### Table of contents

<table>
<thead>
<tr>
<th>Chapter I. General provisions</th>
<th>4</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Definition of concepts</td>
<td>4</td>
</tr>
<tr>
<td>Chapter II. Doctoral degree courses</td>
<td>7</td>
</tr>
<tr>
<td>1. Course structure</td>
<td>7</td>
</tr>
<tr>
<td>1.1. Organisation</td>
<td>7</td>
</tr>
<tr>
<td>1.2. Duration</td>
<td>7</td>
</tr>
<tr>
<td>2. Eligibility</td>
<td>7</td>
</tr>
<tr>
<td>3. Admission</td>
<td>8</td>
</tr>
<tr>
<td>3.1. Bridging courses</td>
<td>8</td>
</tr>
<tr>
<td>4. Enrolment</td>
<td>8</td>
</tr>
<tr>
<td>4.1. Enrolment</td>
<td>8</td>
</tr>
<tr>
<td>4.2. Payment</td>
<td>9</td>
</tr>
<tr>
<td>4.3. Student insurance</td>
<td>9</td>
</tr>
<tr>
<td>4.4. Withdrawal of enrolment</td>
<td>9</td>
</tr>
<tr>
<td>5. Supervision and monitoring</td>
<td>9</td>
</tr>
<tr>
<td>5.1. Tutor</td>
<td>9</td>
</tr>
<tr>
<td>5.2. Thesis supervisor</td>
<td>10</td>
</tr>
<tr>
<td>5.2.1. Student-supervisor agreement</td>
<td>10</td>
</tr>
<tr>
<td>5.3. Doctoral Student Activity Report</td>
<td>11</td>
</tr>
<tr>
<td>5.4. Research plan</td>
<td>11</td>
</tr>
<tr>
<td>5.5. Assessment</td>
<td>12</td>
</tr>
<tr>
<td>5.5.1. Bridging courses</td>
<td>12</td>
</tr>
<tr>
<td>5.5.2. Assessment of the doctoral student (annual tutorials)</td>
<td>12</td>
</tr>
<tr>
<td>5.5.3. Review of assessment results</td>
<td>12</td>
</tr>
<tr>
<td>5.6. Changing to a different doctoral programme</td>
<td>12</td>
</tr>
<tr>
<td>5.7. Changing a thesis supervisor</td>
<td>12</td>
</tr>
<tr>
<td>Chapter III. Doctoral thesis</td>
<td>14</td>
</tr>
<tr>
<td>1. Definition</td>
<td>14</td>
</tr>
<tr>
<td>2. Pre-assessment</td>
<td>14</td>
</tr>
<tr>
<td>3. Examination panel</td>
<td>14</td>
</tr>
<tr>
<td>4. Registration</td>
<td>15</td>
</tr>
<tr>
<td>5. Deposit</td>
<td>16</td>
</tr>
<tr>
<td>6. Formalities prior to the thesis reading and appointment of the panel</td>
<td>16</td>
</tr>
<tr>
<td>6.1. Incidents involving the examination panel</td>
<td>16</td>
</tr>
<tr>
<td>6.2. Public announcement</td>
<td>17</td>
</tr>
<tr>
<td>6.3. Deadline</td>
<td>17</td>
</tr>
<tr>
<td>7. Suspension</td>
<td>17</td>
</tr>
<tr>
<td>8. Public thesis defence</td>
<td>17</td>
</tr>
<tr>
<td>8.1. Presentation and defence</td>
<td>17</td>
</tr>
<tr>
<td>8.2. Assessment</td>
<td>18</td>
</tr>
<tr>
<td>8.3. “Cum laude” distinction</td>
<td>18</td>
</tr>
<tr>
<td>8.4. Documentation</td>
<td>18</td>
</tr>
<tr>
<td>9. “International Doctor” distincti on</td>
<td>18</td>
</tr>
<tr>
<td>10. Submission of the doctoral thesis as a summary of publications</td>
<td>19</td>
</tr>
<tr>
<td>11. Submission of the thesis with associated patent processes and/or confidentiality agreements</td>
<td>19</td>
</tr>
<tr>
<td>12. Publication of, visibility of and access to the thesis</td>
<td>20</td>
</tr>
<tr>
<td>Chapter IV. Doctoral qualifications</td>
<td>22</td>
</tr>
<tr>
<td>1. Issuance of the doctoral degree certificate and the European Diploma Supplement</td>
<td>22</td>
</tr>
<tr>
<td>2. Honorary doctorates</td>
<td>22</td>
</tr>
</tbody>
</table>
3. Equivalency of foreign doctoral degrees
4. Homologation of doctoral degrees
5. Special doctoral awards

Chapter V. Organisation
1. Doctoral degree courses
   1.1. Academic committee for the doctoral programme
   1.2. Programme coordinator
   1.3. Proposals to introduce new programmes
   1.4. Information associated with the programme
   1.5. Programme review procedures

Final resolution: appeals system

References

Appendix I. Doctoral students who began their studies under earlier regulations
Appendix II. Student-supervisor agreement
Appendix III. Agreements with other organisations or institutions to carry out activities within the framework of the doctoral degree course
Chapter I. General provisions

The regulations defined in this document apply to the doctoral degree courses offered at the UPC and verified in accordance with the regulations on official university courses defined by Royal Decree 99/2011.

As of 11 February 2012, the section referring to the thesis examination panel, defence and assessment shall apply to all doctoral students who began their studies under earlier regulations.

1. Definition of concepts

- **Doctoral degree courses**
  Official university courses aimed at imparting competencies and skills related to high-quality scientific research.

- **Competencies and skills related to research**
  According to Royal Decree 99/2011, doctoral degree courses must ensure that students acquire at least the following core competencies, in addition to those which appear in the Spanish higher-education qualifications framework:
  
a) Systematic understanding of a field of study and mastery of the research skills and methods used in that field.
  
b) Ability to conceive, design/create and implement research or development projects, and to adopt a particular process for this purpose.
  
c) Ability to help expand the frontiers of knowledge through original research.
  
d) Ability to critically analyse, assess and synthesise new and complex ideas.
  
e) Ability to communicate with the academic and scientific community, as well as with society at large, about their areas of expertise in the language and manner commonly employed in the international scientific community.
  
f) Ability to promote, in academic and professional contexts, scientific, technological, social, artistic and cultural advances in a knowledge-based society.

Doctoral degree courses must also provide professional training in various fields, especially those which require creativity and innovation. Graduates of these courses are therefore required to have the personal skills to do the following:

a) Flourish in contexts in which little specific information is available.
  
b) Identify the key questions that must be answered in order to solve a complex problem.
  
c) Design, create, undertake and carry out innovative new projects in their field of expertise.
  
d) Work either in a team or individually in a multidisciplinary and international context.
  
e) Integrate knowledge, deal with complexity and formulate judgments using limited information.
  
f) Intellectually critique and defend solutions.
• **UPC Doctoral Studies Committee**
The body that oversees the UPC's doctoral degree courses. It is responsible for resolving any incidents that may arise in any of these courses.

• **Doctoral programme**
The set of activities that leads to the acquisition of the competencies and skills required to obtain a doctoral degree.

• **Doctoral student**
A researcher in training who has met the established eligibility requirements for a doctoral degree course, has been admitted, and has enrolled in the course.

• **Doctoral Studies Office**
The technical unit responsible for managing doctoral degree courses at the UPC.

• **Unit responsible for the doctoral programme**
The department, school or research institute of the UPC that organises and develops a doctoral programme, in accordance with the UPC Statutes.

• **Course management unit**
The unit to which the administrative processes associated with a doctoral degree course (admission, enrolment, thesis deposit and issuance of certificates) have been decentralised.

• **Academic committee for the doctoral programme**
The body responsible for defining, updating and coordinating a doctoral programme, ensuring the programme's quality and progress in the areas of research and education, and authorising the submission of each student's doctoral thesis.

• **Tutor**
The first person with whom a doctoral student has contact upon being admitted to a doctoral programme. The tutor is in charge of coordinating exchanges between the doctoral student and the academic committee for the doctoral programme once admission has taken place.

• **Thesis supervisor**
The person responsible for guiding and supervising the doctoral student in all of his/her research tasks as well as in his/her acquisition of generic competencies. Once assigned, the thesis supervisor takes over the role of the doctoral student's tutor.

• **Internal examiner**
A member of the UPC's teaching and research staff with demonstrated research experience who vouches for the suitability of an external (i.e. non-UPC) thesis supervisor. In the case of interuniversity doctoral degree courses, an internal examiner is assigned when the thesis supervisor is not from any of the universities involved in the course.

• **Demonstrated research experience**
A person is considered to have demonstrated research experience if he/she meets any of the following conditions:

  ▶ He/she supervised a doctoral thesis defended in the last five years.
  ▶ He/she currently receives a research premium (obtained in the last seven years).
  ▶ He/she has, in the past five years, served as principal investigator on a project that received competitively awarded funding from an external public institution.
• **Doctoral Student Activity Report**
  An individual record of activities completed by the doctoral student. It is reviewed by the tutor and thesis supervisor and assessed by the academic committee for the doctoral programme.

• **Tutorials**
  The mechanism for incrementally tracking and monitoring the academic progress of researchers in training on an annual basis.

• **Research plan**
  An outline of the work the doctoral student is to perform. It must be submitted before the end of the first year and is evaluated annually. It must include, at the very least, the methodology to be used and the objectives to be pursued, as well as the resources required and a timeline.

• **Teaching days**
  For the purposes of these regulations, all working days are considered teaching days, except the period between 1 and 31 August and the days designated as holidays in the work calendar approved by the UPC’s governing bodies.
Chapter II. Doctoral degree courses

1. Course structure

1.1. Organisation

Doctoral degree courses are organised as programmes that culminate with the writing and defence of a doctoral thesis.

They may include both cross-disciplinary and research training that is specific to the programme in question, which may or may not be divided into ECTS credits. Nevertheless, research is the main focus of the doctoral student's training.

Completed coursework is noted in the Doctoral Student Activity Report.

1.2. Duration

The maximum duration of full-time doctoral degree courses is three years, from admission to thesis defence. Under the conditions established in each programme, the academic committee for the doctoral programme may authorise a one-year extension and a further one-year extraordinary extension. With the permission of the academic committee, students may take a course part-time, in which case the maximum duration is five years, from admission to thesis defence. The academic committee may authorise a two-year extension and a further one-year extraordinary extension, in accordance with the conditions established in each programme.

Doctoral students may request a change from a full-time schedule to a part-time one (or vice-versa) just once during their time on a course.

Absences due to sick leave, maternity leave or other causes identified in the prevailing regulations are not taken into account.

The academic committee may authorise students to go on temporary leave for one year, extendable for one further year. In such cases, the student must provide documentary evidence of a justified cause (research stays, professional reasons, etc.).

If the doctoral student fails to meet the deadlines specified in this section, he/she shall be permanently removed from the doctoral programme.

2. Eligibility

According to Royal Decree 99/2011, to be eligible for a doctoral degree course a candidate must hold an official Spanish bachelor's degree (or equivalent) and a master's degree.

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

a) Individuals holding an official university degree from Spain or any other country in the European Higher Education Area that, in accordance with the provisions of Article 16 of Royal Decree 1393/2007 of 29 October, qualifies holders for master's degree courses, provided they have also completed a minimum of 300 ECTS credits of official university coursework overall, of which at least 60 must be at the master's degree level.¹

b) Individuals holding an official degree from Spain consisting of at least 300 ECTS credits, as required by European Union regulations. Individuals in this category are required to

¹ Engineering and architecture degrees are not considered master’s degrees for the purpose of determining eligibility for doctoral courses.
complete bridging courses unless the curriculum of the degree course in question included the same number of research training credits as would be required in a master's degree course.

c) University graduates who, having passed the entrance examination for specialised medical training, have completed at least two years of a training course leading to an official degree in a health-sciences specialisation.

d) Individuals holding a degree from a foreign education system. In these cases, homologation is not required, provided it can be shown that the university in question offers a level of training equivalent to that of the official Spanish master's degree and that, in the issuing country, individuals holding the degree in question are eligible for doctoral degree courses. Admission via this channel does not imply homologation of the degree in question, and the degree shall not be considered as recognised for any purpose other than eligibility for the doctoral degree course.

e) Individuals holding a Spanish doctoral degree obtained under previous university regulations.

3. Admission

In order for a student to attend classes as part of a doctoral programme, he/she must be admitted by the academic committee for the doctoral programme.

In order to be admitted, the student must contact the academic committee and apply for admission according to the established procedure.

The academic committee may set admission requirements that are more rigorous than the eligibility requirements. These requirements may include passing specific tests.

3.1. Bridging courses

The academic committee for the doctoral programme may require students to complete specific bridging courses. The academic committee keeps track of the bridging courses completed by each student and establishes criteria to limit their duration.

Bridging courses may focus on either research or cross-disciplinary training. No doctoral student shall be required to complete more than 60 ECTS credits of bridging courses.

Taking into account the Doctoral Student Activity Report, the academic committee may propose complementary measures that lead to the dismissal of doctoral students who fail to meet the established criteria.

4. Enrolment

4.1. Enrolment

Students admitted to the doctoral degree course—including those participating in bridging courses—must enrol in tutorials every year until they have completed their thesis reading (unless they are on leave, as explained in Section II.1.2).

Doctoral students who come to the UPC on research placement must enrol as visiting students for the academic year in question.

The enrolment application, together with supporting documentation (if necessary), shall be addressed to the course management unit in accordance with the established procedures.
and calendar. This procedure can also be completed online via the Doctoral Studies Office website (e-Office).

Any submission of enrolment or enrolment-modification application past the deadlines must be justified in writing by the student. Once the documentation has been reviewed, the academic committee for the doctoral programme may approve or reject the application.

Enrolment is not considered official until the corresponding fee has been paid in full. If the doctoral student fails to enrol for a particular year, he/she shall be required to pay the enrolment fee retroactively. If a student fails to enrol in thesis tutorials for two consecutive academic years, he/she shall be permanently removed from the doctoral programme.

4.2. Payment

The Catalan government annually establishes and approves the fees for academic services at Catalan public universities.

In accordance with the government decree establishing the fees for academic services at public universities of Catalonia and at the Open University of Catalonia, if a student fails to pay the enrolment fee or any fraction thereof according to the calendar and conditions established by the UPC, his/her student rights may be temporarily suspended for the remainder of the academic year. If, at the end of the academic year, payment remains outstanding, the student shall be suspended permanently. If necessary, the student's enrolment shall be cancelled and all effects thereof shall be annulled. The student shall not be entitled to reimbursement except in cases considered adequately justified in terms of both time period and form according to the management criteria established in the UPC budget.

The UPC requires that outstanding enrolment fees from previous academic years be paid before enrolment.

4.3. Student insurance

Doctoral students who are not entitled to the benefits of student insurance (because they are aged 28 or older or are foreign citizens) and have no healthcare coverage may take out a voluntary insurance policy that includes accident coverage and may be renewed each academic year.

4.4. Withdrawal of enrolment

New students may request the complete withdrawal of their enrolment within the first two months of the course. In duly justified cases, requests for enrolment withdrawal may also be submitted at a later date. The enrolment fee will only be reimbursed in cases of serious illness or accident, with documentary evidence submitted to that effect. Enrolment withdrawal requests must be submitted to the course management unit.

5. Supervision and monitoring

5.1. Tutor

The academic committee for the doctoral programme assigns each admitted student a tutor, who is responsible for coordinating interaction between the student and the committee.

The tutor must hold a doctoral degree, have demonstrated research experience and be affiliated with the basic unit that organises the programme.
In duly justified cases, the academic committee may, at any time during the course, assign a new tutor at the student’s request.

5.2. Thesis supervisor

The academic committee for the doctoral programme shall assign a thesis supervisor to the student no more than six months after he/she enrolls for the first time. At that time, a student-supervisor agreement shall be signed by the student and the thesis supervisor(s) from the UPC. By default, the thesis supervisor shall perform the functions of the tutor.

The thesis supervisor is ultimately responsible for ensuring the consistency and adequacy of the doctoral student's research training and acquisition of generic competencies. In most cases, the thesis supervisor is a lecturer or researcher from the UPC who holds a doctoral degree and has demonstrated research experience. This category includes the doctoral-level staff at associated schools, as decided by the Governing Council, and at UPC-affiliated research institutes, under the corresponding collaboration and affiliation agreements.

Researchers who, due to their employment contract or affiliation, do not fall into this category must receive the approval of the UPC Doctoral Studies Committee in order to participate in a doctoral programme as a researcher with demonstrated research experience.

Under exceptional circumstances and with proper justification, the academic committee may approve the appointment of a doctoral-level expert from outside of the UPC as a thesis supervisor. In such cases, the prior approval of the UPC Doctoral Studies Committee is required, as well as the backing of an internal examiner, who must be a doctoral-level member of the UPC's teaching and research staff with demonstrated research experience.

With the authorisation of the academic committee, a co-supervisor may be appointed when there are justifiable academic reasons for doing so, which may include the following:

- The supervisor lacks demonstrated research experience and therefore needs to be paired with an experienced supervisor.
- The thesis covers an interdisciplinary topic.
- The thesis is written as part of a cooperation programme.
- The thesis is written as part of an international programme.
- The supervisor is a researcher who has undertaken management tasks.
- The supervisor is a researcher who is temporarily on leave.
- Other justifiable circumstances (assessed on a case-by-case basis).

The co-supervisor has the same authority as the supervisor. The total number of thesis supervisors may never exceed two.

5.2.1. Student-supervisor agreement

Once the doctoral student has been assigned a thesis supervisor, a student-supervisor agreement is drawn up. This document is signed by the vice-rector responsible for doctoral degree courses at the UPC, the student and the thesis supervisor. The agreement must establish a conflict-resolution procedure and cover intellectual and industrial property rights, as well as confidentiality issues.
5.3. Doctoral Student Activity Report

After the doctoral student enrols for the first time, a Doctoral Student Activity Report is generated and kept on file. This document is used to record all activities related to the student's academic life, including the following:

- Student-supervisor agreement
- Specific research training
- Cross-disciplinary training
- Research plan
- Change of tutor or thesis supervisor
- Reports by the tutor or thesis supervisor
- Reports by the academic committee for the doctoral programme
- Agreements
- Placements
- Grants and scholarships
- Participation in conferences and seminars at the UPC or elsewhere
- Publications

The tutor and the thesis supervisor shall review the Doctoral Student Activity Report regularly and the academic committee shall evaluate it annually. If deemed appropriate, the academic committee may delegate this function to the thesis supervisor and tutor.

This document, intended as a tool for continuous assessment, is used to record evidence of the student's research training and acquisition of generic competencies. It is therefore provided to all members of the examination panel.

5.4. Research plan

Before the end of his/her first year, the doctoral student must draw up a research plan, which is included in the Doctoral Student Activity Report.

This plan, which may be improved throughout the doctoral degree course, must be endorsed by the student's tutor and thesis supervisor. It must describe the methodology and objectives of the student's research.

The initial submission of the research plan shall take the form of a public reading, with the plan being evaluated by a panel of three doctoral degree holders (two affiliated with the programme and one external). The panel shall issue a report declaring the plan either satisfactory or unsatisfactory. A satisfactory research plan is an essential requirement for continuance on the doctoral programme. If the research plan is deemed unsatisfactory, the doctoral student shall have six months to prepare and submit a new plan, which shall be evaluated by the academic committee for the doctoral programme. This committee shall, on an annual basis, once again evaluate the research plan, in addition to all other items listed in the Doctoral Student Activity Report. If the research plan is deemed unsatisfactory in two consecutive evaluations, the student shall be permanently dismissed from the programme.

If the doctoral student decides to change his/her thesis topic, he/she must submit a new research plan.
5.5. Assessment

5.5.1. Bridging courses

In bridging courses that form part of the activities organised and planned for the curricula of master's degree courses at the UPC, assessment is carried out in accordance with the procedures and criteria established in the Academic Regulations for EHEA Master's Degree Courses at the UPC.

In other activities planned by the academic committee for the doctoral programme or by the UPC, the body responsible for planning the activity shall determine the procedure for student assessment. The assessment procedures shall be compatible with the knowledge and skills that the students are expected to acquire.

5.5.2. Assessment of the doctoral student (annual tutorials)

The assessment of the doctoral student must reflect his/her annual progress with regard to the approved research plan. The Doctoral Student Activity Report shall be used in this assessment as evidence of the student’s progress.

5.5.3. Review of assessment results

The doctoral student has the right to consult and review all of his/her assessment results. These results must always reflect the level of progress achieved by the student. Assessment reports shall be incremental. In other words, an assessment report on any examination or academic year must include, in a standard document, all prior assessments of the doctoral student in the course at the UPC, which form part of his/her academic record.

In the case of bridging courses that are subjects of an official master's degree course, the review of assessment results must involve the lecturer responsible for the subject and adhere to the Academic Regulations for EHEA Master's Degree Courses at the UPC.

5.6. Changing to a different doctoral programme

The doctoral student may request to move to a different doctoral programme by filing an application with the appropriate course management unit, together with a written statement explaining his/her reasons for requesting the change. The unit shall then consult with the coordinators of both programmes. If they agree to the change, the coordinators shall then submit a signed letter expressing their approval, which is included in the doctoral student’s academic record.

Depending on the requirements of the new programme, the student may need to complete additional bridging courses and be assigned a new thesis supervisor. When a student changes to a different programme, the date on which the student was first admitted to a doctoral programme at the UPC shall be considered for the purposes of calculating the length of his/her doctoral degree studies.

5.7. Changing a thesis supervisor

The academic committee for the doctoral programme, the thesis supervisor or the doctoral student may request that a thesis supervisor be changed at any time prior to the thesis deposit. The person requesting the change must submit a written statement explaining his/her reasons. If the change is done within a single programme, the academic committee must approve the change.

If the thesis supervisor is being changed because the student is changing to a different doctoral degree course, the procedures specified in Article 5.6 must be followed.
To make the change of thesis supervisor official, a new student-supervisor agreement must be signed by the doctoral student and the new thesis supervisor (if the supervisor is from the UPC).
Chapter III. Doctoral thesis

1. Definition

A doctoral thesis is an original piece of research carried out by a doctoral student that is intended to prepare the student for independent R&D work.

A thesis may be written and defended in Catalan, Spanish or English.

If, for justified reasons, a student requests to write and present his/her thesis in another language, the academic committee for the doctoral programme may authorise him/her to do so.

2. Pre-assessment

Once the thesis has been completed and is ready for public defence, the thesis supervisor must include this fact in the Doctoral Student Activity Report. The thesis must be submitted to the academic committee for the doctoral programme, which then considers whether to authorise a thesis defence.

The academic committee must validate the quality of the thesis before it authorises a thesis defence. If the thesis does not meet the quality requirements of the doctoral programme, it is returned to the student together with a report that includes suggestions for improvement.

Once these suggestions have been incorporated into the thesis, the academic committee determines whether to validate the thesis on the basis of quality indicators recognised internationally in the relevant field of study. If no such indicators exist and/or if it is necessary in order to validate the quality of the thesis, two experts in the field who are not affiliated with either the course or the UPC shall be asked to review and appraise the doctoral thesis.

The conclusions of the academic committee and the reports of the outside experts are included in the Doctoral Student Activity Report.

3. Examination panel

When authorising the defence of a thesis, the academic committee for the doctoral programme shall send the Doctoral Studies Committee a prioritised list of five or seven proposed examination panel members, three or five of whom shall sit on the panel and the other two of whom shall serve as alternates:

- Chair
- Secretary
- Member
- Member (optional)
- Member (optional)
- Alternate
- Alternate

These individuals must meet the following requirements:

a) They must be doctoral degree holders who are recognised in their field. If they are from the UPC, they must have demonstrated research experience, as explained in Section I.1.
b) Only a minority of the panel should be from the UPC (or, in the case of an interuniversity doctoral programme, from any of the universities involved).

c) Neither the thesis supervisor(s) nor the internal examiner may sit on the examination panel.

d) For panel members not from the UPC (or, in the case of an interuniversity doctoral programme, from any of the universities involved), a CV demonstrating the individual’s suitability must be provided.

e) If the student is pursuing the “International Doctor” distinction, the requirements set out in Chapter III, Article 9 must be met.

Lecturers belonging to a university faculty may sit on a doctoral thesis examination panel even if they are on leave or retired.

In the exceptional event that a member of the examination panel is a co-author of a publication derived from the thesis, the academic committee shall determine whether his/her participation on the panel is justified.

4. Registration

Once the processing of the thesis has been authorised, the doctoral student must formally register the thesis deposit.

To do this, the student must submit the following documents:

   a) Registration form.

   b) Paper copy of the thesis.

   c) Electronic copy (PDF) of the thesis.

   d) Electronic copy (PDF) of a thesis abstract, no more than 4,000 characters in length, in Catalan or Spanish as well as in English.

   e) Doctoral Student Activity Report, signed by the tutor and thesis supervisor.

   f) Thesis defence authorisation statement, signed by the thesis supervisor and the internal examiner.

   g) Thesis defence authorisation statement from the academic committee for the doctoral programme, together with the two original reports by outside experts or, alternatively, a statement by the academic committee that the quality of the thesis has been externally corroborated and is suitable for defence (e.g. the student’s work has appeared in reputable publications).

   h) Acceptance of the examination panel members (original format).

   i) Optional: application for the “International Doctor” distinction, together with the other required information (see Section III.9).

The academic committee shall send the list of proposed examination panel members (and, when required, their CVs) to the course management unit in electronic format (PDF).

At the time of thesis registration, the doctoral student must have completed the tutorials satisfactorily and have no unpaid tutorial enrolment fees. Any outstanding tutorial fees from previous years must be paid at this time.

Thesis registration is not considered official until the corresponding fee has been paid in full.
5. Deposit

The doctoral thesis shall be on deposit for 10 teaching days, starting the day after the thesis registration fees are paid.

The Doctoral Studies Office shall announce the deposit of the thesis on the UPC website. On a case-by-case basis—for example, when a company is involved or if the content of the thesis has the potential to be patented—the academic committee for the doctoral programme may ask the Doctoral Studies Office to follow the appropriate procedure to ensure that confidential content is not made public (see Section III.11).

The academic committee shall inform the teaching and research staff of the unit responsible for the course that the thesis has been deposited.

The Doctoral Studies Office shall establish a procedure to allow accredited doctoral degree holders to examine the full text of the thesis on deposit and submit in writing any comments they deem appropriate.

Of the two copies of the thesis submitted upon registration of the deposit, one shall be kept by the Doctoral Studies Office and the other by the unit responsible for the course.

The Doctoral Studies Committee shall examine the thesis and the examination panel proposal and make any comments it deems appropriate.

If the Doctoral Studies Committee does offer comments of this sort, the Doctoral Studies Office shall pass them on to the student, the thesis supervisor(s), the internal examiner (if applicable) and the academic committee. Within five teaching days, the academic committee must notify the Doctoral Studies Office in writing of its position regarding whether the process may move forward.

6. Formalities prior to the thesis reading and appointment of the panel

Once the 10-teaching-day deposit period has elapsed and any comments submitted have been resolved, the Doctoral Studies Committee shall accept the thesis for reading and appoint the examination panel following the prioritised list of proposed members.

The academic committee for the doctoral programme shall send the panel members the following items at least 10 teaching days before the thesis reading:

- Notification of appointment to the panel
- Date, time and place of thesis reading
- A copy of the thesis
- Doctoral Student Activity Report

6.1. Incidents involving the examination panel

Once the thesis reading has been announced, the chairperson of the examination panel must take the necessary steps to replace any members who withdraw from the panel or are unable to participate. If any panel member fails to show up on the day of the thesis defence and public presentation, an alternate must fill in. If this proves impossible, the chairperson of the panel shall suspend the thesis reading. After consulting with the other panel members, the doctoral student and the academic committee for the doctoral programme, the chairperson shall set another date for the thesis reading. The Doctoral Studies Office must be notified of this change.
If the chairperson must be replaced for unforeseen reasons, the academic committee shall choose a substitute from among the other panel members and alternates.

### 6.2. Public announcement

Once the panel has been appointed, the chairperson shall announce the date of the thesis defence. The secretary of the panel shall notify the Doctoral Studies Committee, the doctoral student and the academic committee for the doctoral programme of the date at least 10 calendar days prior to the thesis defence. This information shall be published on the website of the Doctoral Studies Office.

At least two teaching days before the thesis reading, the academic committee shall announce, to all doctoral-level teaching and research staff of the units associated with the programme, that the thesis has been cleared for public defence.

### 6.3. Deadline

Once the thesis has been cleared for reading, the thesis defence must take place within six months.

### 7. Suspension

At any time prior to the thesis defence and public presentation, the Doctoral Studies Committee may suspend its authorisation due to serious unforeseen circumstances. It must notify the chairperson of the panel of this decision.

### 8. Public thesis defence

The academic committee for the doctoral programme shall establish the proper mechanisms for holding the thesis defence in its own offices or other UPC facilities. If the thesis defence is to be held outside of the UPC, express authorisation must be obtained from the Doctoral Studies Committee, and the academic committee must subsequently certify that the regulations established herein and the required assessment processes have been followed.

The thesis defence must take place in a public session on a teaching day.

### 8.1. Presentation and defence

The defence consists of the doctoral candidate’s presentation of the research conducted, the methods used, the content and his/her conclusions, with special emphasis on the original contributions.

In specific cases—for example, when a company is involved or if the content of the thesis has the potential to be patented—the Doctoral Studies Office may establish an appropriate procedure to ensure that confidential content is not made public during the thesis defence (see Section III.11).

Basing themselves on this presentation, the members of the panel may ask the doctoral student any questions they think appropriate and request whatever explanations they think relevant. Moreover, any accredited doctoral degree holders in attendance may pose questions at the time and in the manner indicated by the chairperson of the panel.

The examination panel shall have access to the Doctoral Student Activity Report, which includes all educational activities completed by the student. This document shall not be used to generate a quantitative score but rather as a qualitative assessment instrument that complements the assessment of the doctoral thesis.
8.2. Assessment

Once the defence and discussion of the thesis have been completed and the audience has been excused from the room, each panel member shall draw up an assessment report using a standard form. These forms are to be attached to the Doctoral Student Activity Report.

Finally, the examination panel shall award an overall mark of either “pass” or “fail”, as appropriate. This mark is recorded in the Doctoral Degree Assessment Report, which must be signed by all members of the panel.

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

8.3. “Cum laude” distinction

In order to grant the “cum laude” distinction, the examination panel must vote to do so unanimously by secret ballot. On his/her ballot, each panel member must indicate his/her reasons for granting this distinction, including the following:

- Papers derived from the thesis published in journals of the JCR or other indexes, or presented at conferences
- Other specific scientific/technical reasons

These votes shall be counted in a separate session, following the procedure established by the Doctoral Studies Committee.

8.4. Documentation

The secretary of the examination panel shall submit all documentation related to the assessment of the thesis, together with the Doctoral Degree Assessment Report, to the course management unit.

The doctoral student may request full copies of the thesis assessment reports.

The course management unit shall keep the thesis on file and send a copy to the general archive. The Doctoral Studies Office shall send a digital copy of the thesis, together with all other necessary information, to the Ministry of Education for processing.

9. “International Doctor” distinction

The “International Doctor” distinction shall be included on the doctoral degree certificate if the following requirements are met:

a) During the doctoral student’s time in the course, he/she must spend at least three months at a higher education or research institution in another country, taking courses or conducting research. The stay must be approved by the thesis supervisor and authorised by the academic committee for the doctoral programme. A document certifying this stay must be issued by the person responsible for the research group at the institution(s) where the work was carried out. This information is added to the Doctoral Student Activity Report.

b) At least part of the thesis, as well as the abstract and conclusions, must be written and submitted in one of the languages commonly used for scientific communication in the area of knowledge in question. This language may not be any of the official languages of Spain. This rule shall not apply if the student’s time abroad takes place in a Spanish-speaking country, the reports are in Spanish and the experts are Spanish speakers.
c) At least two doctoral-level experts from a higher education or research institution in another country must issue official preliminary reports on the thesis.

d) The thesis examination panel must include at least one doctoral-level expert from an institution of higher education or research in a different country. This expert may not be the person who certifies the student’s stay at the host institution (see point a, above).

e) The thesis defence must take place on the premises of the UPC or, in the case of jointly organised courses, in the place specified in the collaboration agreement.

10. Submission of the doctoral thesis as a summary of publications

In cases in which the doctoral thesis is presented in the form of a summary of published research, the doctoral candidate must submit an application form to the Doctoral Studies Office, attaching the following documents:

a) A report by the thesis supervisor, approved by the academic committee for the doctoral programme, explaining why a summary is the most suitable way of presenting the thesis.

b) A list of the articles included in the collection.

c) Copies of the articles or other publications constituting the thesis, and the impact factor of journals in which the articles were published.

d) A statement signed by any co-authors of the articles giving the doctoral student permission to use the articles in the thesis as part of a summary of publications.

e) Relinquishment of the right of co-authors who are not doctoral degree holders to publish the articles as part of another doctoral thesis.

The Doctoral Studies Committee shall consider the documentation provided and decide whether it is appropriate to present the thesis as a summary of publications. In any case, the following criteria must be met by any doctoral thesis submitted in this format:

a) The publications used in the thesis may not be used in any other thesis.

b) The articles must have been written after the start of the doctoral degree course.

c) The articles must have been accepted for publication in high-impact journals in the field.

d) The thesis must include an introduction justifying the thematic unity of the thesis, a summary, a discussion of the results and conclusions.

As a general rule, the co-authors of published studies carried out with the doctoral student may not be members of the thesis examination panel.

11. Submission of the thesis with associated patent processes and/or confidentiality agreements

When a thesis involves a confidentiality agreement with a company or its content has the potential to be patented, the student must file a thesis deposit application with the academic committee for the doctoral programme. The following documents must be attached to the application form:
1. A full copy and an encrypted copy of the thesis. In order to give readers an idea of the research work carried out, only the elements that are essential to ensuring the protection and transfer of the research results shall be encrypted.

2. Original or certified copies of documents showing that the thesis is involved in a process of patenting or transferring knowledge or technology.

3. Original or certified copy of the thesis supervisor's approval of the application, also signed by the internal examiner (if applicable).

The academic committee may require the student to modify the content or format of the encrypted version of the thesis or provide additional documents so that it may assess the application.

The academic committee shall make a decision regarding the application as quickly as possible, at most within 10 calendar days of the date on which the application form is filed with the General Registry. The application shall be approved only if it is demonstrated that confidentiality is absolutely essential to the success of the patent or transfer process. The secretary of the academic committee shall notify the doctoral student of the committee's decision. If the application is approved, the secretary shall also notify the thesis supervisor, the internal examiner (if applicable) and the UPC Doctoral Studies Committee.

All members of the academic committee are strictly obliged to maintain the confidentiality of the content of the thesis and shall be required to sign a confidentiality agreement to this effect. The agreement must cover at least the thesis deposit period or the confidentiality period established by the company. The signed confidentiality agreements are kept by the secretary of the committee. The doctoral student is entitled to request and receive copies of these agreements.

If the academic committee approves the application, the thesis submitted to the UPC Doctoral Studies Committee for authorisation of deposit and the deposit copy of the thesis shall be the encrypted version authorised by the academic committee.

Upon request by the academic committee, the UPC Doctoral Studies Committee may authorise two members of the academic committee, chosen by the committee itself, to view the full version of the thesis for the purpose of drawing up a report. These individuals shall be required to sign a confidentiality agreement before viewing the full thesis.

The members of the thesis examination panel shall be expressly notified that the thesis is involved in a patent or transfer process and shall be granted access to the full version. The panel members are strictly obliged to maintain the confidentiality of the thesis content.

Prior to the submission of the thesis, the members of the examination panel must sign confidentiality agreements covering the necessary period and give them to the secretary of the academic committee. The academic committee is responsible for providing the members of the examination panel with the necessary documentation.

Once the patent process has finished, the thesis shall be published in the cooperative online thesis deposit TDX.

12. Publication of, visibility of and access to the thesis

To promote its visibility on the Internet and increase the citation impact of its author, the thesis shall be published and hosted in the open-access institutional doctoral-thesis repositories of the UPC (UPCommons) and of the Catalan universities (TDX).

For this digital deposit of the thesis, the author must sign the thesis publication contract provided by the appropriate management unit at the time of the deposit.
If the thesis contains confidential aspects, or if the author has contractually transferred his/her rights to the thesis to another publication, the thesis shall be published in TDX after the patent process has ended or the copyright transfer period has elapsed.
Chapter IV. Doctoral qualifications

1. Issuance of the doctoral degree certificate and the European Diploma Supplement

Students who complete a doctoral degree course have the right to obtain a doctoral degree certificate.

The doctoral degree certificate is issued by the UPC upon the request of the interested person, after payment of the official fee established to that end. In accordance with the regulations on the issuance of certificates, the degree certificate must specify the discipline in which the thesis was carried out.

The European Diploma Supplement (EDS) is a document that accompanies all official university degrees and is valid throughout Spain. The doctoral student may request the EDS at the same time as the doctoral degree certificate or at a later date.

2. Honorary doctorates

The UPC can award an honorary doctorate to persons who deserve this title for their academic, scientific or personal merits.

Appointment proposals for honorary doctorates may be made by the rector, the schools, the university departments or the research institutes, and must be approved by the Governing Council.

The proposals must be accompanied by the following documents:

a) A report that sets out the merits and circumstances that justify awarding the candidate an honorary doctorate, as well as his/her connection to the UPC.

b) The candidate's CV, detailing his/her academic career, research activity and scientific output.

c) A document certifying the appropriate unit's support for the honorary doctorate.

d) A statement by the sponsoring faculty member.

e) A minimum of three letters of support by well-known doctoral degree holders or experts in fields related to the candidate's area of activity.

f) Any other documents supporting the candidate's appointment.

Given the exceptional nature of this honour, the Governing Council shall not grant more than three honorary doctorates in any given year.

3. Equivalency of foreign doctoral degrees

Foreign doctoral qualifications may be considered to be partial or total equivalents of the corresponding Spanish qualifications when this is expressly established in bilateral or multilateral international treaties or agreements to which Spain is a signatory.

4. Homologation of doctoral degrees

Royal Decree 285/2004 regulates the conditions for the homologation and validation of foreign higher education qualification. It was modified by RD 309/2005 of 18 March, which empowered UPC rectors to officially approve doctoral qualifications.
a) Application procedure

The procedure is initiated by an application made by the interested person, which is addressed to the rector of the UPC, as indicated on the appropriate application form.

Homologation may not be requested from more than one university at a time, and the applicant must sign a statement assuring that this is not the case.

b) Documents that have to accompany the applications:

- A certified copy of the document that establishes the identity and nationality of the applicant, issued by the competent authorities of his/her country of origin, or the country from which they have come, or by the Spanish immigration authorities. For Spanish citizens, a certified photocopy of the national identity card is required.
- A certified copy of the certificate for which homologation is being sought or of the document accrediting the issue of that certificate.
- A certified copy of the academic transcript showing the courses carried out by the applicant in order to obtain the postgraduate qualification, which must specify the official duration of the courses in academic years, the syllabus, the subjects studied and the credits obtained (or failing that, the number of hours of study designated to each subject).
- A report explaining the content of the thesis, written in Catalan or Spanish and English, and a copy of the thesis itself which must specify the names of the members of the examination panel, and the mark obtained.
- Other complementary documents may be required if they are considered necessary for comparing the training leading to the submitted foreign certificate and the training required to obtain the Spanish certificate with which homologation has been requested.

Payment of the homologation fee by the interested person is a necessary requisite for initiating the procedure.

c) Criteria for homologation

The rector shall willingly adopt the resolution on receiving a reasoned report by the Doctoral Studies Committee, once it has examined the information submitted by the student, taking into account the following:

- Correspondence of the academic level required to be eligible for the course leading to the foreign qualification with that required to be eligible for the course in Spain.
- The length of the courses needed to obtain the qualification and the number of teaching hours involved.
- Correspondence between the academic levels of the foreign qualification and the equivalent Spanish qualification.
- The content of the course completed to obtain the foreign qualification.

The Doctoral Studies Committee shall examine the documentation submitted, taking into account the field of the thesis, and issue a decision. To reach a decision, the Doctoral Studies Committee may choose to consult a member of the UPC teaching and research staff who has experience in the field in which homologation is being sought.

d) Granting of homologation

The decision to grant homologation shall be accredited by means of a certificate issued by the rector of the UPC in accordance with the model established by the Interuniversity
Coordination Council, stating the foreign qualification held by the applicant. The homologation process takes six months.
5. Special doctoral awards

Every year, the Doctoral Studies Committee shall announce the official competition for special doctoral awards in the second semester. The competition is open to theses defended during the second academic year before the date of the competition.

All of the theses defended in a UPC doctoral degree course during the specified period and awarded the mark of Very Good with Honours may take part in the competition.

The theses entered in the competition shall be published in the open-access institutional doctoral-thesis repositories of the UPC (UPCommons) and of the Catalan universities (TDX).

Awards shall be granted in the fields chosen each year by the Doctoral Studies Committee taking into account the logical groupings of courses by area of research and the number of theses presented in each one.

The awards for each period are usually decided upon during the months of June and July of the second year after the defence of the thesis, and the results are made public at the inauguration ceremony of the academic year.

The UPC shall invite all doctoral degree holders who meet the specified requirements to participate in the competition. Candidates for the award must submit documents accrediting the scientific output derived from the thesis.

In consultation with the academic committee for the doctoral programme, each thesis shall be classified in a particular field. The coordinator of the programme shall appraise the quality of the submitted theses, taking into account publications, patents, applications, developments, participation in scientific events, etc., that have been derived from the theses and demonstrated by the respective candidates. The documentation shall be submitted to the UPC Doctoral Studies Committee.

The UPC Doctoral Studies Committee shall appoint one panel for each area of knowledge. The panels shall be made up of five active members and two substitutes, all of whom must be doctorate holders with accredited research. If any member of the panel has previously acted as the supervisor or tutor of any of the candidates, he/she must abstain and a substitute shall be appointed in accordance with the criteria established by the chair of the panel. The panel can ask for help from doctorate holders who are expert in an area when this is necessary because of the specific nature of the subject of the theses, or because a large number of theses have been submitted.

The panel shall make its assessment on the basis of the associated reports and any scientific, technical or artistic output or research papers that are a direct consequence of the doctoral thesis. It shall announce its deliberations in an official document highlighting the theses that, in the view of the examination panel, are of the highest quality.

The official documents drawn up by the panels shall be submitted to the UPC Doctoral Studies Committee, which is responsible for communicating the results to the persons who have participated in the competition. The participants then have a period of not more than 15 days to make whatever observations or objections they deem fit. Once this period has ended, the Doctoral Studies Committee shall make the final decision on the results of the competition for special doctoral awards and shall inform the Secretariat-General of UPC, who shall in turn inform the Governing Council.

No more than one of every 10 theses (or fraction thereof) presented in each area of the competition in a given academic year may be awarded a special doctoral award, unless, for duly justified causes, the panels propose a different proportion and this is approved by the UPC Doctoral Studies Committee.
Chapter V. Organisation

1. Doctoral degree courses

Doctoral research and training are organised as doctoral degree courses that culminate with the writing and defence of a doctoral thesis.

At the UPC, doctoral degree courses are organised by scientific and academic fields, may include both cross-disciplinary and research training, and may or may not be divided into ECTS credits.

A doctoral degree course can be organised in collaboration with another university or research institution if a formal agreement is reached for this purpose.

1.1. Academic committee for the doctoral programme

The basic unit (or units) responsible for a doctoral degree course shall appoint an academic committee for the doctoral programme. The majority of this committee shall consist of UPC teaching and research staff. Each programme is organised, designed and coordinated by its academic committee.

The academic committee shall include doctoral-level researchers who work at public research organisations or other R&D institutions in Spain or abroad. Doctoral student representatives shall also sit on the committee.

The statutes or internal regulations of the basic unit responsible for the programme should envisage a system for appointing representatives to the academic committee that ensures that the committee is composed entirely of academic staff members linked to the programme. If no such system is in place, the appropriate governing body of the unit must take steps to ensure that this requirement is met. If more than one unit is responsible for the programme, if the programme is organised by more than one university, or if the required composition of the academic committee is not established in the statutes, all units responsible for the programme must sign an agreement specifying how the members of the academic committee shall be chosen and how the committee shall function.

The academic committee shall carry out the following functions:

a) Represent the unit responsible for the programme.

b) Keep an up-to-date list of the teaching and research staff affiliated with the course who, in accordance with the established criteria and the regulations in force, are qualified to supervise theses.

c) Keep information regarding the programme up to date and ensure that the programme is properly represented and promoted.

d) Handle student admissions (and determine the selection criteria).

e) Determine the additional training needs (if any) of the admitted students.

f) Monitor students' regular assessments in each of the various educational processes.

g) Assign each student a thesis supervisor and, if appropriate, a tutor.

h) Select, on the basis of the thesis supervisor's proposal, the outside expert(s) who will prepare a report on the quality of the thesis if no recognised quality indicators are available.

i) Stay in contact with the Doctoral Studies Office with regard to the whole process of depositing and reading theses (thesis registration, external reports, appointment of examination panels, receipt and processing of allegations).
j) Send a copy of the thesis to each member of the examination panel appointed to assess it.

k) Ensure compliance with the certification and accreditation processes established by the authorities responsible for higher education.

### 1.2. Programme coordinator

For each doctoral programme, a coordinator shall be appointed by the rector of the UPC or by a person designated by the rector or, in the case of joint or collaborative courses, by consensus among the rectors of the various universities. The coordinator must be a researcher from the University in a relevant field who has supervised at least two doctoral theses and has been on staff for at least two six-year periods.

### 1.3. Proposals to introduce new programmes

The basic units of the UPC or of the universities involved in joint programmes are, in accordance with the powers assigned in the statutes of each university, responsible for proposing the introduction of new courses related to their research activities and for ensuring their proper development.

In order for a new proposal to be considered, the scientific subject of the new programme must not be covered by any existing programme.

A new doctoral programme must have a minimum of 10 students.

Proposals for new programmes are reviewed and assessed by the Doctoral Studies Committee and must subsequently be approved by the Governing Council.

All teaching and research staff members affiliated with the proposed new programme must hold a doctoral degree. In addition, the following condition must be met:

- The new programme must have a permanent teaching and research staff composed of at least 15 doctoral degree holders from the UPC (including researchers from associated or affiliated entities), in addition to any other members who may occasionally participate in programme activities. Of these individuals, at least 85% must have demonstrated research activity for doctoral-level training. The proposed doctoral-level staff members of the new doctoral degree course may not be involved in any other doctoral degree course. Any candidate involved in another course must agree to step down from that position if the new course is approved.

### 1.4. Information associated with the programme

In addition to the information requirements established by any of the various responsible authorities, the academic committee for the doctoral programme must publicly provide the following information to the Doctoral Studies Office and update it annually:

1. Programme name.

2. Other participating universities, if any, and the coordinating university.

3. The basic and/or UPC-affiliated units responsible for the course.

4. The research groups involved and a list of the teaching and research staff members participating in the programme.

5. Current research projects being carried out for doctoral theses.
6. Programme coordinator and members of the academic committee for the doctoral programme.
7. A list of the administrative and student-services staff members.
8. The established procedure for appointing the coordinator and the members of the academic committee, and the powers vested in them (if they are wider-reaching than those established herein).
9. List of teaching and research staff linked to the programme.
10. The number of places available in each academic year, given the capacity for tutoring, supervision and research.
11. The main qualifications required to be eligible for admission, if any.
12. The programme-specific admission, selection and assessment criteria.
13. Complementary methodological or scientific training requirements, as well as the UPC master's degree course in which they are included (if applicable).
14. Description of the research-training credits and/or activities offered specifically for the programme (if any).
15. Criteria for student dismissal.
16. Organised activities intended to complement students' research training.
17. Established procedure for the annual assessment of tutored students.
18. Infrastructure and facilities that must be available for the students to be able to carry out research.
19. Specific agreements established if other organisations or universities are involved.

1.5. Programme review procedures

The Doctoral Studies Committee shall annually review the activity and results of the programme and make whatever proposals to the appropriate authorities that it deems necessary in order to continuously improve the programme activities and achievements or, if necessary, to discontinue the programme.

The academic committee for the doctoral programme is ultimately responsible for the quality of the programme and for taking appropriate steps to ensure its improvement.

The Doctoral Studies Committee and the Doctoral Studies Office take into account various performance indicators, take steps such as student surveys to obtain additional information, and ensure that each programme provides information on its enrolled students on an annual basis.

Depending on the programme's results, the Doctoral Studies Committee may propose specific actions aimed at helping it pass an external certification or assessment process.

Under an action plan overseen by the vice-rector responsible for doctoral studies, the operating budget for doctoral programmes allocated annually by the UPC shall be distributed among those programmes which have received a designation of excellence and those courses involved in improvement projects aimed at qualifying for a designation of excellence.
Final resolution: appeals system

If the student disagrees with a decision by the academic committee for the doctoral programme, by the thesis examination panel or by the Doctoral Studies Committee, he/she may lodge an appeal to the rector. The appeal must be submitted within one month of notification of the decision, in accordance with Article 114 of Law 30/1992. The decision of the rector represents the final resolution of the administrative process.
References


Appendix I. Doctoral students who began their studies under earlier regulations

Students who began their doctoral studies under earlier regulations (Royal Decree 185/1985, Royal Decree 778/98, Royal Decree 56/2005 or Royal Decree 1393/2007) have two options:

1. They can complete their thesis defence before 11 February 2016. After this date, the doctoral student shall be permanently dismissed from the course.

2. They can automatically be transferred to the new regulations, provided they meet the eligibility requirements set out in these regulations and the doctoral degree course in question is verified under Royal Decree 99/2011. For doctoral students who began their studies under Royal Decree 185/1985 or Royal Decree 778/98 and have already achieved research proficiency, adaptation is automatic.

Students who had already begun a doctoral degree course under earlier regulations when the current Royal Decree came into force shall be subject to the provisions governing the course and the issuance of doctoral degrees that were in force when they first enrolled. In any event, the rules set out herein regarding the thesis examination panel, defence and assessment, in accordance with Royal Decree 99/2011, shall apply as of 11 February 2012.
Appendix II. Student-supervisor agreement

The doctoral degree course is an academic and professional activity that enables students to gain high-level scientific skills, learn to appreciate the value of criticism, and develop respect for scientific methods and technological innovation, while at the same time acquiring generic competencies that are valued in positions of responsibility in all socioeconomic sectors. It involves the completion of an original, innovative research project, the creation of a personal lifelong-learning plan to support the research project, and the development of a professional career plan.

The student-supervisor agreement defines the respective rights and duties and the reciprocal commitment of the signatories. It ensures the aims mentioned above are fulfilled during the writing of the doctoral thesis. It must be signed by:

- The doctoral student.
- The thesis supervisor overseeing the research project.

The student-supervisor agreement is approved by the competent vice-rector on behalf of the institution.

This agreement is signed by all parties when the academic committee of the doctoral programme assigns a thesis supervisor to the doctoral student.

1. **Mutual collaboration**

The doctoral student and the supervisor(s) hereby agree to collaborate on defining the doctoral thesis project and writing and defending the thesis, according to the procedures and deadlines established in the applicable regulations.

2. **Obligations and time commitment of the thesis supervisors**

The thesis supervisor undertakes to hold regular meetings with the doctoral candidate to give guidelines and examine the progress made on the thesis proposal. He/she shall likewise ensure that the doctoral candidate takes the initiative and becomes more autonomous over the course of the thesis project.

The supervisor shall also ensure that the project is original, educational and innovative, and that it can be completed under the conditions proposed by, and using resources available to, the student.

To this end, the thesis supervisor undertakes the time commitment specified in the prevailing UPC regulations.

3. **Obligations and time commitment of the doctoral student**

The doctoral student undertakes to follow the doctoral degree course within the framework of the applicable regulations and in compliance with the commitments arising from the present document. He/she shall inform the thesis supervisor regularly of the progress of the project, of the results obtained and of any problems that may arise, and agrees to consider any comments made by the supervisor.

To this end, the doctoral student undertakes a ............................................................. (part-time/full-time) commitment in accordance with the provisions of the applicable regulations.

4. **Confidentiality**

The doctoral student undertakes to protect the confidentiality of any potentially confidential information provided or disclosed to him/her verbally, in writing, graphically or by any other means by the thesis supervisor, the tutor or any other member of his/her research team. The student shall not reveal, communicate, transfer or disclose such information to third parties, and shall use it solely for the purposes of his/her doctoral thesis.

The doctoral student shall not disclose any information related to the research project that has been declared confidential unless he/she has obtained the express written consent of the thesis supervisor and/or tutor. The doctoral student shall sign any confidentiality agreements required by the thesis supervisor, the research project supervisor or the tutor.
This confidentiality agreement shall continue to be in force and be binding even after the termination of any administrative and/or employment agreements between the UPC and the doctoral student.

5. Intellectual and industrial property rights

Prevailing legislation formally recognises doctoral students’ intellectual and industrial property rights. Doctoral students have the right to be cited as co-authors of all works, articles and communications disseminating research to which they have contributed substantially and to be cited as first author if the topic is specifically the topic of the doctoral thesis.

Under prevailing legislation, the doctoral student is entitled to exercise intellectual property rights derived from his/her research training activities in accordance with his/her contribution. These rights are independent, compatible and combinable with other rights that may arise from the research work, notwithstanding the constraints arising from any collective research work involving the doctoral student.

With respect to possible industrial property rights resulting from the research, the doctoral student shall be subject to prevailing legislation on university patents and UPC regulations.

6. Dispute resolution

In the event that the provisions of this agreement are not met, the parties shall contact the coordinator of the doctoral programme, who will act as a mediator. If the coordinator and the academic committee do not resolve the dispute, it shall be transferred to the competent UPC bodies.

If the doctoral studies are carried out in the framework of an agreement with another institution, the parties shall be subject to the particular provisions of that agreement, which all signatories of this document must know.

7. Validity

This agreement is valid from the date of signature to the date of the doctoral thesis reading, except for the provisions on continuing obligations. In the event that any of its provisions contravene UPC regulations on procedures for the submission, writing and authorisation of the thesis project, appointment of examiners and assessment of the thesis, those provisions shall be rendered null and void.

Barcelona, ....................................................................................................................................................

Mr/Ms ..................................................................................................................................... (doctoral student)

On doctoral programme............................................................................................................................

Dr. .................................................................................................................................................. (thesis supervisor)

N.B. If there is more than one thesis supervisor, all approved supervisors from the UPC must sign.

Assistant vice-rector for Research .............................................................................................................

Signature (all parties)
Appendix III. Agreements with other organisations or institutions to carry out activities within the framework of the doctoral degree course

Agreements with other organisations or institutions to carry out activities within the framework of the doctoral degree course must comply with the regulations governing agreements related to doctoral studies.