2. Within the framework of the Statute of Research Personnel in Training, the institutional commitment will define the extremes of the academic relationship between the doctoral student and the University of Cadiz, including the supervision functions of the doctoral student that correspond to the tutor, if applicable, and the director of the thesis, as well as the acceptance of the procedure for conflict resolution that is established in the present norm and the regulation of the aspects related to intellectual or industrial property rights that may be generated in the area of doctoral programs.
- 3. The document containing the commitment shall be incorporated into the Doctoral Student's Activity Document, in the terms provided for in Article 19 of these Regulations.

# Article 18. Dispute resolution procedure

- 1. The doubts, controversies, or conflicts that arise in relation to the development of the doctoral program will be known and dealt with, in the first place, by the academic committee of the program itself.
- 2. In the event that this first instance does not satisfactorily resolve the issue raised, its knowledge and resolution will correspond to the Doctoral Committee of the University of Cadiz, whose resolutions may be appealed to the Rector.
- 3. The Recommendation of the European Committee of 11 March 2005, regarding the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers, will be taken into account for the resolution of disputes and conflicts.
- 4. The above criteria are without prejudice to any rules or criteria laid down by the interuniversity doctoral schools, which shall prevail over paragraphs 1 to 3 of this Article.

# Chapter III

# Planning, supervision, and monitoring of the doctoral student

#### Article 19. Document of activities of the doctoral student

- 1. The document of activities of the doctoral student is understood to be the individualized record of control of his/her training activities, materialized in electronic support.
- 2. Once registered in the doctoral program, the personalized document of activities will be elaborated for each doctoral student, in which all the activities of interest for their training will be registered, as established by the Doctorate Committee of the University of Cadiz. This document will be regularly reviewed, along with the Research Plan, by the tutor and the thesis director, and evaluated by the academic committee responsible for the doctoral program, in the terms provided for in Article 21 of these Regulations.

- 3. They will have access to the document, for consultation and incorporation of records, according to their competencies:
- a) The doctoral student himself;
- b) Their tutor and their thesis supervisor;
- c) The coordinator of the doctoral program;
- d) Where appropriate, the management bodies of the Doctoral School responsible for the program;
- e) The Doctoral Committee of the University of Cadiz;
- f) The administrative unit responsible for the doctoral studies of the University of Cadiz.
- 4. The panel that evaluates the thesis will have the document of activities of the doctoral student. This document will not give rise to a quantitative score but will constitute a qualitative evaluation instrument that will complement the evaluation of the Ph.D. thesis.

# Article 20. Proposal for the Research Plan

- 1. Before the end of the first year from their registration, the doctoral student will elaborate a Research Plan that will include, at least, a summary of the research that they propose to carry out, the exposition of the antecedents, the methodology to use, the objectives that they intend to reach and the available bibliography briefly commented. This plan shall also describe the means available for carrying out the research and shall include a proposal for the period in which it is to be carried out, as well as any other additional requirements foreseen in the doctoral program in question.
- 2. The Research Plan may be improved and detailed throughout the doctoral student's stay in the program and must be endorsed by the tutor and the thesis supervisor. Any changes made must be clearly indicated and reasonably justified.
- 3. Those research plans in which human beings, animals or biological material from these are included as objects of study, must have the approval of the clinical trials committee, ethics, or any other committee that could be constituted at the University of Cadiz, with competence in the matter.

# Article 21. Evaluation of the Research Plan and the document of activities of the doctoral student.

- 1. Annually, the academic committee of the program will evaluate the Research Plan and the document of activities of each doctorate student together with the reports that, to this effect, must be issued by the tutor and the director of the thesis. The academic committee will especially evaluate the development of the doctoral student's research plan in relation to the proposed schedule, the modifications introduced, the appropriateness of the methodology, and the verifiable progress made in the research. For the evaluation of the plans, the academic committee may appoint a specific committee that, where appropriate, must adapt its operation to the guidelines issued by the Vice-Rector responsible for doctoral matters.
- 2. A positive evaluation of the plan shall be an essential requirement for the continuation of the doctoral student in the doctoral program. In the event of a negative evaluation, which shall be duly substantiated, the doctoral candidate shall be re-evaluated within six months, for

which purpose a new Research Plan shall be drawn up. In case of another negative evaluation, the doctoral student will be permanently withdrawn from the program.

#### **Chapter IV**

#### About the Ph.D. thesis

#### Article 22. The Ph.D. thesis.

- 1. The Ph.D. thesis shall consist of an original research paper prepared by the doctoral student and related to the scientific, technical, or artistic field of the doctoral program undertaken. The thesis shall qualify the doctoral student for autonomous and professional work in the field of R+D+i.
- 2. The thesis may be developed and, if necessary, defended in the usual languages for scientific communication in their field of knowledge.
- 3. The thesis report will be presented together with the Research Plan, the Doctoral Student's Activity Document, a summary in Spanish, and the Report of the Director and, if applicable, the Thesis Tutor.

# Article 23. Thesis as a compendium of publications.

- 1. The Ph.D. thesis may be made up of the set of works published by the doctoral student on the research plan for the Ph.D. thesis, in those programs that, due to the nature and evolution of their scientific discipline, allow for this.
- 2. The works must have been accepted for publication after the first registration for academic supervision and must consist of
- a) A minimum of three articles published or accepted in journals included in the first three quartiles of the list of journals in the field of the specialty and referenced in the last list published by the Journal Citation Reports (SCI and/or SSCI). However, it may be admitted a lower number of publications when, according to the circumstances of the publications, they are considered to be of particular relevance, and their excellence is reported by the doctoral program committee and by the Vice-Rector responsible for doctoral matters.
- b) In the case of disciplines in which the previous criterion for evaluating publications is not relevant, the three publications will be evaluated taking as a reference the bases and criteria listed by the National Committee for the Evaluation of Research Activity for the scientific fields in question, with articles published in journals included in the first two quartiles of the last published list. The Vice-Rector with competence in doctoral matters may issue a report evaluating the relevance of publications that do not respond to the expressed criteria.
- c) A book or at least three chapters of a book-related to the object of the thesis, which has been published in prestigious publishing houses that have systems for selecting originals, and the academic committee, may require a report stating these aspects.
- 3. The following will not be accepted as valid contributions for these purposes: publications of works not related to the Ph.D. thesis project work in the form of an abstract, those collected in proceedings, books of conference proceedings or in journal supplements, letters, opinion articles, comments, introductions, and other equivalent publications, except in cases where, at the request of the doctoral student and taking into account the specialties of the publication and the field of research, they are reported by the competent Vice-Rector.

- 4. In the case of publications with several signatory authors, the doctoral student must make express mention of his/her contribution to the work carried out, justifying the relevance of his/her contributions compared to those of the other signatories. In this case, the doctoral candidate must present the agreement of the other authors to the presentation of the publication as a thesis by the doctoral candidate, expressly and formally expressing his or her renunciation of presenting it as part of another Ph.D. thesis at any other university. This document, which will be written in the standard format approved by the Vice-Rector with competence in the field, will be published together with the thesis, in the appropriate way.
- 5. In the articles and book chapters, the doctoral student should preferably be the first author and may occupy a second place among the authors if the first corresponds to the person who is directing the thesis. The Vice-Rector with competence in the area of doctoral studies may issue a report assessing the relevance and possible equivalence of an order of authors other than the one expressed, according to the specialties of the discipline in question.
- 6. If the contribution is a book, the doctoral student shall be in the first place of authorship.
- 7. In this modality, the thesis should include at least the following sections:
- a) Summary.
- b) Introduction and justification of the thematic unit of the thesis.
- c) Hypothesis and objectives.
- d) Critical analysis of the background.
- e) Joint discussion of the results obtained in the different works.
- f) Conclusions reached, indicating from which publication or publications they stem.
- g) Perspectives, bibliography, and appendix with the articles published or accepted for publication, in which case proof of acceptance by the journal or publisher must be provided.
- 8. The thesis report will also be accompanied by the Research Plan, the Ph.D. student's Activity Document, a summary in Spanish and the report from the director or, if appropriate, the thesis tutor, a report with the impact factor and quartile from the Journal Citation Reports (SCI and/or SSCI) or the reference databases of the area in which the publications presented are located. In addition, if applicable, the reports of the competent Vice-Rector must be included in this precept.

# **Chapter V**

# On the authorization of the processing, public presentation, and defense of the Ph.D. thesis Article 24. Application and authorization of the processing of the presentation of the thesis

- 1. Once the research plan has been completed, the doctoral student will send the Ph.D. thesis together with the required documentation to the academic committee of the doctoral program, requesting authorization from the latter to continue the process.
- 2. The Academic Committee will guarantee that the Ph.D. thesis complies with the quality control requirements of the doctoral program. To this end, the doctoral program may establish minimum requirements for the quality and impact of a thesis so that its defense can be

authorized, as well as the need to obtain a favorable report from experts, either national or international, outside the doctoral program.

- 3. Within a maximum of thirty working days after the application, the academic committee shall make a formal assessment of the Ph.D. thesis, recommending any changes it considers appropriate or authorizing, if necessary, its processing.
- 4. In addition to compliance with the requirements established in the quality control of the doctoral program, authorization for processing shall generally be subject to the thesis meeting one of the following quality criteria:
- a) Scientific production derived from the thesis. Results published in at least one international journal with an impact index included in the Journal Citation Reports shall be considered as evidence of the quality of the thesis. In those areas in which this criterion is not applicable, the equivalence allowed by the criteria established by the National Evaluation Committee of the Research Activity for the scientific fields in question will be taken into account. In the publications, the doctoral student should appear in the first place of the authorship or in the second place if the first one corresponds to the one who directs the thesis.
- b) Internationalization of the thesis. The thesis, in addition to complying with the legal requirements for it to be presented and defended as a thesis with the mention of "International Doctorate," should have scientific contributions, not necessarily included in the previous section, in which the doctoral candidate should appear in the first place of authorship of the publication, or in the second place if the first corresponds to the person directing the thesis.
- c) Industrial thesis. The thesis that aspires to the mention of "Industrial Doctorate" must comply with the requirements determined in these Regulations.

# Article 25. Deposit and public exhibition of the Ph.D. thesis.

1. If the processing of the thesis is authorized by the academic committee of the doctoral program, the doctoral student must deliver two copies of the thesis to the General Secretariat of the University of Cadiz, which will remain in deposit for a period of fifteen academic days, one in the General Secretariat and another in the unit or school responsible for the doctoral program, where they can be examined by any doctor who requests it. If a doctor considers it appropriate, he or she may write to the Doctorate Committee of the University of Cadiz to considerations it deems appropriate to make.

When the nature of the work of the Ph.D. thesis does not permit its reproduction, the requirement for delivery of copies will be fulfilled with the deposit of the original at the General Secretariat of the University of Cadiz.

- 2. The centers responsible for the doctorate will communicate the deposit of the Ph.D. thesis to all the doctors of the University of Cadiz through the Departments. Through the web page of the University, there will be the dissemination of the thesis that is in deposit at all times.
- 3. The deposit of the thesis and, in general, all the corresponding processing will be made preferably by electronic means. For this purpose, the Vice-Rector with competence in the area of doctoral studies is authorized to issue the precise instructions that regulate this electronic procedure.

# Article 26. Authorization for the defense of the thesis by the Doctorate Committee of the University of Cadiz

- 1. Once the period of the deposit has ended, the observations that have been presented will be sent to the coordinator of the doctoral program, the director of the thesis, and the doctoral student, who must issue a report that gives an answer to them within 20 working days.
- 2. The Doctoral Committee of the University of Cadiz, in view of the writings, received and, where appropriate after consultation with the academic committee of the doctoral program and the specialists it deems appropriate, will decide, within a maximum of 30 days, whether the Ph.D. thesis is admitted for processing for its defense or if, on the contrary, in a reasoned manner, it is withdrawn.
- 3. Until the time of the act of defense and public presentation of the thesis, the Doctoral Committee of the University of Cadiz may suspend the authorization for the defense of the thesis if serious circumstances occur that justify this measure, which must be communicated to the person who serves as president of the tribunal and the doctoral student.

# Article 27. Registration of the defense of the Ph.D. thesis

Once the authorization for the defense of the Ph.D. thesis has been obtained from the Doctoral Committee, the doctoral student will formalize the registration for the defense of the thesis.

#### **Chapter VI**

#### About the Ph.D. thesis committee

#### Article 28. Appointment

Once the defense of the Ph.D. thesis has been authorized by the Doctoral Committee of the University of Cadiz, the academic committee will propose, for appointment by the Doctoral Committee of the University of Cadiz, the members of the tribunal that will evaluate the Ph.D. thesis, on the proposal of the director of the thesis and, where appropriate, endorsed by the Tutor. This proposal will be accompanied by the acceptance to form part of the tribunal, and the declaration of fulfilling some of the requirements demanded the accreditation of the research activity.

The academic committee will ask the president of the thesis tribunal to determine the day, time, and place in which the presentation and defense will take place.

# Article 29. Composition of the Ph.D. thesis tribunal

- 1. The thesis tribunal will be made up of three full members and two substitutes, who must meet the following requirements:
- a) all members of the panel shall hold a doctoral degree and have proven research experience in the field to which the thesis relates or in another field relevant to the thesis Accredited research experience shall be considered to be the fulfillment of any of the requirements for directing Ph.D. thesis, except in the case of doctors linked to companies, who may participate in the thesis panels provided that their professional activity is related to R&D&I.
- b) Only one full member of the tribunal may belong to the University of Cadiz. The other two holders may not be attached to the doctoral school or the doctoral program in which the

doctoral student is enrolled, nor may they have a contractual or statutory relationship with institutions or companies that have established specific collaboration agreements with the doctoral school and/or the corresponding doctoral program.

- 2. The chair of the selection board shall be held by the member with the highest professional standing and seniority unless the academic committee for the program endorses a justified proposal. The person with the lowest professional standing and seniority shall perform the duties of the secretariat of the selection board. The member of the panel assigned to the University of Cadiz may be responsible for the administrative processing of the process of presentation and defense of the thesis, with the express authorization of the secretary with the approval of the president of the panel.
- 3. In no case can the director of the thesis be part of the tribunal, nor in the case of the thesis presented by a compendium of publications, the co-authors of the same or those who incur in any of the causes of abstention established in public regulations.

# **Chapter VII**

#### On the act of defense of the Ph.D. thesis

#### Article 30. Convocation of the act of defense of the thesis. Tribunal constitution.

- 1. Once the celebration of the act of exposition and defense of the thesis has been authorized, it will be summoned by the president of the tribunal, who will inform the rest of the members of the tribunal, the doctoral student, the director of the thesis, the academic committee of the doctoral program and the center with competence in the field of the doctorate, at least 72 hours before its celebration, indicating the day, place and time. The secretary of the panel will ensure that the event is publicized on the premises where it is to be held.
- 2. The reading of the thesis must be done within a maximum of 3 months from the authorization of the act of exhibition and defense by the Doctoral Committee of the University of Cadiz.
- 3. The Centers with competence in the area of doctoral studies, through the website of the University, will disseminate the acts of reading thesis at all times.
- 4. If on the day set for the act of defense and public presentation of the thesis, one of the full members of the tribunal does not appear, one of the appointed substitutes will join the tribunal. To continue with the presentation, it will be necessary that the three members of the tribunal are present and that the requirement for external members of the University of Cadiz, Doctorate School, and Doctorate Programs are fulfilled. If it is decided to suspend the act, the president will set another day for the defense, consulted the other members of the board and the doctoral candidate, and must communicate the change to the coordinator of the program and the competent center for doctoral matters, for its dissemination.
- 5. The University of Cadiz Doctorate Committee will not recognize as valid the acts of reading and defense judged by courts that do not conform in their final composition to the provisions of the legislation in force, or those in which some of the articles do not comply with this Regulation.

# Article 31. Act of exposition and defense of the Ph.D. thesis

- 1. The act of presentation and defense of the thesis will take place in a public session during the academic period of the academic calendar, in the facilities of the University of Cadiz. In case you wish to carry out the defense outside the academic period or outside the University facilities or by video conference, you must obtain the authorization of the President of the Doctoral Committee.
- 2. The act of defense will consist of the oral presentation by the doctoral student, before the members of the tribunal, of the research work carried out, referring mainly to the work done, the methodology followed, the content, and the conclusions, making special mention of their original contributions.
- 3. The members of the panel must express their opinion on the thesis presented and may ask any questions they consider appropriate, to which the doctoral candidate may reply. Likewise, the doctors present at the public ceremony may ask questions at the time and in the manner indicated by the president of the panel.
- 4. In the case that the content of the thesis is subject to confidentiality agreements with companies, the Doctorate Committee of the University of Cadiz, after a report of the academic committee of the doctoral program, may authorize the partial presentation of the thesis in the period of public exhibition, as well as the act of exhibition and defense, is carried out, totally or partially, in a restricted way to the tribunal.

## Article 32. Assessment of the Ph.D. thesis

- 1. The Ph.D. thesis will be evaluated in the act of exposition and defense according to the following criteria:
- a) The panel shall have, in good time, the document of activities of the doctoral student that, although it will not give rise to a quantitative score, it will constitute an instrument of qualitative evaluation that will complement the evaluation of the Ph.D. thesis.
- b) Once the defense has been completed, the tribunal shall issue a single report on the thesis and shall give it the appropriate rating in terms of unsuitable, passed, notable and outstanding.
- c) The report on the evaluation of the thesis, which must be reasoned, the result of an examination and discussion of the thesis, must include
- i. Justification of the innovative nature of the subject of study.
- ii. Adequacy of the methodology used or proposed alternatives
- iii. Degree of clarity in the presentation of the results obtained and their analysis.
- iv. Observation of the correct choice and citation of the literature.
- v. Critical analysis of the conclusions of the study.
- d) The members of the tribunal will cast a secret vote on whether or not the thesis is suitable for the mention of "cum laude," which will be obtained if the positive vote is cast unanimously. By means of an instruction, the Vice-Rector with competence in the area of doctoral studies will establish the procedure to comply with the legal guarantees required for the casting and counting of the votes. In any case, this vote must be made in a session separate from the act of defense of the Ph.D. thesis, through a procedure that guarantees the secrecy of the vote and

its custody in a closed envelope by the secretary of the tribunal until the opening of the envelopes, in a public act to be held on the premises of the Doctoral School of the University of Cadiz or in those that are expressly authorized.

2. The delivery of the minutes corresponding to the exhibition and defense of the thesis at the Doctoral School of the University of Cadiz will be made within a maximum of five working days after the day of the exhibition and defense of the thesis.

# Article 33. Archiving and electronic publication of the thesis

- 1. The University of Cadiz will take care of the archiving of the thesis in an open electronic format in its institutional repository.
- 2. The Doctoral School of the University of Cadiz will send a copy of the thesis in electronic format and complementary information to the Ministry of Education.
- 3. In the circumstances that the academic committee of the program appreciates, among others, the participation of companies in the program, the existence of confidentiality agreements with companies, the protection of intellectual property or the possibility of protection or generation of patents or other industrial property rights that fall on the content of the thesis, the appropriate mechanisms will be arbitrated so that this confidentiality is preserved.

#### Title III

#### **International Doctorate**

# Article 34. International mention of the title

- 1. The title of doctor may include the mention "International Doctorate" on the front, if the following circumstances are met:
- a) That, during the training period required to obtain the title of Doctor, the doctoral student has spent at least three months outside Spain in a prestigious higher education institution or research center, studying or carrying out research work related to the Ph.D. thesis.
- b) The stay and activities must be endorsed by the thesis director and authorized by the program's academic committee and will be incorporated into the doctoral student's activity document. The stay will be accredited with the corresponding certificate, issued by the head of the team or research group of the body where it was carried out.
- c) In the case of foreign doctoral students, stays in the universities where they have completed their undergraduate or postgraduate studies, or in those to which they are linked, will not be considered valid.
- d) That part of the Ph.D. thesis, at least the summary and conclusions, has been written and is presented in one of the usual languages for scientific communication in the field of knowledge in question, other than any of the official languages in Spain. This rule will not apply when the stays, reports, and experts come from a Spanish-speaking country.
- e) That the thesis has been reported by a minimum of two expert doctors belonging to a non-Spanish higher education institution or research institute.

- f) That at least one expert belonging to a non-Spanish higher education institution or research center, with the title of doctor, and different from the person responsible for the stay mentioned in paragraph a), has been part of the thesis evaluation panel.
- g) That the Academic Committee verifies that the thesis fulfills the requirements indicated in this precept and authorizes, if appropriate, that it can compete for the International Mention.
- 2. The defense of the thesis must be carried out at the University of Cadiz or, in the case of joint doctoral programs, at any of the participating universities or in the terms identified by the collaboration agreements.

# Article 35. Ph.D. thesis in a regime of cotutelage

- 1. A Ph.D. thesis in coterminous regime is understood as one in which there is a joint direction between a thesis director belonging to the University of Cadiz and another belonging to a foreign University, is carried out in both institutions and has as its ultimate objective the obtaining of the doctoral degree by the two participating Universities in the agreement that supports it.
- 2. The Vice-Chancellor with competence in the area, through the Doctoral School of the University of Cadiz, will ensure the adequacy of the cottage agreements that are signed to meet the requirements, including opportunity, governing the doctoral training at the University of Cadiz.
- 3. The cotutelage of the thesis can only be established, in each case, with a single foreign university, and will be based on a specific agreement, signed for this purpose by the highest authorities of the participating universities, by virtue of which each institution recognizes the validity of the Ph.D. thesis defended in this framework and undertakes to issue the doctoral degree.
- 4. Students who carry out doctoral studies at the University of Cadiz must follow, in all cases, the procedures established in the regulations of the doctorate in force at this University. The inclusion of the thesis in the regime of cotutelage will not exempt in any case the fulfillment of the requirements that the current regulations for the admission of the doctoral student to the doctoral program and the development of the thesis mark.
- 5. Doctoral studies under the cotutelage system shall comply with the following requirements:
- a) The application for cotutelage will be presented by the doctoral candidate to the academic committee of the doctoral program, which will proceed to inform and process it before the Doctoral Committee, which will decide.

The doctoral student will be considered in this capacity at both of the universities that have signed the agreement and will maintain this relationship until the presentation and defense of the thesis. The specific agreement must indicate the administrative and economic regulations that guarantee the registration for academic supervision of doctoral studies or the equivalent at the foreign university during the period of study, as well as the correspondence of grades.

b) Doctoral students in cottage-care will be registered at the two participating universities, but the thesis will be the object of a single defense at the university established in the agreement. The fees corresponding to the defense shall be paid only at that university.

- c) Doctoral students in co-tutelage will carry out the research plan under the supervision of a thesis supervisor at the two universities that have signed the agreement, with both assuming co-direction of the thesis.
- d) The period of preparation of the Ph.D. thesis will be adapted to the limits established in the regulations in force in both countries. In case of conflict, the regulations of the country in which the thesis will be defended will be taken into account.

During this time, the doctoral student's stay will be divided between the two universities, so that his or her stay at each university will not be less than nine months unless the agreement establishes another minimum period, in which case the provisions of the agreement will apply.

- e) The procedure of deposit and defense will be established by the rules that regulate doctoral studies in the university, where the act of exposition of the thesis will be carried out.
- f) The tribunal shall be appointed by common agreement between the two universities, and its composition shall comply with the requirements established by the legislation in force in both countries. In case of conflict, the regulations of the country where the Ph.D. thesis is to be read shall be taken into account.
- g) If the official languages of the two agreed universities are different, the thesis shall be written in one of the two languages and shall be completed with an abstract in the other language, which shall contain at least:
- i. Purpose and delimitation of the Research.
- ii. Procedures.
- iii. Criteria of the study and theoretical basis.
- iv. The research methodology used.
- v. Reference to the results.
- vi. Most significant conclusions.

In any case, in the university where the thesis is not defended, a summary written in the corresponding official language will be presented and incorporated into the file.

- h) The academic committee of each doctoral program will be responsible for the authorization, monitoring, and control of a Ph.D. thesis in the cottage industry, according to the rules in force.
- i) The deposit, copyright, and reproduction of the thesis must comply with the provisions of the regulations in force in Spain on doctoral studies and intellectual property.
- j) Once the defense of the thesis has been completed, the doctoral student may request the issue of the doctoral degree in both universities, in accordance with their regulations in force and with the provisions established in the corresponding agreement, where an official certificate of the reading act will be required, in which, at least, the date of reading and the qualification obtained must be stated in order to be able to issue the corresponding doctoral degree.

#### Title IV

#### **Industrial Doctorate**

#### Article 36. Industrial mention in the title

- 1. Within the framework of its strategy in research and transfer, the University of Cadiz will promote the realization of an industrial thesis, encouraging the development of industrial research projects or experimental development with companies, both in the private and public sectors and with the Public Administration.
- 2. The completion of the industrial thesis requires the prior signing of an agreement between the University of Cadiz and the company or public administration in which the doctoral student works, to which he or she must be linked by a labor or commercial contract unless the regulations allow another form of relationship. The agreement will include the obligations assumed by each signatory institution, in particular:
- a) The main aspects of industrial research or experimental development project to be carried out.
- b) The economic contribution and the means and resources of all kinds that each institution puts at the service of carrying out the project.
- c) The system of ownership of any rights deriving from the execution of the project and from the research leading to the thesis
- d) The designation of the persons, by the university and the company or public administration, who will jointly exercise the tasks of direction or, where appropriate, guardianship, of the doctoral student during the preparation of the thesis and the development of the project.
- e) The arrangements for the joint selection, by the two institutions, of applicants who opt to carry out the project.
- 3. Once the candidate has been selected, the Vice-Rector with responsibility for the doctorate will decide on the admission and registration of the candidate in the doctorate program considered most appropriate for the development of the project.
- 4. The industrial research or experimental development project to be developed must be directly related to the thesis to be carried out, which will be informed by the doctoral candidate, the directors of the research and the academic committee of the doctoral program, before its accreditation by the Vice-Rector with competence in the field of doctoral studies. This accreditation must be given before the act of defense and reading of the Ph.D. thesis.

#### **Additional Provisions**

#### First. Good Practice Guide for the Direction of Ph.D. thesis

The Doctorate Committee of the University of Cadiz will prepare a guide of good practices for the direction of the Ph.D. thesis, which will be applied to the programs taught in its field. For its elaboration, the participation of the academic committees of the doctoral programs that are taught will be required.

# Second. Effective equality of women and men.

In application of Organic Law 3/2007, of 22 March, for the effective equality of women and men, as well as Law 12/2007, of 26 November, for the promotion of gender equality in Andalusia, any reference to persons or groups included in this Regulation will be referring to the neutral grammatical gender, including, therefore, the possibility of referring to both women and men.

In accordance with the provisions of Article 53 of Organic Law 3/2007, for the effective equality of women and men, all courts, committees and selection bodies with decision-making powers regulated by these regulations shall respect the principle of balanced presence of women and men in their composition, except for duly justified and objective reasons. Similarly, this principle shall be guaranteed in the appointment and designation of the positions of responsibility inherent in them.

#### **Transitional Provisions**

# First, doctoral students according to previous orders. Incorporation into the new doctoral courses.

- 1. Those who, on the date of entry into force of these Regulations, had begun their doctoral studies in accordance with previous regulations shall be subject to the provisions in force governing doctoral studies and the issue of a doctoral degree when they began their studies. In any case, the regime relating to the tribunal, defense, and evaluation of the Ph.D. thesis provided for in Royal Decree 99/2011, of 28 January, will be applicable to these students from 11 February 2012.
- 2. Those who, when Royal Decree 99/2011 comes into force, i.e., on 11 February 2011, are studying for a doctorate, will have five years to present and defend their Ph.D. thesis. Once this period has elapsed without the Ph.D. thesis having been submitted, the doctoral student will be permanently removed from the program.
- 3. However, doctoral students who have begun their doctoral program in accordance with previous university regulations may apply to adapt to this new regulation, which is the responsibility of the Doctoral Committee, following a report from the Academic Committee of the program that will replace, where appropriate, the one from which the doctoral student comes.

#### Second. Definitive termination of doctoral programs regulated by RD 1393/2007.

Doctorate programs already verified in accordance with the provisions of Royal Decree 1393/2007, of 29 October, must be adapted to the provisions of Royal Decree 99/2011, of 28 January, prior to the start of the 2013/2014 academic year. In any case, such programs must be completely extinguished before September 30, 2017.

Those who are developing their thesis project in a doctoral program that begins its process of extinction will be assigned to the doctoral program regulated by these regulations in which the person responsible for the direction of the thesis in the research period is assigned.

If there are academic reasons that justify it, the Doctoral Committee may be asked to assign the student to a different doctoral program, with the authorization of the thesis director and the Academic Committees of the doctoral programs involved. The assignment will imply the recognition of the thesis project proposal registered in the previous doctoral program.

Third. Access to doctoral studies for graduates, technical engineers, and technical architects

Until the establishment of the training complements necessary to obtain the degree, those who hold a diploma, technical engineering or technical architecture and have passed between 90 and 120 ECTS credits at university master's level, obtained as a joint result of the credits taken to obtain the master's degree and those taken as training complements for doctoral studies assigned by the Academic Committee of the corresponding doctoral program, may access doctoral programs regulated by Royal Decree 99/2011 of 28 January.

The Vice-Rector with competence in the area of doctoral studies will ensure that the academic committees of the doctoral programs of the University of Cadiz immediately apply the normative modifications that alter this situation.

#### **Derogatory Disposition**

**Unique.** These Regulations shall repeal any other provisions, which are contrary to these Regulations.

# **Final Provisions**

First. Habilitation.

The Doctorate Committee of the University of Cadiz is responsible for the interpretation of these regulations.

It corresponds to the Vice-Rector with competence in matters of the doctorate to dictate the necessary instructions for the application of the provisions of these Regulations, developing, in particular, the administrative procedures necessary to order the actions related to the doctorate before the corresponding administrative bodies.

The Vice-Rector with responsibility for doctoral matters will guarantee the availability and publication of an updated consolidated text of these Regulations, as well as the rules that will be dictated in the development and application of their precepts.

Second. Entry into force.

These Regulations will come into force the day after their publication in the Official Journal of the University of Cadiz