

# RULES FOR DOCTORAL STUDIES AT THE UNIVERSITY OF VALLADOLID

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Modification of the internal rules of the Doctoral School in order to adapt them to the revised statutes of the University of Valladolid (Regional Government of Castilla y León Agreement 111/2020 of 30 December, official gazette of Castilla y León (BOCYL) of 31 December) has meant, among other aspects, creating the doctoral thesis commission, an internal body of the Doctoral School of the University of Valladolid (EsDUVa) which, together with the steering committee, the standing committee and the academic committees of the doctoral programmes, will safeguard the quality of doctoral studies at the University of Valladolid. Said modification entails the need to adapt the rules governing the presentation and defence of the doctoral thesis at the University of Valladolid (approved by governing council agreement of 3

June 2016) in all matters relating to the functions previously carried out by the doctoral commission.

In addition, because of the health crisis caused by COVID-19, the rules governing the presentation and defence of doctoral theses at the University of Valladolid were temporarily modified to allow theses to be defended by videoconference during the state of emergency (agreement of the governing council permanent commission on 20 April 2020). In anticipation of possible future travel restrictions – together with the possibilities afforded by technology – these changes should be embraced permanently so as to ensure that doctoral theses may be defended by videoconference when circumstances prevent the doctoral student or any of the members of the examining board from attending in person.

Likewise, the transition towards an electronic administration requires enabling electronic procedures to deposit and process the doctoral thesis. These procedures also require certain adaptations in the rules governing the presentation and defence of the thesis, such that submitting hard copies of documents is no longer compulsory.

Together with these necessary changes in the rules for presenting and defending theses, and in order to ensure the principle of legal guarantees, it is also necessary to give legal status to a series of agreements that have been adopted by the steering committee of the Doctoral School since its creation. These rules concern thesis supervision, requirements for theses with an industrial mention, or requirements for co-supervised theses, among others. Pursuant to this, a text is hereby presented that brings together the University of Valladolid's rules for doctoral studies, notwithstanding other procedural applications that may be necessary for its implementation.

This series of rules complies with the principles of sound regulation set out in Law 39/2015, of 1 October. In this regard, the rules comply with the principles of necessity and effectiveness, given that there are well-founded reasons of general interest for its approval, and which have been reflected in the preceding paragraphs. It also complies with the required principles of proportionality, legal guarantee and efficiency, given that there is no regulatory alternative that is less restrictive in terms of rights, it is consistent with the legal system, and generates a stable and transparent regulatory framework, in addition to allowing for more efficient management of public resources. In order to safeguard the principles of transparency and participation when applying the rules, and prior to its approval, the draft rules have been submitted to consultation, view and public information through the UVA's open government portal so as to obtain the opinion and suggestions of all those affected by said rules.

The rules are issued under the university's regulatory and self-organisation powers, under Article 27.10 of the Spanish Constitution, Article 2.2 of Organic Law 6/2001, of 21 December, governing universities, and Article 107.2 of the statutes of the University of Valladolid.

Pursuant to the above, at the proposal of the steering committee of the Doctoral School, with the report of the legal services, the governing council of the University of

Valladolid, in its session on 11<sup>th</sup> of May of 2022, hereby approves the following rules:

## CHAPTER I

### General provisions

#### **Article 1.** *Purpose.*

1. The purpose of these rules is to regulate doctoral studies from admission to a doctoral programme up until the presentation and defence of the doctoral thesis, in accordance with Royal Decree 99/2011, of 28 January, governing official doctoral studies, and by the provisions of Article 107.2 of the statutes of the University of Valladolid.

## CHAPTER II

### Admission and duration of doctoral studies

#### **Article 2.** *Admission to doctoral studies.*

1. Students who meet the requirements for admission to the doctorate established in Royal Decree 99/2011, of 28 January, may apply for admission to a doctoral programme following the procedure set out by the Doctoral School and within the deadlines indicated in the academic calendar of the University of Valladolid, which is approved annually.

2. The annual offer of places for new admissions to each doctoral programme shall be that set out in the approved verified report. This offer shall include reserving at least 5% of places for students with a recognised degree of disability that is equal to or greater than 33%, as well as for students with permanent educational support needs associated with personal disability circumstances and who in their previous studies have required resources and support to ensure their full educational inclusion.

3. A deadline for applications for admission to doctoral programmes shall be established at the beginning of each academic year. In those programmes in which not all the places offered in the first period have been filled, a second period for admission to these programmes may be established.

However, in exceptional circumstances the academic committees may accept applications outside these periods, under the established procedure.

4. The academic committees of the doctoral programmes shall conduct the admission process following the criteria set out in the verified report of the corresponding programme, which may be consulted on the University of Valladolid's website. At the time of admission, the academic committee of the doctoral programme must specify, when applicable, the additional training that each doctoral

student must take and pass. Applicants may consult their situation on the computer platform provided by the University of Valladolid.

**Article 3. *Enrolment in doctoral studies.***

Once admission to a doctoral programme has been obtained, the student shall register for the academic supervision of the doctoral programme under the procedure established by the School for Doctoral Studies and within the deadlines indicated in the academic calendar of the University of Valladolid, which is approved annually.

In any event, enrolment outside these deadlines will be possible when the student has been admitted in exceptional circumstances, as indicated in Article 2.3.

Enrolment, modification, and cancellation of enrolment and its economic and academic consequences will be governed by the current University of Valladolid rules on enrolment and refund of public prices.

2. It shall be understood that those persons admitted who do not formalise their first enrolment within the established period shall be considered to have forfeited their right to enrol in the programme mentioned above.

3. Except in cases of voluntary temporary withdrawal for a full academic year, doctoral students must renew their academic supervision registration each academic year within the established period.

4. Enrolment for complementary training shall be carried out at first enrolment in the doctoral programme. However, should said complementary training already have commenced or concluded at that time, students may enrol for the second supervision period. In any event, this further training must be successfully completed prior to the start of the third year of supervision, both for full-time and part-time students.

**Article 4. *Change of university in joint programmes.***

1. Doctoral students who are studying in a joint doctoral programme run by the University of Valladolid and who wish to continue at the University of Valladolid the studies which they have commenced at another university that is participating in the programme must apply to the School for Doctoral Studies management for authorisation to enrol. This application must be accompanied by a favourable report from the academic committee.

2. In these cases, their enrolment will be conditional upon verification that they have not exceeded the limits for remaining on the PhD programme.

**Article 5. *Maximum duration of doctoral studies and extensions.***

1. The duration of doctoral studies shall be calculated from the date the doctoral student is admitted to and enrolled on the programme until the application for submission of the doctoral thesis. The maximum duration shall be three years full-time and five years part-time, notwithstanding possible extensions and temporary withdrawals from the programme, as established in Royal Decree 99/2011 of 28 January.

2. Extensions will be authorised by the academic committee of the doctoral programme upon application by the doctoral student.

The duration of the first extension shall correspond to the doctoral student's full-time or part-time dedication at the time of authorisation.

3. Any additional training that may be established by the academic committee of the doctoral programme shall not be taken into account for the purposes of the limits established for the duration of doctoral studies.

For these purposes, the time not taken into account will be one month for every six ECTS or fraction of further training successfully completed within the established period, both for full-time and part-time students.

**Article 6.** *Adaptation of the type of doctoral enrolment for people with disabilities.*

1. Doctoral students enrolled full-time who accredit disability in the terms set out in Article 4 of Royal Legislative Decree 1/2013, of 29 November, approving the consolidated text of the General Law on the Rights of Persons with Disabilities and their Social Inclusion, may request their doctoral studies be adapted to their status as a person with a disability, for which they will have similar deadlines to those established for persons enrolled part-time.

2. The application shall be addressed to the management of the Doctoral School and accompanied by the corresponding supporting documentation.

**Article 7.** *Full-time or part-time dedication.*

1. Doctoral students may work full-time or part-time.

2. As a general rule, the timetable will be full-time. However, in accordance with Article 3 of Royal Decree 99/2011 of 28 January, doctoral students may request a change to part-time status in order to complete their doctoral thesis.

3. In order to be granted the status of part-time student, it is necessary to be in one of the following situations, which shall be accredited with documentary proof:

- a) To be engaged in work for at least one term of the academic year they will be commencing.
- b) To be taking care of a relative up to second degree kinship by blood or affinity.
- c) To be a high-level, high-performance, or high-level university sports person.
- d) To be in other exceptional situations that the programme's academic committee considers decisive for authorising part-time student status.

4. The application for full-time or part-time dedication may be made:

a) At the time of pre-enrolment. The application must be accompanied by the accrediting justification when seeking part-time study status.

b) Once the PhD student has enrolled, they may request a change in status, from full-time to part-time or vice versa, subsequent to providing due accreditation. The academic committee of the doctoral programme has the power to authorise the change in status. The academic committee may request a report from the thesis supervisor and tutor for this procedure.

5. Only one change in status per academic year will be authorised for each doctoral student. This will take effect from the day it is approved by the academic committee.
6. When a doctoral student is enrolled in the same doctoral programme on a full-time and part-time basis, the total duration of their doctoral studies shall be calculated as full-time, with each part-time day counting as 0.6 days on a full-time basis.
7. Applications for a change of status during the extension period do not affect the deadline for students remaining in their doctoral studies.

## CHAPTER III

### **Temporary withdrawal and de-registration from the doctoral programme**

**Article 8.** *Temporary withdrawal from the doctoral programme.*

1. Throughout their doctoral studies, doctoral students may apply to the academic committee of their doctoral programme for the following temporary withdrawals from the programme, as established in Article 3 of Royal Decree 99/2011, of 28 January:

- a) Absence due to illness, pregnancy or other causes provided for in current legislation.
- b) Voluntary temporary withdrawal from the PhD programme.

2. Withdrawals shall not be taken into account when calculating the deadline for remaining in doctoral studies.

3. During the period of absence from a doctoral programme, the doctoral student may not include any activity carried out during this period in the activities document. However, when they return to the PhD programme, they may include in their transcript only those merits recognised during their period of absence that are the result of work undertaken before their leave (acceptance of a paper at a conference, acceptance of an article in a journal, etc.).

**Article 9.** *Absence due to illness, pregnancy or other causes provided for in the current legislation.*

1. Application for these temporary withdrawals from the programme shall be accompanied by the appropriate supporting documentation and shall be submitted for the duration of the situation that gives rise to the withdrawal. Power to grant such a withdrawal lies with the academic committee.

2. The maximum duration shall be that established in the applicable rules. In any event, withdrawal from the programme shall initially be granted for a maximum of one year. However, withdrawal due to illness that does not indicate a final date shall be deemed to end on the last day of the academic year in which it was granted.

3. Temporary withdrawal from the programme does not exempt the student from the obligation to enrol within the deadlines established for each academic year.

4. Doctoral students who are temporarily absent will be assessed by the programme's academic committee within the established deadlines, except if said absence has

lasted for the whole academic year or more than nine months, in which case the academic committee may deem the student ineligible for assessment.

**Article 10.** *Voluntary temporary absence.*

1. Doctoral students may apply to leave the programme on a voluntary temporary basis for a maximum period of one year, which may be extended for a further year. This request must be addressed and justified to the academic committee responsible for the programme. Said committee will decide whether to grant the request.

These cancellations may be requested:

- a) Per full academic year.
- b) For periods shorter than the academic year.

2. In the case of temporary withdrawal for a full academic year, the deadline for applying shall be the same as for the renewal of enrolment for that academic year and it shall be extended for a maximum of one month after the end of that period.

In this case, the doctoral student will not be obliged to enrol for the academic year and if the enrolment has already been formalised, it will be cancelled. If they have already paid the registration fee, they will be entitled to a refund of the registration fee.

The doctoral student's file will remain closed during this period, and the academic committee will not carry out any evaluation.

3. If temporary withdrawal does not cover a full academic year, absence may be requested for at least three months. Requests may be submitted at any time and will take effect from the moment they are granted by the academic committee. In no case will they be applied retrospectively.

Said absence does not exempt the student from the obligation to enrol each academic year. The student will be assessed by the programme's academic committee within the established deadlines, except if the absence has lasted for more than nine months, in which case the academic committee may deem the student ineligible for assessment.

4. No voluntary temporary withdrawal may be authorised during the first year of enrolment in the doctoral programme.

**Article 11.** *Permanent withdrawal from the doctoral programme.*

1. Permanent withdrawal from a doctoral programme will mean that the student will not continue their studies in the same doctoral programme in which they were enrolled, and their doctoral record will be closed. However, the student may apply for admission to a different doctoral programme as a new doctoral student.

2. A doctoral student will be permanently withdrawn from a doctoral programme in the following cases:

- a) When they fail to successfully complete the further training within the established period.



b) When they exceed the maximum continuance periods, including authorised extensions, as set out in these rules.

(c) When they fail to request an extension or have the requested extension refused.

d) When the academic committee of the programme issues a negative report as a result of having found significant faults when assessing the research plan and activities document, as established in Royal Decree 99/2011, of 28 January.

e) When the student fails to register or renew the annual registration within the established deadlines without the application for voluntary withdrawal for a full academic year having been authorised or when failing to pay the corresponding public fees.

f) When the student requests to leave the programme. Notification of withdrawal will be presented to the academic committee of the programme, and the EsDUVa administrative secretary's office will be informed.

Exceptionally, in the case of definitive withdrawals referred to in sections e) and f), the standing committee of the EsDUVa, having heard the programme's academic committee, may authorise re-admission of the doctoral student, once only, within the ordinary deadlines established in the academic calendar for admission and enrolment and in competitive concurrence with the other candidates. Upon re-admission, the previous period of continuance on the programme will be taken into account in order to calculate the duration of the student's stay on the doctoral programme.

## CHAPTER IV

### The tutor and the thesis supervisor

#### **Article 12.** *Doctoral student's tutor.*

1. The academic committee of the programme will assign a tutor to each doctoral student upon admission.

2. The tutor is the lecturer responsible for ensuring that the doctoral student's training and research activity is in line with the principles, criteria and rules governing the programme and the EsDUVa. The tutor is also responsible for ensuring interaction between the doctoral student and the academic committee of the doctoral programme.

3. The tutor must belong to the teaching staff of the PhD programme and have accredited research experience, endorsed by holding at least one period of recognised research activity under the provisions of Royal Decree 1086/1989, of 28 August, governing the remuneration of university teaching staff. If the researcher occupies a position in which the above-mentioned evaluation criterion does not apply, they must credit merits comparable to those indicated. These merits must be accredited by the academic committee of the doctoral programme, following the criteria of the National Commission for the Evaluation of Research (CNEAI), and must be approved by the doctoral thesis committee.

4. The academic committee of the programme, after hearing the parties, may modify the appointment of the tutor at any time during the period of the doctoral programme, if there are justified reasons.

5. The same person may be both tutor and thesis supervisor.

**Article 13. Doctoral thesis supervisor.**

1. The programme's academic committee will assign a supervisor for the doctoral thesis to each doctoral student upon admission. If for justified reasons, this assignment cannot be made at that time, the academic committee shall designate a supervisor within a maximum period of three months after enrolment.

2. The thesis supervisor will be the person ultimately responsible for directing the doctoral student's research work and for overseeing the consistency and suitability of the training activities, the impact and novelty of the subject matter of the doctoral thesis in their field and for guiding the planning and suitability of other projects and activities in which the doctoral student is involved.

3. The thesis supervisor must be a Spanish or foreign doctor, regardless of the university, centre, or institution in which they are engaged, and must have accredited research experience, endorsed by holding at least one period of recognised research activity following the provisions of Royal Decree 1086/1989, of 28 August, governing the remuneration of university teaching staff. If the researcher occupies a position in which the above-mentioned evaluation criterion does not apply, they must accredit merits comparable to those indicated. These merits must be accredited by the academic committee of the doctoral programme, under the criteria of the CNEAI, and must be approved by the doctoral thesis committee.

4. With the prior authorisation of the academic committee of the PhD programme, the thesis may be supervised by two doctors. Exceptionally, in the case of programmes undertaken in national or international collaboration on a joint supervision or industrial doctorate basis, or when there are reasons of an academic nature or thematic interdisciplinarity, three supervisors may be appointed. The body responsible for authorisation may subsequently revoke this decision if, in its opinion, co-supervision does not benefit the thesis. The requirements to be a thesis supervisor, established in the previous section of this article, shall be understood to refer to all the directors of the doctoral thesis.

5. A supervisor may not supervise more than five theses at the same time, regardless of whether the theses are full-time or part-time. To calculate the maximum number of theses supervised at any one time, a factor of 0.5 shall be applied to each co-supervised thesis.

6. In general, the thesis supervisor may not be a retired person. If the supervisor retires during the course of the doctoral thesis, they may continue to supervise said thesis until its completion and defence. Emeritus and honorary emeritus professors may supervise doctoral theses insofar as this is stipulated in the corresponding rules of the University of Valladolid.

7. The academic committee of the programme, after hearing the parties, may modify

the appointment of the doctoral thesis supervisor at any time during the period of the doctoral programme, provided there are justified reasons.

## CHAPTER V

### Supervision and monitoring of the doctoral student

#### **Article 14.** *Commitment to supervision.*

1. Once the first registration for academic supervision on the programme has been formalised and the thesis supervisor has been appointed, a supervision agreement shall be signed, following the model established by the EsDUVa, between the following parties: the PhD student, the coordinator of the PhD programme, the supervisor of the PhD thesis and the tutor.

2. This supervision commitment shall include a conflict resolution procedure and shall consider the aspects relating to the intellectual or industrial property rights that may emerge as a result of the doctoral thesis, including, where appropriate, the system for allocating exploitation rights. In addition, the supervision commitment will include a clause in which the signatories undertake to be fully aware of and to comply with their duties and rights and to respect the University of Valladolid code of good practice in research.

3. The supervision commitment will be reviewed and re-signed each time there is a change in the doctoral student's thesis supervision or tutoring.

#### **Article 15.** *Doctoral student activity document (DAD) and research plan.*

1. When the first registration for academic supervision in the doctoral programme is formalised, each student shall be provided with a doctoral student activity document (DAD), consisting of a personal record of all the training and research activities carried out by the student during the period in which they are enrolled in the doctoral studies.

2. The student's activity document will be regularly reviewed by the tutor and the supervisor of the doctoral thesis.

3. Before the end of the first year, the PhD student will draw up a research plan, endorsed by the tutor and the supervisor of the doctoral thesis, which will include at least, the title, the methodology to be used in the research, and the objectives to be achieved, as well as the means and timeline for achieving them. The research plan may be improved and detailed throughout the student's stay on the programme, always with the approval of the tutor and the supervisor of the doctoral thesis.

#### **Article 16.** *Annual assessment of the doctoral student.*

1. The programme's academic committee shall jointly assess the doctoral student's progress annually in terms of the research plan and the activities document, together with the reports to be issued for this purpose by the director and the tutor.

2. If the academic committee detects major faults, it may ask the PhD student, within six months and as a second assessment of the academic year in which the faults

were seen, to present a new research plan or to carry out certain activities that will be included in the DAD during the current academic year. Should the faults persist, the academic committee shall issue a reasoned negative report, and the doctoral student shall be permanently withdrawn from the programme, with the effects established in Article 11 of these rules.

3. A complaint may be filed against the assessment mentioned above with the Doctoral School's guarantees committee within ten days, against whose decision an appeal may be filed with the chancellor within one month. The guarantees committee shall only analyse whether the assessment has been carried out under the applicable rules and procedures and, if appropriate, instruct the academic committee to conduct a new evaluation. After the academic committee's second assessment, no further appeal may be filed with the guarantees committee, notwithstanding the right to file an appeal with the chancellor within one month.

**Article 17.** *Support for students with special needs.*

Appropriate support and counselling services for students with special educational needs shall be ensured during their time on the programme.

## CHAPTER VI

### The doctoral thesis

**Article 18.** *Definition.*

1. Royal Decree 99/2011, of 28 January, sets out that the doctoral thesis consists of an original piece of research work carried out by the doctoral student in any field of knowledge, the preparation of which must enable the doctoral student to work independently in the field of R+D+i.

2. The University of Valladolid envisages two possible formats of doctoral thesis: the standard format, and by a compendium of publications.

**Article 19.** *Doctoral thesis in standard format.*

1. The thesis in standard format must include a table of contents, an introduction, a body of clearly differentiated chapters, conclusions and a bibliography. A thesis in this format may not be a compilation of scientific publications.

2. At least one contribution (article, book chapter, book or monograph, patent, etc.) related to the doctoral thesis that meets any of the National Agency for Quality Assessment and Accreditation (ANECA) criteria for the recognition of research sections in the area of knowledge in which the thesis is carried out will be presented in order to accredit the quality of the standard thesis format. The date of acceptance of this contribution must fall within the doctoral student's period in the doctoral programme. The doctoral thesis committee will publish the criteria for assessing the quality of this contribution after consulting the academic committees of the doctoral programmes.

3. A contribution signed by two or more doctoral students can only support one thesis.

**Article 20.** *Doctoral thesis by compendium of publications.*

1. The doctoral thesis by a compendium of publications will consist of a minimum of three scientific articles that have been accepted or published in a medium of impact, in accordance with ANECA criteria for the area of knowledge in which the thesis is presented, and within the period in which the doctoral student has been enrolled in the doctoral programme, provided that these publications merit consideration as original works produced by the doctoral student.

2. A thesis in this format must include a table of contents, an introduction, a body made up of the different articles, conclusions, and a bibliography. The articles must be included in full, with the publication's precise reference and all the authors' names and affiliations. Each co-author must provide a signed document specifying the contribution of the doctoral student to the work and stating that the co-author agrees to this publication forming part of the thesis and waiving the right to include it in another thesis as a compendium or to present it as a contribution to an ordinary thesis. Likewise, and for the subsequent publication of the thesis in the UVA document repository, the PhD student must submit, together with the full version of the thesis, a version in which each publication has been replaced by a page containing: the complete reference, abstract and DOI (Digital Object Identifier) of the scientific article. This copy is the one that will be published openly in the University of Valladolid document repository.

3. When assessing theses submitted in this format, special consideration will be given to the consistency and thematic connection of the research underlying the publications. The introduction should therefore be sufficiently extensive and justify the thematic relationship of the publications and relevance of their joint contribution, describing the overall objectives pursued by the research and the methodology used.

**Article 21.** *Theses under international co-supervision.*

1. The University of Valladolid may establish agreements with universities in other countries whereby both recognise the validity of theses carried out on a co-supervision basis and undertake to issue the doctoral degree at the person's request.

2. During the term of the agreement, the doctoral student must be enrolled in doctoral studies at both universities and will have a director at each. The minimum stay for research work at each institution shall be six months and may be undertaken in a maximum of three periods. Stays and activities will be reflected in the co-supervision agreement and will be accredited through certificates signed by the persons responsible for the stays, which will be included in the doctoral student's activities document.

3. The doctoral student must follow the ordinary procedure for deposition, public presentation and admission to defence stipulated by these rules.

4. The defence of the thesis shall be a single event and shall be held at either of the two universities, as specified in the agreement. The examining board shall have the approval of the doctoral thesis committee - or equivalent body of both institutions - and shall send an original record of its proceedings to the competent body of each university.

5. The agreement shall be processed and signed during the first year of enrolment in doctoral studies at the University of Valladolid. In exceptional cases in which the doctoral thesis committee so authorises, and following a reasoned request from the promoter of the agreement, processing may commence and conclude during the second year of enrolment in the doctoral studies.

6. For the thesis to be eligible for the "cum laude" mention if it is not defended at the University of Valladolid, the co-supervision agreements must specify how compliance with the requirements detailed in Article 14.7 of Royal Decree 99/2011, of 28 January will be guaranteed. Likewise, co-tutelage agreements must include how compliance with the requirements established for eligibility for the outstanding doctorate award will be guaranteed.

**Article 22. *Theses with the "International Doctorate" mention.***

The title of doctorate may include the words "Doctorado Internacional" (International Doctorate) on the front, provided that the following conditions are met, which must be accredited:

a) That, during the period of training required to obtain the title of doctor, the doctoral student has spent a minimum of three months - which may be undertaken in two periods - outside Spain, in a single higher education institution or prestigious public or private research centre and, in general, different to the one from which the student came, studying or carrying out research work. This circumstance will be accredited through a certificate signed by the person responsible for the stay at the host institution. The stay and the activities, endorsed by the director and authorised by the academic committee, will be included in the DAD.

b) Part of the doctoral thesis, at least the summary and conclusions, must have been written and defended in one of the languages commonly used for scientific communication in their field of knowledge, other than any of the official languages in Spain. Doctoral programmes may require other parts of the thesis or the whole thesis to be written in this language. This rule shall not apply when the stays, reports and experts come from a Spanish-speaking country.

c) The thesis must have been assessed by at least two experts from a non-Spanish higher education institution or research institute. These experts may not be the same as the researcher responsible for the PhD student's stay or the person who carried out tutoring or supervision tasks at the host institution.

d) At least one expert from a non-Spanish higher education institution or research centre, who holds the title of doctor, and other than the person responsible for the stay, must have been a member of the thesis examining board.

**Article 23. *Theses with the "Industrial Doctorate" mention.***

1. The title "Doctorado industrial" (International Doctorate) may appear on the front of the doctoral degree, provided that the following conditions, which must be accredited, are met:

a) The doctoral student has an employment or commercial contract with a company in the private or public sector or with public administration during the

period of the doctoral student's stay on the programme. The contract must have a duration of at least one year full-time or two years part-time. The documentation accrediting the contractual relationship will be included in the DAD, safeguarding third parties' personal data.

b) The doctoral student participates in an industrial research or experimental development project carried out in the company or public administration in which the service is provided, which may not be a university. The industrial research or experimental development project in which the PhD student participates must be directly related to the thesis submitted. This direct relationship will be accredited using a scientific-technical report included in the DAD. It must be approved by the academic committee of the doctoral programme in accordance with the procedure established by the EsDUVa.

2. In addition to the tutor appointed by the academic committee of the doctoral programme, the doctoral student will have a supervisor appointed by the company or public administration, who may, where appropriate, be the supervisor of the thesis, provided they meet the requirements established in Article 13.3 of these rules.

3. If the industrial research or experimental development project is carried out in collaboration between the university and the company or public administration in which the doctoral student works, a framework collaboration agreement shall be signed between the parties. This agreement shall indicate the obligations of the university and the obligations of the company or public administration, as well as the selection procedure for doctoral students, which may include students who are in the second academic year of enrolment for the doctorate if they are enrolled full-time, or in the fourth academic year if they are enrolled part-time.

The collaboration will be understood to exist when tangible or intangible resources of the University of Valladolid are used during the preparation of the doctoral thesis and when the director is a member of the UVa staff.

**Article 24.** *Request for confidentiality.*

1. The doctoral student may request the confidentiality of specific aspects of the doctoral thesis from the academic committee of the doctoral programme at the time the thesis is submitted when the following circumstances apply:

- a) Company participation in the PhD programme.
- b) The existence of confidentiality agreements with companies.
- c) The possibility of generating patents based on the content of the thesis.
- d) Other exceptional circumstances determined by the academic committee of the doctoral programme.

2. The necessary documentation shall accompany the application to accredit the concurrence of any of the circumstances established in the previous section and the thesis supervisor shall issue a report.

3. In order to request authorisation to defend the doctoral thesis in a confidential situation, the doctoral student must submit, together with the full doctoral thesis, a

version of the thesis in which the content deemed confidential has been removed. This version will be deposited at the University of Valladolid document repository during the restriction period.

4. Both the experts who issue a report on the thesis and the examining board will have access to the full version of the thesis and will be aware of the aspects deemed confidential in the doctoral thesis and which have been protected. During the defence of the thesis, the PhD student is not obliged to expose publicly all the information that has been indicated as confidential.

5. Doctors who have access to the thesis during the public display period or the evaluation will be required to sign a confidentiality agreement.

## CHAPTER VII

### Deposition and admission to defence of the doctoral thesis

**Article 25.** *Application to deposit the thesis.*

1. Once the doctoral thesis has been completed, the doctoral student will apply to the academic committee of the doctoral programme to deposit the thesis. This represents the start of the procedures before the thesis is deposited, defended and assessed.

In any event, the application to deposit the thesis must be made before the maximum period for remaining in doctoral studies set out under current legislation has expired, given that the duration of doctoral studies is calculated from the date of first enrolment in the programme until the application to deposit the doctoral thesis.

2. In order to proceed with the application to deposit the doctoral thesis, the doctoral student must meet the following requirements:

a) to be enrolled in at least the second academic supervision of the programme, either full-time or part-time and to be up to date with the payment of public fees for the academic supervision of the doctoral thesis.

In exceptional cases, authorisation may be requested to submit the doctoral thesis before the second academic year, in writing, and addressed to the doctoral thesis committee. The request must be motivated by scientific and academic reasons and have received a favourable and reasoned report from the programme's academic committee. This request to deposit the doctoral thesis must be accompanied by the resolution granting the exceptional authorisation.

b) to have the DAD validated and a favourable report on the research plan issued by the director and tutor.

c) to have been given a positive evaluation from the academic committee of the programme on the research plan and the DAD.

d) to be within the time limits established in the applicable rules governing continuance.



e) to submit a report from the thesis supervisor and, if applicable, from the directors and tutor, who will validate the application to deposit the thesis.

3. The academic committee of the doctoral programme may establish in the programme's verification report minimum quality and impact requirements to apply for deposition of the doctoral thesis as well as those established in Articles 19 to 23 of these rules.

4. The doctoral student will submit the application to deposit the thesis through the electronic procedure provided by the University of Valladolid.

5. In addition to the doctoral thesis, the doctoral student will include in the application file the electronic documentation or accreditations required by the EsDUVa and by the doctoral programme.

**Article 26. Authorisation to deposit the thesis.**

1. If the application to deposit the thesis fails to meet the requirements or lacks documentation, the academic committee of the doctoral programme will request the doctoral student amend the application and provide the appropriate documents within ten days and indicate that, should they fail to do so, the application will be considered withdrawn.

2. The application to deposit the thesis will be studied by the academic committee of the PhD programme, who will request and include in the dossier two reports on the relevance of the thesis, issued by two external expert doctors belonging to two different institutions. Also included will be accreditation that these doctors meet all the requirements specified in Article 27 of these rules. In the case of the Consejo Superior de Investigaciones Científicas (CSIC - Spanish National Research Council), they may be doctors belonging to different research institutes.

3. Once the thesis has been received, the two external experts will send the academic committee the mandatory individual and reasoned report, including an assessment of the thesis, possible improvements and a recommendation as to whether or not to authorise its defence. The reports will be sent to the thesis supervisor and also to the doctoral student so that they can make any changes which the external experts have recommended, if necessary.

4. The academic committee will examine the doctoral thesis. Taking into consideration its contributions to current knowledge in the field in which it has been written, the quality of its writing and presentation, as well as the two external reports and the rest of the documentation, the committee will decide whether or not to authorise deposition of the thesis within a maximum period of three months from the date of application. Within this period, the academic committee may:

a) authorise the thesis to be deposited, propose the examining board, following Article 29 of these rules, and transfer the file to the doctoral thesis committee.

b) require the doctoral student to make the changes deemed necessary, due to the external reports, and to submit a new version of the thesis accompanied by a response document detailing the improvements introduced. The PhD student will have a maximum of three months to submit this new version.

c) not authorise deposition of the thesis. The doctoral student will be notified so that, within ten days of receipt of notification, they may present the appropriate arguments. Once the arguments submitted have been examined, the academic committee of the doctoral programme will decide on whether or not to authorise deposition of the thesis. An appeal against this decision may be filed with the chancellor.

5. Once authorised by the academic committee, the thesis will be deposited and may no longer be changed, except in the cases established in Article 28.3 c) of these rules.

6. The announcement of the deposited thesis will be made public on the internet portal of the University of Valladolid for ten academic days, calculated from the day following the date of deposit, so that any doctor who so requests may consult it and, should they deem it appropriate, make any observations that they feel to be pertinent in writing to the doctoral thesis committee of the EsDUVa.

**Article 27. Requirements to be met by external experts.**

1. The external experts from whom the reports referred to in Article 26.2 of these rules are requested must meet the following requirements:

a) To hold a doctorate.

b) To have accredited research experience, endorsed by holding at least one period of recognised research activity in the last seven years or two in previous periods, following the provisions of Royal Decree 1086/1989, of 28 August. If the researcher occupies a position in which the above-mentioned criterion does not apply, they must accredit merits comparable to those indicated. The impact index and the indexation bases used must be indicated if publications are provided. These merits must be accredited by the academic committee of the doctoral programme, following CNEAI criteria, and must be approved by the doctoral thesis committee.

c) To belong to universities, higher education, or research institutions outside the University of Valladolid. If the mention of "International Doctor" is requested, the institutions to which they belong may not be Spanish.

2. The following may not issue a report on a doctoral thesis:

a) Lecturers belonging to the doctoral programme.

b) For standard format theses, the co-authors of the contribution related to the thesis that is included as the accreditation of the quality of the thesis.

c) For theses by compendium of publications, the co-authors of the publications that make up the doctoral thesis.

d) For co-supervised theses, researchers belonging to the institutions participating in the agreement.

e) When applying for the title of "International Doctor", they may not coincide with the researcher responsible for the PhD student's stay, nor with those who carried out tutoring or supervision tasks in the host institution.

3. The reports shall be completed on the standard form established.

**Article 28. Authorisation to defend the thesis.**

1. At the end of the public display period, the doctoral thesis committee of the EsDUVa will examine the documentation received, check that the proposed panel meets the quality requirements established in these rules and, where appropriate, the comments submitted during the public display period.

2. If the doctoral thesis committee of the EsDUVa considers that the reports of the external experts are not sufficiently conclusive or that there are no clear indications of quality in the doctoral thesis, it may:

a) urge the doctoral candidate and supervisor to provide a reasoned response to the observations.

b) consult the academic committee of the doctoral programme for any other information it considers necessary.

c) following the principle of peer review that is customary in the scientific community, request additional reports from other doctors who meet the requirements set out in Article 27 so that they may issue a reasoned assessment of the thesis. Therein they should expressly conclude whether or not the thesis is appropriate for defence. These reports shall in no case be binding.

3. Having received all the documentation, the doctoral thesis committee will decide, within a maximum period of three months from the date on which deposition was authorised, on the following:

a) To authorise the defence of the thesis and to propose to the chancellor the appointment of the thesis examining board.

b) Not to authorise the defence of the thesis. In this case, the doctoral student will be notified such that, within ten days of receipt of notification, they may present the appropriate arguments. Once the arguments submitted have been examined, the doctoral theses committee will decide on whether or not to authorise deposition of the thesis.

c) Require the doctoral student to make the necessary amendments to the thesis within a maximum period of three months. With the amendments included, the thesis will be accompanied by a new report from the thesis supervisor together with a document detailing the changes made. This must also be accompanied by authorisation from the academic committee. Once the thesis has been submitted, the doctoral thesis committee will decide whether or not to authorise the defence within one month.

4. An appeal may be filed with the chancellor against the final decision of the doctoral thesis committee.

## CHAPTER VIII

### Examination and defence of the doctoral thesis

**Article 29.** *Composition of the doctoral thesis examining board.*

1. The doctoral thesis will be assessed by an examining board composed of three doctors, one of whom will act as chairperson and another as secretary.
2. The academic committee of the doctoral programme, having heard the supervisor, will propose to the doctoral thesis committee the composition of the examining board, which will contain the names of the three full members and two substitute members.
3. The members and substitute members of the examining board may not include more than one member from the same university or its collaborating institutions, taking into account all the institutions in which each member carries out their activity.
4. All the proposed members of the examining board must meet the following requirements:
  - a) to hold a doctorate.
  - b) to have accredited research experience in the terms specified in Article 27.1.b).
  - c) to belong to a university, higher education or research institution and be serving in that institution. However, with due justification, a maximum of one member and one substitute member may practise their profession outside the institutions mentioned above. In any event, a majority of the examining board members must be from universities or higher education or research institutions.
  - d) to have a research profile appropriate to the subject of the thesis.
5. Emeritus and honorary emeritus professors may form part of thesis examining boards insofar as this is stipulated in the corresponding rules of the University of Valladolid.
6. The following may not sit on the examining board:
  - a) The tutor and the supervisor of the thesis, except in the case of theses presented within the framework of bilateral co-supervision agreements with foreign universities that so provide, and only if the thesis is defended at the other university.
  - b) For standard format theses, the co-authors of the contribution related to the thesis that is included to accredit the quality of the thesis.
  - c) For theses by compendium of publications, the co-authors of the publications that make up the doctoral thesis.
7. In the case of theses with the title "International Doctor", there must be one doctor from a non-Spanish higher education institution or research centre on the examining board. This examining board member may not be the person responsible for the stay.
8. In the case of theses under international co-supervision and when the thesis is defended at the other university, the composition of the examining board may be different from that indicated above if so established in the agreement.

**Article 30.** *Appointment of the examining board.*

1. Once the defence of the thesis has been authorised, the doctoral thesis committee

of EsDUVa, at the proposal of the academic committee, will propose to the chancellor the appointment of the examining board, specifying who will act as chairperson and secretary.

2. The EsDUVa will notify each member of the appointment of the examining board, and the appointment document will be made available to the PhD student, the tutor, the thesis supervisor, and the programme coordinator.

3. The documents stipulated by the EsDUVa - and following the established procedure - shall be made available to the examining board members.

**Article 31.** *Defence proceedings and constitution of the examining board.*

1. After a minimum of three academic days from the day following notification of the appointment of the examining board, the president shall convene the defence of the doctoral thesis. This event shall take place in a public session at any centre of the University of Valladolid during the academic term and within a maximum period of three months from the appointment of the examining board.

Exceptionally, if it is in the interest of the University of Valladolid, when the thesis is deposited the doctoral thesis committee may be asked to authorise the defence thereof in facilities that do not belong to the University of Valladolid.

2. The secretary will notify the doctoral thesis committee of the call for defence, stating the place, or URL if it is virtual, the date and time of the event so that it can be published on the University of Valladolid's website at least three academic days before the defence is held.

3. The examining board shall be constituted before the defence of the doctoral thesis in the presence of all members or, where appropriate, of those replacing them. If the examining board fails to meet the deadlines established for its constitution, the chancellor, either ex officio or at the request of the doctoral thesis committee, shall replace the chairperson.

**Article 32.** *The defence proceedings.*

1. The doctoral thesis will be assessed through public defence.

The defence will begin with a presentation by the doctoral student of their research work. Subsequently, the examining board members will give their opinion on the thesis, and there will be a debate with the doctoral student. The other doctoral students present at the event may speak at the time and in the manner indicated by the chairperson of the examining board.

2. When assessing the thesis, the examining board will also consider the doctoral student's training activities as stated in their DAD.

3. If, in the opinion of the chairperson of the panel, the defence cannot take place for a justified reason a new call for the defence ceremony may be made. This must be held within the following fifteen academic days and announced on the University of Valladolid's internet portal at least three academic days in advance.

**Article 33.** *Participation in the defence proceedings by videoconference.*

1. The defence will preferably take place in person. If the presence of any of the members of the examining board is not possible, attendance may be by videoconference.
2. The defence ceremony may be virtual, with videoconference attendance by all participants, at the request of the examining board or the doctoral candidate and must be authorised by the chairperson of the doctoral thesis committee by delegation of the latter.
3. In any event, when the members of the examining board or the doctoral candidate are taking part in the thesis defence by videoconference, it will be necessary to ensure:
  - a) The correct identification of the members of the examining board and the PhD candidate at the start of the defence.
  - b) The existence of the necessary material and human resources to ensure that on-line connection is available throughout the event so as to allow it to be conducted properly and in accordance with the requirements for the evaluation and assessment of the thesis.
  - c) The event is held in a public session.

**Article 34.** *Assessment of the doctoral thesis.*

1. Once the defence has been completed, the examining board will meet in a private session to assess the thesis. Each examining board member will issue a written assessment report on the thesis. The examining board will decide on an overall grade in accordance with the following scale: "fail", "pass", "excellent", and "outstanding".
2. The assessment session will end with the public announcement of the overall grade awarded to the doctoral student.
3. The minutes corresponding to the presentation and defence of the thesis together with each member of the examining board's report will be sent to the EsDUVa within five academic days following the defence.
4. If the overall grade awarded is "outstanding", the examining board may award the mention of "cum laude" if a unanimous favourable secret ballot is cast. In addition, each member of the examining board will assess the scientific quality of the thesis, assigning a score between 1 and 10 - to one decimal place -, which will be taken into account if the new doctor applies for the outstanding doctorate award. These assessments will be anonymous and will preferably be formalised electronically in the manner and in accordance with the procedure established by the EsDUVa.
5. Subsequently, in a public session chaired by the director of the EsDUVa or the person they delegate, the votes will be counted to award the "cum laude" mention, and the result of the vote will be recorded in the minutes, together with the average of the marks awarded by the members of the panel. This must be taken into account in the case of the outstanding doctorate award. All of this will be carried out following the procedure established by the EsDUVa for the signing of the minutes and the casting of secret votes in the defence and assessment of doctoral theses.

**Article 35. Archiving, access, and dissemination.**

1. Once approved, the doctoral thesis will be filed in open electronic format in the University of Valladolid documentary repository, from where a copy of the thesis will be sent, where appropriate, to other institutional repositories established under current legislation, also in electronic format, as well as all the complementary information that may be necessary for the appropriate purposes.

2. In the circumstances referred to in Article 14.6 of Royal Decree 99/2011, of 28 January, and in any other circumstances covered by legislation, University of Valladolid procedure shall be followed to ensure the non-publicity of aspects concerning confidentiality agreements with companies or the creation of patents related to the content of the thesis, as well as confidentiality and respect for copyright. The university shall regulate the dissemination of and access to doctoral theses held in its institutional repository.

**First additional provision. Deadlines.**

For the purposes of the periods established in these rules, unless otherwise stated, they shall be understood to be academic terms in accordance with the academic calendar approved each year by the University of Valladolid. Periods declared as non-working days by resolution of the chancellor's office shall also be considered.

**Second additional provision. Code of good practice in research.**

All members of the Doctoral School must sign a commitment to comply with the University of Valladolid code of good research practices, adopted by the EsDUVa. Members of the EsDUVa management and doctoral thesis committee who do not belong to a doctoral programme will sign it upon acceptance of their appointment. All teaching staff shall sign it before joining a doctoral programme.

**First transitional provision. Maximum number of supervisors of a thesis and maximum number of theses to be supervised by one supervisor.**

Within two years of the coming into force of these rules, the academic committees of the doctoral programmes shall adjust the maximum number of supervisors of a thesis and the maximum number of theses that one supervisor may supervise simultaneously, as established in Article 13, sections 4 and 5, of these rules.

**Second transitional provision. Absence due to circumstances.**

Doctoral students who, on the date these rules come into force, are on leave of absence due to circumstances, granted under the previous rules, shall remain in this situation until the authorised date. However, in no case may this absence exceed the end of the academic year in question at the time these rules come into force.

**Sole repealing provision. Repeal of legislation**

1. When these rules come into force, the rules for presenting and defending doctoral theses at the University of Valladolid approved by governing council agreement of 3 June 2016 (BOCYL 15 June 2016), as well as the internal rules of the doctoral committee of the University of Valladolid, approved at the meeting of the standing committee of the governing council on 23 January 2017, shall be repealed.

2. Any other regulation of equal or lower rank that contradicts or opposes the provisions of this rule shall also be repealed.

**First final provision.** *References to the doctoral committee.*

All references to the doctoral committee in any other current UVa rules shall be understood to refer to the doctoral thesis committee.

**Second final provision.** *Coming into force.*

This rule shall come into force on the day following its publication in the official gazette of Castilla y León.