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Preamble

When the Royal Decree 99/2011, of 28 January came into force to regulate the official doctorate studies, a new configuration of the doctorate structure was required by regulating the doctorate programmes which will be organised and managed by the Universidad Rey Juan Carlos International Doctorate School. These regulations also emphasise the importance of supervision and monitoring of doctoral students; a maximum duration for the doctorate is set and a part-time or full-time scheme is established. This regulatory text also determines the procedure for the defence of doctoral theses subject to protection processes or technology transfer, and the possibility of including the International Doctor mention in the doctorate certificate.

GENERAL PROVISIONS

Article 1. Applicable rules

Doctorate studies to obtain the Doctoral Degree through the Universidad Rey Juan Carlos shall be governed by the provisions of the Organic Law on Universities of 21 December 2001, in its new wording given by the Organic Law 4/2007 of 12 April; Royal Decree 99/2011 of 28 January, which regulates official doctorate studies; Royal Decree 195/2016 of 13 May, which establishes the requirements for issuing the European Supplement to the University Doctoral Degree; the University Statutes; the URJC International Doctorate School Regulations and the present regulations.

Article 2. The doctorate

The doctorate constitutes the third stage of official university studies, leading to the acquisition of competences and skills related to quality scientific research.

Doctoral training basically involves writing the doctoral thesis and, therefore, the essential activity is research along with specific and transversal training.

Doctorate studies are completed when the thesis has been written up and defended. It must include original research results.

Article 3. Organisation of doctorate studies

Doctorate studies are configured in doctorate programmes, organised and directed by the Universidad Rey Juan Carlos International Doctorate School.

Article 4. The URJC International Doctorate School

The URJC International Doctorate School, founded and authorised under Order 5710/2011 of 17 November 2011, by the Regional Ministry of Education in the Community of Madrid, has as its main objective the organisation and management of doctorate studies, which will be organised through programmes and will focus its activities on one or more specialised or interdisciplinary fields.

The International Doctorate School’s Internal Regulations regulate the composition and roles of its governing bodies, as well as the rights and duties of doctoral students, tutors and thesis supervisors.

All members of the International Doctorate School must sign a commitment to comply with the Code of Good Conduct.
Article 5. Duration of doctorate studies

1. The duration of doctorate studies under the full-time scheme is for a maximum of three years, commencing with the doctoral student’s admission to the programme and ending when the doctoral thesis is submitted. To that effect, submission is understood to be the time when the doctoral thesis is deposited at the International Doctorate School.

2. The doctorate programme’s Academic Committee can authorise the doctorate studies to be carried out on a part-time basis. In this case, the studies last for a maximum of five years, commencing with the doctoral student’s admission to the programme and ending when the doctoral thesis is submitted. To that effect, submission is understood to be the time when the doctoral thesis is deposited at the International Doctorate School.

3. The minimum duration of the doctorate studies is two academic years, commencing with the doctoral student’s admission to the Doctorate Programme. In these two academic years, the doctoral student must have passed the two annual assessments favourably before depositing the thesis.

4. Doctorate studies are normally carried out on a full-time basis. However, at the request of the doctoral student, the doctorate programme’s Academic Committee can authorise part-time attendance, in accordance with the provisions of article 3 of Royal Decree 99/2011.

5. A request for part-time attendance must be submitted to the doctorate programme’s Academic Committee, in such form and within the time limits set by the Committee.

6. For the purposes of calculating the above periods, leaves of absence due to illness, pregnancy or any other cause provided for in the regulations in force will not be taken into account. Students in any of the above situations must notify the doctoral programme’s Academic Committee, which will inform the International Doctorate School about their situation.

7. The doctoral student may request temporary withdrawal from the programme for a maximum period of one year. This may be extended for an additional year. The request must be duly justified and addressed to the doctoral programme’s Academic Committee, which will decide whether to grant the requested temporary withdrawal and inform the International Doctorate School. Each programme must establish the conditions for readmission to the doctorate programme.

Article 6. Extension of doctorate studies

As regards full-time studies, if once the three year period has ended, the request for depositing the doctoral thesis has not been submitted, the programme’s Academic Committee can authorise an extension for an additional year and, exceptionally, for two years, depending on the conditions established in the corresponding doctorate programme.

As regards part-time studies, the extension can be authorised for two more years, which, exceptionally, can be extended for an additional year.

Article 7. Entry requirements for the doctorate programme

1. In general, in order to enter an official doctorate programme, an official Spanish degree qualification, or its equivalent, and a University Master’s degree are necessary.

2. Likewise, those in the following situations can enter the programme:
a. Holding an official Spanish university degree, or one from a member state of the European Higher Education Area, which enables the holder to access a Master’s degree in accordance with the conditions established in Article 16 Royal Decree 1393/2007, of 29 October and have acquired a minimum of 300 ECTS credits during the whole official university studies, of which at least 60 must be at Master’s level.

b. Holding an official Spanish university degree, the duration of which, in accordance with EU law, is at least 300 ECTS credits. These graduates must take the complementary training referred to in Article 7.2 of R.D. 99/2011, unless the syllabus of the corresponding bachelor’s degree includes research training credits, equivalent in training value to the research credits from Master’s studies.

c. University graduates who, after obtaining a place in training in the corresponding entrance exam for specialised health training, have passed, with a positive evaluation, at least two years of training in a programme leading to the official qualification in one of the specialities in Health Sciences.

d. Holding a degree obtained in accordance with foreign education systems, without the need for official recognition, after verification by the university that it accredits a level of training equivalent to that of the official Spanish university master’s degree and that it entitles the holder to access doctorate studies in the country issuing the degree. This admission shall not imply, under any circumstances, the homologation of the previous degree held by the interested party nor its recognition for purposes other than that of access to doctorate studies.

e. Holding another Spanish doctoral degree obtained in accordance with previous university regulations.

f. Holding an official university degree which has obtained recognition of level 3 in the Spanish Qualifications Framework for Higher Education, in accordance with the procedure established in Royal Decree 967/2014, of 21 November, which lays out the requirements and procedure for the homologation and declaration of equivalence to an official university degree and academic level and for the validation of foreign higher education studies, and the procedure for determining the correspondence to the levels in the Spanish Framework of Qualifications for Higher Education for official degrees in Architecture, Engineering, Graduates, Technical Architects, Technical Engineers and Graduates from a three year degree.

3. Access with foreign university degrees which have not been homologated.

1. Spanish or foreign students who hold degrees obtained at a University or foreign higher education centre and wish to study the Third Stage at the Universidad Rey Juan Carlos can have access to them without having to previously homologate their degrees, in accordance with the following provisions:

   a. Request prior authorisation to take third stage studies, by means of an application addressed to the Director of the International Doctorate School.

   b. Submit the degree or degrees obtained at their University of origin, duly legalised.

   c. Submit an academic certificate stating the subjects taken and the grades obtained, as well as the years and subjects that make up the degree (also legalised).
d. If the source language of the documentation is not Spanish, a translation of the university degree and of the academic certificate, carried out by an official translator, must also be submitted.

2. Once a favourable decision has been obtained, final admission shall be requested in accordance with the procedure established in Article 8.

3. Under no circumstances will this access to third stage studies imply the homologation of the foreign degree held by the interested party, nor its recognition for purposes other than that of taking the aforementioned third stage university studies.


Students with a foreign degree homologated by the Ministry of Education and Vocational Training with the corresponding Spanish degree, an engineer or architect, will be subject to the provisions in Article 2 a. of this section.

**Article 8. Admission to the doctorate programmes**

1. Applicants for Access to a doctorate programme must meet the entry requirements set out in Article 7 of these regulations and any other requirements established under current legislation.

2. Applicants may apply for admission to any doctorate programme related or unrelated to their university curriculum.

3. The doctorate programmes’ Academic Committees may establish additional requirements and criteria for selecting and admitting students to a specific doctorate programme. In the case of applicants to doctorate programmes not directly related to their university curriculum, the Academic Committee shall establish whether or not admission is appropriate.

Admission to doctorate programmes may include the requirement for specific training complements. These specific training complements will not need to be structured into ECTS credits and, for the purposes of public prices and the awarding of grants and study aids, they will be considered as doctoral level training and undertaking this type of training will not count towards the limit established in article 3.2 RD 99/2011 on the duration of doctoral studies.

**Article 9. Transfer of academic records**

1. Those who have begun their doctoral studies at another university and wish to continue them at the Universidad Rey Juan Carlos must apply for admission to the Academic Committee of the corresponding doctorate programme.

2. The Steering Committee of the School shall take a decision following a report from the Academic Committee of the corresponding doctorate programme.

**Article 10. General admission procedures**

1. Pre-enrollment applications for doctorate programmes must be done through the telematic procedure approved by the University.

2. In any case, the original application form must be submitted to the University registers, duly completed and signed.
3. On the admissions application, including personal and academic details, the student may indicate a proposed supervisor and tutor for the doctoral thesis.

4. Once the Programme Coordinator has verified that the applicant meets the legal requirements, he/she will issue a report accepting or denying admission and, where appropriate, will establish the need for the applicant to undertake specific training complements. This report will be submitted to the Academic Committee which, after examining the applicant’s file and curriculum, must decide on admission within a maximum period of one month.

5. If the report does not favour admission, the Programme Coordinator must inform the applicant by means of a letter stating why he/she has not been admitted. A complaint against the refusal of admission may be lodged with the International Doctorate School’s Steering Committee. If, on the other hand, the Academic Committee’s decision is favourable to admission, the Programme Coordinator will inform the applicant, who must proceed to enroll within the period indicated in the admission notification.

Article 11. Enrollment

1. Enrollment of students admitted in the pre-enrollment process will be carried out through the automatic enrollment system of doctorate programmes, within the deadlines established and on an annual basis.

2. Doctoral students admitted to a doctorate programme shall register annually at the International Doctorate School for the academic supervision of this programme and shall pay this fee each academic year until the date the thesis is read.

Article 12. Admissions systems and procedures adapted to students with special needs arising from disabilities

For doctoral students with special needs arising from disabilities, the General Regulations regarding the support service for students with disabilities at the Universidad Rey Juan Carlos, approved by the Governing Council of the University on 28 April 2009, will be applicable as appropriate.

Article 13. Assigning, registering and modifying the thesis tutor and thesis supervisor

1. Upon admission to the doctorate programme, each doctoral student will be assigned a thesis supervisor by the corresponding Academic Committee. They will also be assigned a tutor, who will be responsible for ensuring interaction between the doctoral student and the Academic Committee, and who may or may not coincide with the doctoral thesis supervisor.

In the event of a thesis supervisor not being assigned at the time of admission, the Academic Committee shall appoint a thesis supervisor within a maximum period of three months after enrollment.

2. The Universidad Rey Juan Carlos, through the International Doctorate School, which the doctorate programme is a part of, will publish the list of programme tutors and supervisors. The supervisors and tutors will be responsible for ensuring competence, knowledge of the programme and interaction between the doctoral student and the Academic Committee.

3. After the Academic Committee has listened to the doctoral student, the Committee may assign a new doctoral thesis supervisor for the doctoral student at any time during the doctorate programme, provided that there are valid reasons for doing so.
The doctoral thesis supervisor may be changed after he/she has been registered, providing the School’s Steering Committee authorises this change, subject to a report from the doctorate programme’s Academic Committee.

4. Those thesis supervisors who, during the thesis development process, lose the requirements established in these regulations for being a thesis supervisor, may continue in this role until the completion of the thesis.

ORGANISATION OF DOCTORATE PROGRAMMES

Article 14. Thesis commitment, conflict resolution procedure and intellectual or industrial property rights

On admission to the programme, a documentary commitment (thesis commitment) will be signed by the doctoral student, his/her tutor and supervisor according to the model attached in the annex, which covers the procedure for conflict resolution and aspects related to intellectual or industrial property rights that may arise in the context of the doctorate programme. This commitment must include both the Programme Coordinator's and the International Doctorate School Director's approval.

Article 15. Doctoral student’s activities document

1. The activities document is an individualised control record of the doctoral student’s activities. All activities of interest for the doctoral student’s development must be registered, as regulated by the doctorate programme’s Academic Committee. This document must be reviewed regularly by the thesis tutor and thesis supervisor. It must be assessed annually by the doctorate programme’s Academic Committee.

2. Once enrolled in the programme, a personalised activities document will be prepared for each doctoral student for the individualised control record referred to in article 2.5 RD 99/2011.

3. The type and number of scheduled activities may be modified, providing the doctorate programme’s Academic Committee authorises them. These changes must be endorsed by the supervisor and the thesis tutor and the International Doctorate School must be informed.

4. It is the doctoral student’s responsibility to provide the supervisor with certificates to record the activities carried out.

5. In order to be able to deposit the doctoral thesis, the programme’s Academic Committee will demand, amongst other requirements, the completion of all the training activities that have been set out in the student’s activities document.

Article 16. Research Plan

Before the end of the first year of their affiliation to the programme, doctoral students will draw up a Research Plan that will include the methodology to be used and the objectives to be achieved, as well as the means and the time scheduled to fulfil them. This Plan may be improved and elaborated on during the length of the programme and must be endorsed by the tutor and the supervisor.
Article 17. Monitoring the doctoral student’s work, research plan and thesis

1. Monitoring is carried out through regular supervision of the doctoral student by his/her supervisor and, where appropriate, co-supervisor, as well as the tutor, and also by means of conferences where progress in research and transfer of knowledge are presented. As part of the monitoring process, an annual assessment is carried out by the programme’s Academic Committee.

2. The Academic Committee will assess the research plan and the activities document together with the reports from the tutor and supervisor. These reports will be issued after the supervisor has had a chance to voice his/her opinion. If the Academic Committee detects significant shortcomings, it may request the doctoral student to submit a new research plan within a period of six months. Should the shortcomings continue to occur, the Academic Committee must issue a report with their observations and the doctoral student will be permanently withdrawn from the programme.

DOCTORAL THESES

Article 18. The doctoral thesis

The doctoral thesis will consist of original research work carried out by the candidate in the field of knowledge specific to the doctorate programme. The thesis must enable the doctoral student to work independently in the field of R+D+i and must be framed within one of the lines of research that make up the doctorate programme.

Article 19. Enrollment and academic tutoring

In accordance with Royal Decree 99/2011 of 28 January, doctoral students admitted to a doctorate programme will enroll annually at the Universidad Rey Juan Carlos.

Article 20. Tutors and thesis supervisors

1. The thesis supervisor is ultimately responsible for supervising all the doctoral student’s research work.

2. A maximum of five doctoral theses may be supervised simultaneously by the same supervisor. Supervision of the doctoral thesis ends at the time of the defence of the doctoral thesis or the final withdrawal of the doctoral student. If an extension is requested, the Steering Committee’s authorisation must be obtained.

3. Thesis supervisors can be national or foreign doctors with accredited research experience. For the purpose of accrediting research experience, permanent lecturers must have been given a positive assessment for their research activity by CNEAI (National Commission for Research Activity Assessment) in the last six years, or a total of two or more recognised six-year periods. Non-tenured URJC lecturers must be in possession of two research triennia from the University’s call for applications and be accredited as a tenured or tenure-track lecturer. Professors or researchers from other national or foreign organisations or institutions with positions to which the CNEAI criteria do not apply and Ramón y Cajal and Juan de la Cierva researchers (or other researchers with competitive post-doctoral contracts) from the URJC must provide research merits equivalent to those of permanent professors. These merits will be assessed by the Management Committee or by an external ANECA (National Agency for Quality and Accreditation Assessment) commission set up for this purpose. The above criteria may be used to assess URJC associate professors if they are also employed for research activity in
other centres. If there are co-supervisors, this qualification will only be required of one of them. Exceptionally, thesis supervision may be undertaken by doctors who are not linked to research institutions, with prior authorisation from the Doctorate School's Steering Committee.

4. The thesis may be co-supervised by other doctors when there are reasons of an academic nature, such as thematic interdisciplinarity or programmes developed and involving national or international collaboration, with prior authorisation from the Academic Committee. When a doctoral thesis is supervised by two or more co-supervisors, this thesis shall count as half a thesis for each co-supervisor in relation to the maximum number of doctoral theses that may be supervised simultaneously, as established in section 2 of this article.

5. If there are co-supervisors, the accreditation indicated in section 3 shall only be required of one of them.

6. The tutor is responsible for ensuring that the training and research activity are in line with the programme’s principles and those of the International Doctorate School.

7. Thesis tutors shall be university lecturers with accredited research experience, to be assessed by the Steering Committee, linked to one of the International Doctorate School’s doctorate programme.

Article 21. Content of the doctoral thesis

1. The doctoral thesis must consist of original research work related to one of the research lines from the doctorate programme.

2. The doctoral thesis may consist of a compendium of articles obtained from the doctoral student’s own research since his/her admission to the doctorate programme. In this case, the doctoral thesis must include a report to present the thesis being defended and also an introductory chapter and final conclusions.

Article 22. The language the thesis is written in and defence of the doctoral thesis

1. The thesis may be written and, where appropriate, defended in the usual languages of scientific communication in the corresponding field of knowledge. If the language in which the thesis is to be written and defended is not Spanish or English, the doctoral student must inform the doctorate programme’s Academic Committee beforehand.

2. When the doctoral thesis is not presented in Spanish, it will be accompanied by an abstract in Spanish that includes background, objectives, methodology, results and conclusions. The summary shall be bound and submitted along with the doctoral thesis.

Article 23. Thesis deposit

1. The doctoral student who wishes to deposit his/her doctoral thesis for reading and defence, subject to a favourable report from the thesis supervisor(s), must submit two copies of the thesis and two CDs with the thesis in PDF format to the programme’s Academic Committee through the General Registry or Auxiliary Registries at the Universidad Rey Juan Carlos.

2. The thesis will be printed double-sided, in A4 or B5 format, and will be bound in soft or hard cover, non-manipulable (with the pages glued or sewn together). The two copies will show the engraved or printed details of the thesis on the cover and on the spine, according to the
approved model published on the International Doctorate School’s website. The cover will contain the same information as the title page.

3. In order to guarantee, prior to its formal presentation, the quality of the work carried out, at least one accepted publication must be provided, or publication in media with an impact in the field of knowledge related to the doctoral thesis. It must be signed by the doctoral student and include part of the results of the thesis. Taking into account the current criteria used by CNEAI (National Comission for Research Activity Assessment) to assess scientific contributions in the assessment process of periods of research activity, the doctorate programme’s Academic Committee will be responsible for assessing whether the publication is appropriate and suitable. The publication must have been published or accepted after the date of commencement of doctoral studies. It cannot have been used previously for the same purpose and the Universidad Rey Juan Carlos must be included in the affiliation of the doctoral student or supervisor. A complete copy of the publication(s) must be submitted with the thesis deposit and state: the name and affiliation of the author and all co-authors, if applicable, as well as the full reference of the journal or publishing house in which the work has been published or accepted for publication. In this case, proof of acceptance by the editor-in-chief of the journal or publishing house must be provided. A letter signed by each of the co-authors must also be provided authorising the publication to be used within the scope of the thesis.

The doctoral student must be the first signatory of the publication, or provide documentary evidence of his or her primary contribution to the work.

**Article 24. Authorisation and public display of the thesis**

1. Once the presentation of the thesis has been authorised by the Academic Committee, 15 calendar days will be granted so that doctors can examine it and, if appropriate, make any written allegations they deem appropriate.

2. The Academic Committee responsible for the doctorate programme shall send the doctoral thesis, together with all the documentation generated by the thesis assessment process, to the Steering Committee, attaching the proposal of experts in the field who may form part of the panel responsible for judging the thesis.

3. So the University can guarantee the quality of doctoral theses prior to their formal submission, the Steering Committee may submit the doctoral theses for external assessment by sending them to two external experts from among those included in the ANECA (National Agency for Quality and Accreditation Assessment) databases. These external experts, from outside the Universidad Rey Juan Carlos, are specialists in the area or areas of knowledge related to the doctorate programme in which the thesis has been registered.

4. For the purposes laid out in the previous section, in the event of external assessment being necessary, the doctorate programme’s Academic Committee shall send the Steering Committee a list of a maximum of 20 specialists. This list shall include the personal and professional details and a brief curriculum vitae of each of the proposed specialists. The Steering Committee shall choose two assessors from the list.

5. The two external assessors must submit a reasoned report on the doctoral thesis within a maximum period of one month.

6. Once the deposit period has elapsed, and in view of the assessors’ reports, the Steering Committee will decide whether or not to admit the thesis for processing. If the defence of the thesis is not authorised, the Steering Committee must inform the doctoral student, the thesis
THESIS EXAMINATION BOARD

Article 25. Appointing the thesis examination board members

Once the defence of the doctoral thesis has been authorised, and at the proposal of the doctorate programme’s Academic Committee, the Steering Committee shall appoint the thesis examination board.

Article 26. Composition of the examination board

1. The thesis examination board will be proposed by the doctorate programme’s Academic Committee. Its members shall be doctors specialising in the subject to which the thesis refers or in another subject related to it, and shall have accredited research experience. Members who are permanent professors must have at least six years’ research experience. Lecturers or researchers with positions to which the CNEAI (National Comission for Research Activity Assessment) criteria do not apply must provide equivalent research merits, which will be assessed by the Steering Committee at the proposal of each programme’s Academic Committee. In any case, the examination board shall be composed of a majority of members from outside the University and the institutions collaborating in the School or programme.

2. The examination board shall be composed of five full members and two substitutes, unless each doctorate programme chooses, giving prior justification, an examination board composed of three full members and three substitutes. This is approved by the International Doctorate School’s Steering Committee.

3. No more than two members from the same university or organisation may sit on the examination board. If there is a panel of three members and three substitutes, the Chairperson or Secretary and one of the substitutes must belong to the URJC.

4. Neither the thesis supervisor nor the tutor can form part of the examination board, except when theses are presented within the framework of bilateral co-supervision agreements with foreign universities, which provide for these cases and by virtue of the corresponding agreements.

5. The Steering Committee shall appoint a chairperson and a secretary from among the members of the examination board. The latter shall preferably belong to the Universidad Rey Juan Carlos. In the event of a full member of the examination board resigning for justified reasons, the chairperson will replace him/her with the corresponding substitute.

Article 27. Delivery of copies to the examination board members

The doctoral student will submit a copy of the doctoral thesis and a copy of the activities document to the examination board members.

Article 28. Reading and defending the thesis

1. The thesis defence will be held on working days (excluding Saturdays, Sundays, public holidays and vacation periods) within the period between 1 September and 31 July corresponding to the academic year. The secretary will inform the International Doctorate School of the defence date at least 15 calendar days before it is to be held.
2. The defence will take place in a public session and will consist of a presentation by the doctoral student of the preparatory work carried out, the methodology, as well as the content and conclusions of the thesis, with a special mention of his/her original contributions to the subject of the thesis.

3. The examination board assessing the thesis will be provided with the student’s activities document, as referred to in Article 15.1 of these regulations and also the training activities carried out by the student. This monitoring document will not give rise to a quantitative mark but will constitute a qualitative assessment instrument that will complement the assessment of the doctoral thesis.

4. The members of the examination board must express their opinion on the thesis presented and ask the candidate as many questions as they consider appropriate. The candidate must respond at the time and in the manner indicated by the examination board’s chair. The doctoral students present at the public hearing may ask questions at the time and in the manner indicated by the examination board’s chair.

5. At the end of the defence and discussion about the thesis, each member of the examination board will draw up a written assessment of the thesis.

6. Unless the doctoral thesis has been co-supervised, the defence must be carried out at the Universidad Rey Juan Carlos.

**Article 29. Thesis grades**

1. Once the defence of the thesis has been completed, and after a secret vote, the examination board shall award the overall grade: fail, pass, good, merit.

2. The examination board may propose that the thesis be awarded the mention of “cum laude” if a unanimous secret vote is cast in favour of the thesis. The votes will be counted by the administrative staff of the International Doctorate School when the minutes of the thesis presentation and defence are handed out. The secretary of the examination board must be present. The doctorate student, the thesis supervisor, the tutor and the doctorate programme coordinator will be notified of the result.

3. In any case, the appropriate grade will be stated on the front of the corresponding doctoral degree.

**DOCTORATE MENTIONS**

**Article 30. International mention on the doctorate title**

1. The doctorate title may include the words “International Doctorate” on the front, provided that the following circumstances are in place:

   a. During the period of training required to obtain the doctorate degree, the doctoral student must have spent a minimum of three months outside Spain at a prestigious higher education institution or research centre, studying or carrying out research work. The stay and the activities must be endorsed by the supervisor and authorised by the Academic Committee, and will be included in the student’s activities document.
b. Part of the doctoral thesis, at least the summary and conclusions, must have been written and presented in one of the usual languages for scientific communication in the field of knowledge, different to any of the official languages in Spain. This rule will not apply when the stays, reports and experts come from a Spanish-speaking country.

c. The thesis must have been peer-reviewed by at least two doctorate experts from a non-Spanish higher education institution or research institute.

d. At least one expert belonging to a non-Spanish higher education institution or research centre with a doctorate degree, other than the person in charge of the stay mentioned in section a) and the experts mentioned in section c), must have been a member of the thesis assessment panel.

2. Defence of the thesis must be carried out at the Spanish university where the doctoral student is registered or, in the case of joint doctoral programmes, at any of the participating universities or under the terms of the collaboration agreements.

3. When the doctoral thesis is deposited, the Academic Committee will be informed of the intention to award the thesis with the mention “International Doctor”. The doctoral student will have provided the programme coordinator, or representative of the Academic Committee, in the case of inter-university doctoral students, with the documentation accrediting the completion of their stay and the reports of the two experts, seven calendar days before the Steering Committee’s meeting. This Committee will assess authorisation for the reading of the thesis.

**Article 30a. Industrial Mention on the doctor title**

1. The “Industrial Doctorate” will be awarded provided that the following circumstances are in place:

   a. Employment or a commercial contract with the doctoral student exists. The contract may be signed by a private or public sector Company, as well as by a public administration entity.

   b. The doctoral student must participate in an industrial research or experimental development project to be 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 doctoral student participates must be directly related to the thesis being carried out. This direct relationship will be accredited by means of a report that must be approved by the University.

2. If the industrial research or experimental development project is carried out and the university collaborates with the company or public administration in which the doctoral student works, a collaboration agreement will be signed between the parties. This agreement will indicate the company’s or public administration’s duties, as well as the procedure for the selection of doctoral students.

The doctoral student will have a thesis tutor appointed by the University and a supervisor appointed by the company or public administration, who may, where appropriate, be the thesis supervisor, in accordance with the doctorate regulations.
DOCTORAL THESSES WITH CO-TUTORSHIP

Article 31. Procedures for co-tutoring doctoral theses

With the aim of creating and developing scientific cooperation between the Universidad Rey Juan Carlos research teams and other higher education institutions, as well as facilitating the mobility of doctoral students, the following procedure for co-tutoring doctoral theses is proposed:

a. Admission paths to doctoral studies, deposit and defence of the doctoral thesis will be the same as those governing Third Stage studies, in the corresponding higher education institution.

b. Candidates preparing the doctorate with co-tutorship will carry out their work under the supervision and responsibility of a thesis supervisor at each of the institutions concerned.

c. All theses with co-tutorship shall be carried out within the framework of a specific agreement between the two higher education institutions concerned and shall involve the principle of reciprocity. Under the agreement, each institution shall recognise the validity of the doctoral thesis on the basis of a single submission and each institution shall issue the doctorate certificate.

d. The doctoral student must fulfil the prerequisites of both countries and will enroll at each of the two institutions.

e. The time for preparing and writing the thesis will be established in the corresponding Agreement and will be divided between the two institutions involved in the co-supervision in alternating periods in each of the two countries. The period of stay in each of them may not be less than six months. This stay may be six consecutive months or in several periods. Stays and activities will be reflected in the co-supervision agreement.

f. Publication, use and protection of the research results will be ensured in the doctoral student’s two host institutions in accordance with the specific procedures of each country.

g. The thesis will be subject to a single defence in either of the two institutions and will be written in one of the usual languages of scientific communication in their field of knowledge. An abstract shall de included in each of the two countries’ official language. This provision shall be the subject of a clause in the Agreement signed by the two institutions.

h. The examination board, before which the thesis is to be defended, shall be appointed by mutual agreement between the two institutions and its composition and the way it functions shall be in accordance with the legislation in force in each of the countries. It shall be composed of scientific representatives from the two countries and shall be comprised of at least five members.

i. The costs arising from appointing the examination board shall be covered exclusively by the institution where the doctoral thesis is defended and in accordance with its own regulations.

j. The Steering Committee shall monitor and control the doctoral theses under co-tutorship.

k. For Spain, procedures for depositing theses, copyright and reproduction of theses are governed by previous and also current regulations. This aspect will be clearly specified in the
Agreement signed, with reference also to the laws in force on this matter in the country in question.

OUTSTANDING THESIS AWARD

Article 32. Rules for granting the outstanding award

1. The doctorate programme’s Academic Committee may grant the Outstanding Award Mention among the theses that have obtained the “Cum Laude” grade in accordance with the following criteria:

   a. The outstanding award will be given per academic year, provided that at least five theses in the corresponding academic year have obtained the “Cum Laude” grade. If this minimum number is not reached in an academic year, the award period shall be extended by as many academic years as necessary.

   b. The maximum number of Outstanding Awards for each academic year shall be one for every five theses awarded “Cum Laude”, and one more for the remaining fraction.

2. The Committee responsible for determining the granting of outstanding awards shall be composed of five members, chosen by the doctorate programme’s Academic Committee.

3. Professors who have supervised any of the theses submitted for the award may not form part of the panel.

4. The panel shall assess each thesis, as well as the candidates’ academic record and curriculum vitae. The scientific production of the thesis shall also be taken into consideration.

5. The panel shall draw up a reasoned report on the resolutions adopted.

FILING DOCTORATE THESES AND ISSUANCE OF THE DOCTORATE CERTIFICATE

Article 33. Filing and depositing the doctoral thesis

Once the doctoral thesis has been approved, the university will be responsible for filing it in open electronic format in a institutional repository and will send a copy of the thesis in electronic format, along with all the necessary complementary information, to the Ministry of Education for the appropriate purposes.

Article 34. Issuing doctorate degree certificates

1. The doctorate degree certificate is as follows: Doctor by the Universidad Rey Juan Carlos and shall include information specifying the doctorate programme in which the doctoral thesis has been prepared and the appropriate grade in accordance with Article 29 of these regulations.

2. The doctor certificate may include the mention “International Doctor” on the front, provided that the circumstances laid out in Article 30 are met.

3. The doctor certificate may include the words “Industrial Doctor” on the front, provided that the circumstances of Article 30a of these regulations are met.
4. On the front of the doctorate degree certificate the statement “Thesis under co-tutorship with University U” shall be included, provided that the circumstances of Article 31 of these regulations are met.

5. The official doctorate degree certificate shall be issued under the name that, in each case, appears in the Register of Universities, Centres and Degrees. This name shall be reserved exclusively for each of them.

**ADDITIONAL PROVISIONS**

**Article 35. Confidentiality agreements on the contents of the thesis**

1. Request for confidentiality of the doctoral thesis.

In exceptional circumstances, such as, among others, the existence of confidentiality agreements with companies or the possibility of generating patents on the content of the thesis, the doctoral student may apply to the URJC International Doctorate School’s Steering Committee for confidentiality of his/her thesis.

The application must be submitted to the URJC General Registry, together with a report from the thesis supervisor and the Academic Committee of the corresponding Doctorate Programme. The application must include all the necessary documentation to prove that the request for confidentiality is justified.

The International Doctorate School’s Steering Committee will decide on the appropriateness of confidentiality of doctoral theses whereby public display of the protected results, or those susceptible to protection, is avoided. This Committee may require the doctoral student to provide whatever additional documentation it deems appropriate to assess the request.

The Steering Committee and Academic Committee members who deal with the request shall be committed to maintaining absolute confidentiality with regard to the content of the doctoral thesis.

2. Defence and filing of the doctoral thesis subject to protection or technological/ knowledge transfer processes.

At the time of filing, the doctoral student will hand in three printed copies and two on CD, with the thesis in PDF format. One printed copy must reproduce the full content of the thesis, and the other four copies (two printed and two in digital format) will reproduce the version in which only the content considered confidential has been removed.

The first copy with the full content will be kept by the International Doctorate School for the duration of the procedure and will be returned to the doctoral student upon receipt of the minutes of the public defence of the thesis.

The other copies will stored for the purposes of the provisions of Articles 23 and 33 of these regulations.

The following notice will appear on the title page of the doctoral thesis, both in printed and digital copies:

“This doctoral thesis is subject to protection processes by means of a confidentiality agreement. Therefore, the following contents are not available for publication in the institutional repositories.”
The table of contents and the list of contents that are protected under the confidentiality agreement must appear on the first page of the thesis.

The protected version will be used for disseminating the electronic files in the URJC institutional repositories and the Ministry.

The examination board that is to assess the doctoral thesis will have access to the full version of the thesis and will be expressly warned that it is subject to a protection process. The members of the examination board are obliged to maintain absolute confidentiality regarding the content of the doctoral thesis.

The protected version of the thesis will be subject to public defence and the doctoral student will not have to publicly expose data that has been indicated as confidential.

The restriction on the dissemination of the full content of the Doctoral Thesis will be revoked at a later date when the process of protection or transfer of knowledge has been completed. This circumstance will be duly notified to the University by the doctoral student.

**TRANSITIONAL PROVISIONS**

**Article 36. Students who began their doctoral studies under previous legal frameworks**

1. Doctoral students who on the date when the RD99/2011 came into force began their doctoral studies in accordance with previous legal frameworks, shall be subject to the provisions governing doctoral studies and the awarding of the doctoral degree under which they began those studies.

2. Those who on 11 February, 2011 were studying for a doctorate should have submitted and defended their doctoral thesis before 11 February, 2016. Once this deadline has passed, the doctoral student will be permanently withdrawn from the programme.

**Article 37. Incorporating students who began their doctoral studies under previous legal frameworks into doctoral programmes regulated by Royal Decree 99/2011**

1. Doctoral students who have started their doctorate programme in accordance with previous university regulations may join the new doctorate programmes regulated in RD 99/2011, once they have been approved and set up by the University, in accordance with the provisions of this regulation and those of the University itself.

2. Graduates, architects or engineers who hold a Diploma of Advanced Studies obtained in accordance with the provisions of Royal Decree 778/1998, of 30 April, or who have achieved the research proficiency level regulated in Royal Decree 185/1985, of 23 January, may be admitted to the doctorate programmes regulated in RD 99/2011.

3. Doctoral students who are enrolled in doctorate programmes regulated in RD 1393/2007 may also be admitted to the doctorate programmes regulated in RD 99/2011, regardless of the stage the student is at in writing his/her doctoral thesis.
4. Studies completed by doctoral students under previous legal frameworks may be considered by the Programme’s Academic Committee as regards the minimum duration of studies indicated in Article 5.

**FINAL PROVISION**

These regulations shall be applicable as of the academic year 2013-14.
ANNEX

THE UNIVERSIDAD REY JUAN CARLOS COMMITMENT TO SUPERVISING THE DOCTORAL STUDENT

I. DOCTORAL STUDENT’S PERSONAL DETAILS
Name:
Surname:
I.D./Passport:
Contact details:
Doctorate Programme:
Student hours:
    Full-time
    Part-time

II. PREAMBLE
The doctoral student, the tutor and the thesis supervisor will sign the present document of commitment that defines the rights and duties of the signatory members in order to ensure the different training aspects are developed and the lines of research for developing the doctoral thesis are established.

III. GENERAL PRINCIPLE OF MUTUAL COLLABORATION
The doctoral student, the tutor and the thesis supervisor undertake to establish a relationship of mutual collaboration in order to initially achieve the definition of the Research Plan and the doctoral thesis project, the preparation of the thesis and, finally, the defence of the doctoral thesis, in accordance with the procedures and deadlines established in the applicable regulations.

They will also collaborate to ensure that the doctoral student develops a plan of activities and a training programme that will enable him/her to achieve the objectives set out in the regulations in force.

IV. COMMITMENT TO COMPLIANCE WITH THE INTERNATIONAL DOCTORATE SCHOOL’S CODE OF GOOD CONDUCT
The International Doctorate School conceives its Code of Good Conduct as a set of rules, recommendations and commitments with which both the research staff (trainees and experts) and the School itself are equipped, in order to promote the quality of research and contribute to rigour, respect and responsibility and integrity when carrying out scientific activity. The aforementioned also undertake to act with their best skills, declare conflicts of interest and be alert to the consequences of research, in case they affect third parties, and to respect the latter’s rights and reputation.

The Code of Good Conduct is a complementary tool and not a substitute for existing legal regulations. Especially when the research to be carried out involves the use of human beings and samples or human data, animals used for research purposes or genetically modified organisms, the following aspects will be taken into account: current legislation and reports, permits and supervision that must be carried out by all the existing Ethics and Research Committees at the Universidad Rey Juan Carlos and any other committees that regulate these scientific practices in their fields.
The International Doctorate School, inspired by the European Charter for Researchers, freely decides to adopt these rules of action to regulate and guide the good practices of its staff, without entering into legal or ethical competences of a different nature, currently framed in the field of action of other bodies, services and research ethics committees of the University.

The doctoral student, the tutor and the thesis supervisor undertake to comply with the International Doctorate School's Code of Good Conduct.

V. THE DOCTORATE STUDENT'S DUTIES AND RIGHTS

The doctoral student is considered to be a doctoral student when, having accredited the requirements established in the current regulations, he/she has been admitted to a doctorate programme at the Universidad Rey Juan Carlos and has enrolled at the International Doctorate School.

The doctoral student's duties are the following:

a) Enroll each academic year in the doctorate programme according to the terms established by the International Doctorate School.
b) Sign the documentary commitment together with the thesis supervisor and tutor regarding supervision of the doctorate students as established by the International Doctorate School.
c) Carry out the doctorate programme’s training activities and participate in them.
d) Carry out the research and study activities appropriate to their status as research trainees, with the necessary dedication and use of their time.
e) Maintain a cordial, fluid and collaborative relationship with the doctoral thesis supervisor and tutor.
f) Act ethically when reporting the results obtained in the doctoral thesis course. Avoid plagiarism and also respect the principles of intellectual property.
g) Periodically provide data on the activities carried out through the information system made available by the International Doctorate School.
h) Participate annually in the procedure established for monitoring doctoral thesis.
i) Keep data and information secret: data and information provided or revealed in all types of data carriers or media by the thesis supervisor, tutor or any other member of the research team of which they are a member, and which may be considered confidential information; sign the confidentiality commitments that may be required by the doctoral thesis or research project supervisor, or the tutor.
j) Take part in the doctorate programme within the framework established by current regulations.
k) Inform the supervisor regularly of progress made in his/her work, results obtained and any problems that may arise during this process. The doctoral student will take into consideration comments and suggestions made by the supervisor.
l) Be familiar with and comply with the internal health and safety regulations, especially those related to the use of laboratories, field work and other research environments.
m) Use the name of the entities for which he/she provides services whilst performing his/her scientific activity, in accordance with the internal regulations of these entities and the agreements, pacts and conventions signed by them.

Doctoral students have the following rights:

a) Receive quality research training, which promotes scientific excellence and is in line with equity and social responsibility.
b) Have a tutor to guide their training process and a supervisor and, where appropriate, co-supervisor, with proven research experience, to supervise the completion of the doctoral thesis.

c) Participate in programmes and calls for grants related to research training and national and international mobility.

d) Participate in training activities organised in the doctorate programme.

e) Request a change of thesis supervisor, part-time completion of the doctorate thesis, an extension for submission of the thesis, or temporary withdrawal from the doctorate programme, including a reasoned explanation, in accordance with the terms established in the regulations in force.

f) Be considered, in terms of representation rights in the governing bodies of the university, as research staff in training, in accordance with the provisions of the legislation on science and research.

g) Participate in the monitoring of doctorate programmes and in institutional assessment processes under the terms established in current regulations.

h) For the University and its International Doctorate School to encourage doctorate students to become part of research groups and networks in their third stage programmes.

i) Learn about the professional research career and for the University to promote research career development opportunities in its programmes.

j) Be recognised as the holder of the intellectual or industrial property rights that may be theirs, in accordance with current legislation, and to appear as co-author in all papers, articles or communications related to the research work in which the doctorate student has participated in a relevant way.

k) And any other rights laid out in current legislation.

VI. CONFIDENTIALITY

Doctoral students undertake to keep secret all data and information provided or disclosed to them in any type of data carrier or media by the thesis supervisor, tutor or any other member of the research team of which they are a member, and which may be considered confidential information; not to disclose, communicate, transfer or reveal such information to third parties and to use the information obtained solely and exclusively for the purpose of completing their doctorate thesis.

To that effect, the doctoral student undertakes to sign any confidentiality agreements that may be required by the doctorate thesis or research project supervisor, or the tutor.

VII. INTELLECTUAL AND INDUSTRIAL PROPERTY RIGHTS

Doctoral students have the right to be recognised as holders of the intellectual or industrial property rights that may be theirs, in accordance with current legislation and to appear as co-authors in all papers, articles or communications related to research work in which the doctoral student has participated in a relevant way.

Likewise, the doctoral student has the right to exercise the intellectual property rights derived from his/her training activity in research and in accordance with his/her contribution, as established in current legislation. The aforementioned rights are independent, compatible and cumulative with other rights that may derive from the research carried out, irrespective of the conditions derived from collective work when the doctoral student participates, or is involved in a collective research project.

As regards any industrial property rights the doctoral student may hold over research results, the doctoral student is subject to current legislation provisions on university patents and the
regulations approved by the Universidad Rey Juan Carlos. In any case, the amounts that he/she may receive for the use and transfer of the aforementioned rights will, under no circumstances, be in the nature of a salary.

VIII. THE TUTOR’S DUTIES AND RIGHTS

The tutor is responsible for ensuring that the training and research activity is in line with the programmes’ principles and, where appropriate, those of the Doctorate Schools.

The tutor’s duties are the following:

a) Assist their doctoral students in their training process by providing information, guidance and resources for learning.
b) Regularly review their doctoral students’ personalised activities document.
c) Approve the research plan drawn up by the doctoral student.
d) Prepare the monitoring report that will be included in the doctoral student’s activities document.
e) Sign up to the code of good conduct.
f) Ensure interaction between the doctoral student and the programme’s Academic Committee.
g) Be responsible for ensuring that the training and research activity is in line with the programme’s principles.
h) Pay special attention to their role as supervisors, mentors, coaches or communicators in scientific matters and perform these tasks following the highest professional standards. Experienced researchers should build a constructive and positive relationship with junior researchers in order to provide the necessary means for effective transfer of knowledge and for the successful future development of their careers as researchers.
i) Any other duties contemplated by the legislation in force.

The tutor’s rights are the following:

a) Be involved in the International Doctorate School’s structure and activities according to the rules defined in these regulations.
b) Use of adequate and accessible academic facilities and have at his/her disposal the appropriate material means for his/her thesis tutoring activity.
c) Academic recognition of his/her thesis tutoring activities by the International Doctorate School and the University in accordance with current regulations.
d) Participate in training activities for thesis tutors that may be offered by the International Doctorate School.
e) For the International Doctorate School, in its doctorate programmes, to encourage the tutor and also his/her doctoral students to participate in research groups and networks.
f) Any other rights contemplated in current legislation.

IX. THE THESIS SUPERVISOR’S DUTIES AND RIGHTS

The thesis supervisor is the person responsible for supervising all the doctoral student’s research work, for the impact and novelty of the subject matter of the thesis in his/her field, and for guiding the planning and, if necessary, adapting it to other projects and activities which the student is involved in.

The thesis supervisor’s duties are the following:
a) Sign the documentary commitment that establishes his/her supervision duties related to the doctoral student in the manner established by the International Doctorate School.

b) Establish a constructive and positive relationship with his/her doctoral students in order to provide the necessary conditions for effective transfer of knowledge and for the future success of their careers as researchers.

c) Regularly review the doctoral students’ personalised activities document.

d) Report on and periodically endorse his/her doctoral students’ research plan.

e) Regularly monitor and supervise the doctoral student, set up the necessary periodic meetings to analyse how well the proposed objectives are being fulfilled and any incidents that may arise.

f) Prepare the monitoring report that will be included in the doctoral student’s activities document.

g) Facilitate access to the means necessary to carry out the research work.

h) Participate in forums, seminars, workshops and other activities carried out at the International Doctorate School, as well as encourage the doctoral student to participate in national and international conferences, as well as in the different meetings and seminars conducted within his/her field of knowledge.

i) Ensure that the doctoral thesis has an original, formative and innovative nature, that it can be completed within the established deadlines and with the means the doctoral student can have access to, and that the results are adequately disseminated through publications in significant scientific journals, transfers to other research contexts or, where appropriate, in development and innovation products.

j) Ensure that his/her doctoral students follow safe working practices at all times, in accordance with national legislation. He/she should also ensure that his/her doctoral students take the necessary measures to comply with legal requirements regarding data protection and confidentiality.

k) Sign up to the Code of Good Conduct.

l) Inform the Doctorate School of the loss of his/her status by which he/she became a member of the School’s staff, or any other circumstances that may affect his/her position as thesis supervisor.

m) Any other duties contemplated in current legislation.

The thesis supervisor's rights are the following:

a) Be involved in the International Doctorate School’s structure and activities.

b) Use of adequate and accessible academic facilities and have at his/her disposal the appropriate material means for his/her activity as thesis supervisor.

c) Academic recognition of his/her thesis supervision activities by the International Doctorate School and the University in accordance with current regulations.

d) Participate in training activities for thesis supervisors that may be offered by the International Doctorate School.

e) For the International Doctorate School to encourage, in its doctorate programmes, the supervisor and also the doctoral students he/she supervises to participate in research groups and networks.

f) Any other rights contemplated in current legislation.

X. RESOLUTION OF CONFLICTS AND COMPLAINTS PROCEDURES

In the event of non-compliance with the commitments included in the thesis commitment document, the Doctorate Programme’s Academic Committee will be responsible for resolving complaints, and an appeal may be lodged with the Rector, under the terms set out in Law 30/1992, of 26 November, under the legal system for public administrations and common administrative procedure.
If the thesis supervision is carried out under an agreement with another institution, the parties must abide by the specific provisions mentioned in the collaboration agreement. The signatories of this document must be aware of the aforementioned provisions.

**XI. VALIDITY**

This document shall be valid from the date of signature until the completion of the doctoral thesis. However, it will not be valid in the event of non-compliance with any of the clauses set out in this document or in the Regulations governing the procedures for admitting the thesis project, its preparation, authorisation, appointing the examination board and assessment of doctoral theses at the Universidad Rey Juan Carlos.

Date: In ............., on ................, 20...

The Doctoral Student                           The Tutor                           The Supervisor

Signed: ...........                Signed: ............                Signed: ............

Endorsed by the                                   Endorsed by the
Programme Coordinator                           International Doctorate School's Director

Signed: ...........                Signed: .........................