

**ACCREDITED DOCTOR'S DEGREE TEACHING REGULATION
OF UNIVERSIDAD EUROPEA DE MADRID. OFFICIAL DECREE 99/2011**

EXPLANATORY PROVISIONS

Universidad Europea de Madrid, in the exercise of the university autonomy inherent thereto, issues this Accredited Doctor's Degree Teaching Regulation that shall govern the teaching activities for obtaining Accredited Doctor's Degrees, pursuant to the provisions of Official Decree 99/2011, of 28 January.

Article 1. ADMISSION TO THE DOCTOR'S DEGREE PROGRAM

1. The Doctor's Degree Programs shall be available to the students that:
 - a) Hold a Spanish accredited university degree, or a university degree from any other country that forms part of the European Higher Education Area, that authorises the student to enrol in Master's Degree Programs, in accordance with the provisions of Article 16 of Official Decree 1393/2007, of 29 October and provided that the students have successfully passed at least 300 ECTS Credits in all of the student's accredited university studies, of which, at least 60 ECTS Credits correspond to a Master's Degree Program.
 - b) Hold a Spanish accredited Bachelor's Degree, the term of which, pursuant to European law, is that of at least 300 ECTS Credits. Said university graduates must necessarily study the complementary research training courses for the program, unless the curriculum of the corresponding Bachelor's Degree includes credits that correspond to research training, that are equivalent in training value to the research credits for Master's Degree Programs.
 - c) The university graduates that, after having obtained a placement for training in the corresponding admission exams for specialised healthcare training placements, have passed, with a positive assessment, at least two years of training for a program for obtaining an accredited degree for any of the specialities in Health Sciences.
 - d) Hold a Master's Degree that has been obtained pursuant to foreign education systems, without the need for the recognition thereof, after the university has previously verified that said Master's Degree corresponds to a level of training equivalent to that of a Spanish accredited Master's Degree and that enables the student, in the country where the Master's Degree has been issued, to enrol in doctoral degree programs. The foregoing admission shall not imply, in any case whatsoever, the recognition of the previous degree that is held by the student or the recognition thereof for any other purposes other than that of the admission to the Doctoral Degree Programs.
 - e) The graduates, architects or engineers that hold the Advanced Studies Diploma obtained in accordance with the provisions of Official Decree 778/1998, of 30 April, or that have obtained the research proficiency as governed by Official Decree 185/1985, of 23 January, without prejudice to the necessary research credits as provided for under each program.
 - f) Hold another Spanish Doctor's Degree obtained in accordance with the foregoing university regulations, without prejudice to the necessary research credits as provided for under each program.
 - g) Hold an accredited university degree that has obtained a certificate of correspondence for level 3 of the Spanish Higher Education Qualifications Framework, in accordance with the procedure established in Official Decree 967/2014, of 21 November, that establishes the requirements and the procedure for the recognition and declaration of the equivalence to accredited university degrees and academic levels and for the recognition of foreign Higher Education studies, and the procedure for determining the correspondence to the levels within the Spanish Higher Education Qualifications Framework of the accredited degrees of Architect, Engineer, Graduate, Senior Architect, Senior Engineer and Bachelor's Diploma.

2. Generally speaking:

- a) The university may determine the admission and selection criteria provided said terms comply with legal requirements regarding admission. The research experience as well as the compatibility between the research interests of the candidate and the research areas of the university shall be taken into account.
- b) The students, after they have been admitted to the Doctor's Degree Program, must study the training credits for the research period that corresponds to the program, provided that they have not already been studied.
- c) During the entire period in which the dissertation is being studied and drafted, the students must formalise the enrolment each year (Official Decree 99/2011) as Doctor's Degree Program students, within the periods as determined by the university. Said enrolment shall provide the student with the right to academic supervision, the use of the necessary resources for the dissertation and all of the rights of participation that correspond to the students of accredited Doctor's Degree Programs.
- d) The rules and instructions for admission and enrolment shall establish the procedure for the application and the documentation to be provided. In any event, the final verification of the admission and enrolment procedure shall be determined by the General Secretary of the university.

Article 2. DURATION OF THE DOCTORAL STUDIES

1. The Doctor's Degree Programs governed by Official Decree 99/2011 are subject to the following time restrictions:
 - a) In relation to full-time studies, the duration of the Doctor's Degree Program shall be that of a maximum of three (3) years and a minimum of one (1) year, as from the admission of the doctoral candidate within the program until the deposit of the dissertation. If, after the foregoing maximum period of three (3) years has elapsed, the request for the deposit of the dissertation had not been filed, the Academic Committee of the Doctor's Degree Program may authorise an extension of another year that, exceptionally, may also be extended for another year.
 - b) Subject to the prior authorisation from the Academic Committee responsible for the Doctor's Degree Program, part-time doctoral studies may also be carried out. In this case, the studies shall be subject to a maximum duration of five (5) years as from the admission to the program until the deposit of the dissertation, and the minimum duration shall be that of one (1) year. In the case that an extension is requested, said extension may be granted for a further two (2) years that, furthermore, and exceptionally, may be extended for another year.
 - c) The doctoral candidate may request a temporary suspension from the program for a maximum period of up to one (1) year, that may be extended for another year. Said request must be authorised by the Academic Committee of the Doctor's Degree Program in which the doctoral candidate is enrolled.

Article 3. SUPERVISION AND MONITORING OF THE DOCTORAL STUDIES

1. Generally speaking:

- a) For the Doctor's Degree Program each doctoral candidate shall be assigned an advisor. The advisor must hold a PhD degree and must have proven research experience and

- shall supervise the interaction of the doctoral candidate with the Academic Committee.
- b) Within the maximum period of six (6) months as from enrolment, the Academic Committee responsible for the program shall assign to each doctoral candidate a dissertation director that may be the advisor or not. The dissertation director must hold a PhD degree and must have proven research experience. The dissertation may be co-directed by another or other PhD staff. In the case that the dissertation director or directors belong to another university, they shall be requested to provide a curricular summary and the university shall assign a co-director to the doctoral candidate. The dissertation director shall be ultimately responsible for the supervision of the research tasks of the doctoral candidate.
 - c) The Doctoral and Research School, after prior request, may modify the foregoing designations at any time whatsoever during the duration of the doctoral studies up until six (6) months prior to the deposit of the dissertation, provided that justified reasons exist for said modifications.
 - d) The Doctoral School, through the person designated for said purposes, shall supervise the due compliance of the minimum requirements applicable to the dissertation registration document.
 - e) The Academic Committee of each program is responsible for the definition, update, quality and coordination thereof, as well as for the progress of the research and of the training and of the authorisation for the deposit of the dissertation of each doctoral candidate.
2. For the Doctor's Degree Programs governed by Official Decree 99/2011:
- a) Before the end of the first year, as from the admission to the Doctor's Degree Program, the doctoral candidate shall draft a Research Plan that, together with a favourable report from the dissertation director, shall be filed with the Academic Committee of the Doctor's Degree Program for analysis. If the Academic Committee issues a favourable report, the doctoral candidate shall register the dissertation at the Office of the Registrar of the university. In any event, the Research Plan may be improved and further details may be included throughout the period of the doctoral candidate within the Doctor's Degree Program.
 - b) Annually, the Academic Committee of the Doctor's Degree Program shall assess the Research Plan and the Activities Document of the Doctoral Candidate (Spanish acronym: DAD), together with the reports that, for said purposes, must be issued by the advisor and the director. The favourable assessment thereof shall constitute a prerequisite for the continuation of the program. In the case of an unfavourable assessment, that must be sufficiently reasoned, the doctoral candidate must be re-assessed within the maximum period of six (6) months, for which purposes the doctoral candidate must draft a new Research Plan. In the case that an unfavourable assessment is again issued, the doctoral candidate shall be definitively removed from the program.

Article 4. DRAFTING OF THE DISSERTATION

1. The dissertation shall consist of an original research work drafted by the doctoral candidate in any discipline and may be written in a language other than the Spanish language, however at least the summary, the introduction and the conclusions must be translated into the Spanish language.
2. Dissertations may be presented as compendiums of publications provided that they comply with the criteria established in the regulations published by Universidad Europea

de Madrid for said purposes.

3. The dissertation, as the document that results from the doctoral research activities, must conform with the format requirements approved by Universidad Europea de Madrid. A style guide is available to doctoral candidates, with the validated format for the dissertations presented at Universidad Europea de Madrid.

Article 5. AUTHORISATION FOR THE DEFENCE OF THE DISSERTATION

1. Before the defence of the dissertation, the doctoral candidate shall file three (3) copies thereof (however not definitively bound) at the Office of the Registrar, together with the DAD and the justification of the references provided, as well as a favourable report of the dissertation director, and a document that substantiates the originality of the work presented, that must be signed by the doctoral candidate.
2. The report of the dissertation director shall contain a part in relation to the research work and another part in relation to the DAD. The report thereof shall constitute a certificate of the preliminary results of the dissertation and verification that the minimum requirements have been complied with, as established by the university for the defence of dissertations. For the issue of a favourable report, the dissertation director, in addition to the formal review thereof, and of the content thereof, shall validate the dissertation through anti-plagiarism computer software that ratifies the originality certificate provided by the doctoral candidate, and the report or certificate provided by said computer program must also be filed.
3. The dissertation, together with the favourable report of the dissertation director, the document that substantiates the originality of the work and ratification of the coordinator of the Doctor's Degree Program of the Doctoral and Research School, shall be forwarded to the secretary of the Academic Committee of the Doctor's Degree Program.
4. The doctoral candidate shall defend his or her dissertation project before the dissertation pre-defence panel, that shall be designated by the Academic Committee of the Doctor's Degree Program and that shall be formed by the subdirector of the Doctoral and Research School and two PhD professors who must be experts in the area of knowledge. One of the members shall then form part of the dissertation defence panel.
5. The doctoral candidate shall appear before the dissertation pre-defence panel accompanied by his or her dissertation director.
6. After the act of the pre-defence of the dissertation, the panel shall issue a report in which the dissertation shall be classified as "Apt" or "Not apt". Said report shall set out the comments or recommendations that the panel considers pertinent, that shall be grouped together as "Aspects to correct" and "Recommendations". The classification of "Not apt" must include a reasoned and justified report that sets out the aspects to be corrected. Recommendations may be included in relation to both classifications.
7. When, in accordance with the provisions of the foregoing paragraph, the minimum quality requirements are complied with, the Academic Committee shall issue a report that approves the defence of the dissertation and that formally states that the doctoral candidate has complied with the minimum requirements. Said report shall be forwarded to the Doctoral and Research School of Universidad Europea de Madrid. The Doctoral and Research School, through the director thereof, shall finally be responsible for authorising or not the defence of the dissertation, based upon the reasoned report of the Academic

Committee of the Doctor's Degree Program. In the case that defence of the dissertation is not authorised, the Academic Committee must formally notify the doctoral candidate, in writing, of the reasons for said decision in a report that must be adequately reasoned and justified. In said case, the doctoral candidate must re-draft his or her paper and again present the modified dissertation before the pre-defence panel.

8. After the defence of the dissertation has been authorised, the doctoral candidate, after the payment of the corresponding fee, shall deposit at the Office of the Registrar a copy of the dissertation in PDF format (CD or USB), together with the TESEO certificate. Moreover, the doctoral candidate shall forward to the Coordinator of the Doctor's Degree Program a copy of the dissertation in paper format (bound in the official format of Universidad Europea de Madrid).
9. The director of the Doctoral and Research School shall make public the deposit of the dissertation during the period of 15 business days so that any PhD graduates of the university may present, in writing, any comments that they deem pertinent. In the case that comments are presented, the Director of the Doctoral and Research School shall forward said comments to the Academic Committee of the Doctor's Degree Program, that, in light of the content thereof, shall express an opinion, in writing, regarding the need to continue or suspend the process. Finally, the Doctoral and Research School, with the approval of the General Secretary, shall authorise or not the defence of the dissertation. Said decision shall be considered to constitute a final and definitive decision.

Article 6. DISSERTATION ASSESSMENT PANEL

1. After the foregoing period of 15 business days has elapsed after the deposit thereof, without any comments having been presented, or after the comments that have been presented have been resolved, the Academic Committee of the Doctor's Degree Program shall approve, at the request of the Coordinator of the Doctor's Degree Program, the composition of the panel, depending upon the curricular summaries, that shall hear the defence of the dissertation. All of the designated members must be PhD graduates and with proven research experience.
2. The panel shall be comprised in accordance with the following criteria:
 - a) Three (3) principal members and two (2) substitutes, designated from among the PhD staff with proven research experience, whether of Spanish or foreign nationality, that are specialists in the field, and that are staff of universities or higher education or research institutions, and that have been proposed by the corresponding Academic Committee of the Doctor's Degree Program.
 - b) The panel must be formed by a majority of external members that do not form part of the university or any institutions that collaborate with the School.
 - c) Two (2) of the principal members shall act as the President and Secretary. The President shall be the eldest PhD graduate or the PhD graduate that has the highest academic position. The Secretary shall be a PhD professor of Universidad Europea de Madrid, provided that he or she is not the President, pursuant to the foregoing criteria.
 - d) The panel may not be comprised of two (2) members from the same university or research centre.
 - e) Neither the dissertation director nor the advisor of the doctoral candidate may form part of the panel.
3. After the establishment and designation of the panel, the doctoral candidate shall forward to each one of the principal members thereof a copy of the dissertation, together with a

brief curricular summary, the DAD and the favourable report of the dissertation director. The substitute members of the defence panel shall be forwarded the dissertation in pdf format.

Article 7. DEFENCE AND ASSESSMENT OF THE DISSERTATION

1. The date for the defence of the dissertation shall be determined by the President and notified by the Secretary of the panel to the Academic Committee of the Doctor's Degree Program at least 15 calendar days prior thereto. The defence of the dissertation shall take place by way of public session and shall consist of the explanation and defence by the doctoral candidate of the research work carried out. Said defence, as well as in the Spanish language, may be carried out in English, or in any other language generally used within the ambit of the scientific community, provided that the panel has been previously informed and has consented thereto.
2. The panel shall be provided with the DAD, as well as the progress document of the research project. Said documents shall not provide for any quantitative grade however shall constitute a qualitative assessment instrument that shall complement the assessment of the dissertation.
3. Each member of the panel shall issue a report for the dissertation, as well as the grade thereof, from 0 to 10. The arithmetic average of the grades shall provide the global grade, in accordance with the following scale:
 - NOT APT: Between 0 and 4.9 points.
 - APT: Between 5 and 6.9 points.
 - MERIT: Between 7 and 8.9 points.
 - OUTSTANDING: Between 9 and a maximum of 10 points.

The final grade, if the President of the panel considers necessary, may be provided as an anonymous global grade without the identification of the individual grades issued by the members of the panel.

The panel shall issue a certificate that shall formalise the global grade for the dissertation in terms of NOT APT, PASS, MERIT or OUTSTANDING, without stating the numerical grade.

When at least two (2) grades of NOT APT are issued, the global grade for the dissertation shall be that of NOT APT, even though the arithmetic average of the individual grades is equal to or exceeds 5.

A pass grade for the dissertation shall provide the doctoral candidate with the right to obtain the accredited Doctor's Degree.

4. The panel may issue the mention "cum laude" if the global grade is that of outstanding and provided that said mention is unanimously agreed to, by way of secret vote, by all of the members of the panel. The university shall establish specific mechanisms for the materialisation of the final issue of said mention, and shall ensure that the votes for said mention are scrutinised at a different session to that of the defence of the dissertation.
5. After the dissertation has been ratified, the university shall archive the dissertation in an open electronic format at an institutional depository and shall forward, in electronic format, a copy thereof, as well as all of the complementary information that may be

required, to the Ministry of Education, for all necessary purposes.

6. In exceptional circumstances determined by the Academic Committee of the Doctor's Degree Program, for example, among others, the participation of companies in the program, the existence of confidentiality agreements with companies, or the possibility of the creation of patents in relation to the content of the dissertation, the university may adopt measures that prevent the publication of said aspects.
7. The publication of the dissertations that are subject to confidentiality clauses in an open electronic format at an institutional depository shall be carried out, if applicable, after the protection procedures or the transfer of knowledge procedures have concluded, being a situation that the doctoral candidate shall duly notify to Universidad Europea de Madrid.

Article 8. MENTIONS

The front page of the Doctor's Degree certificate may include the mention «European PhD» (for the programs governed by Official Decree 1393/2007), or «International PhD» (for the programs governed by Official Decree 99/2011), provided that the following circumstances exist:

- a) That during the training stage necessary for obtaining the PhD degree, the doctoral candidate has carried out a minimum period of stay of at least three (3) months outside of Spain (whether continuously or as the sum of different periods), at a prestigious higher education institution or research centre and has studied or has carried out research work thereat that have been recognised by the university (for the case of the mention of "European PhD" the stay must have been in a Member State of the European Union).
- b) That part of the dissertation, at least the summary and the conclusions, have been drafted and are presented in one of the languages commonly used for scientific communication within the field of knowledge, other than any of the official languages of Spain. The foregoing rule shall not be applicable when the stays, reports and experts come from a Spanish speaking country (for the case of the mention of "European PhD" at least the summary and the conclusions must be drafted in one of the official languages of the European Union other than any of the official languages of Spain).
- c) That the dissertation has been ratified by at least two (2) experts that belong to any non-Spanish higher education institution or research institute (for the case of the mention of "European PhD" the two (2) experts must be experts of a Member State of the European Union other than Spain). Said reports shall be completed using the form that shall be provided for said purposes and must be presented prior to the designation of the panel.
- d) That at least one (1) expert that belongs to a non-Spanish higher education institution or research institute, with a PhD degree, and that is not the PhD responsible for the stay referred to in paragraph a) or referred to in paragraph c), have formed part of the assessment panel for the dissertation (for the case of the mention of "European PhD" said expert must be from a Member State of the European Union other than Spain).
- e) The defence of the dissertation must be carried out at the Spanish university at which the doctoral candidate is enrolled, or, in the case of joint PhD programs, at any of the participating universities or subject to the terms set out in the collaboration agreements.

The PhD degree shall include, on the front page thereof, the formality that reads "Dissertation pursuant to the joint supervision regime with university X", whenever the following circumstances exist:

- a) That the dissertation is supervised by two (2) or more PhDs from two (2) universities, a Spanish university and a foreign university, that must have formalised a joint supervision agreement.
- b) That, during the training stage necessary for obtaining the PhD degree, the doctoral candidate has carried out a minimum period of stay of at least six (6) months at the institution with which the joint supervision agreement has been established, and has carried out research activities, whether in a single period or in several different periods. The stays and the activities must be set out in the joint supervision agreement.

The front of the PhD degree certificate may include the mention “Industrial”.

1. The mention of “Industrial PhD” shall be issued provided that the following circumstances are complied with:
 - a) The existence of an employment or commercial agreement with the doctoral candidate. The contract may be formalised with a private or public sector company, as well as with a Public Authority.
 - b) The doctoral candidate must participate in an industrial research or experimental development project that is developed at the company or the Public Authority at which the doctoral candidate provides his or her services, that must not be a university. The industrial research or experimental development project in which the doctoral candidate participates must be directly related with the dissertation thereof. Said direct relationship shall be substantiated by means of a report that must be ratified by the university.
2. In the case that the industrial research or experimental development project is carried out in collaboration between the university and the company or the Public Authority at which the doctoral candidate provides his or her services, a framework collaboration agreement shall be formalised between the parties. Said agreement shall set out the obligations of the university and the obligations of the company or Public Authority, as well as the procedure for the selection of the doctoral candidates. The doctoral candidate shall be designated a dissertation advisor by the university and a director designated by the company or Public Authority, that may be, in such a case, the dissertation director, in accordance with the PhD regulations.

Article 9. EXTRAORDINARY AWARD FOR THE DISSERTATION

The members of the dissertation defence panel, shall issue a decision by way of secret vote so as to propose the defended dissertation for the extraordinary annual award for dissertations of Universidad Europea de Madrid. The university shall establish specific mechanisms to ensure that the foregoing votes are scrutinised at a different session to that of the defence of the dissertation, after it has been determined whether the dissertation has been awarded the mention of “cum laude”.

COMPETENT BODIES

The bodies involved in relation to this regulation are:

1. The Managing Board of the Doctoral and Research School of Universidad Europea de Madrid has the power to promote and supervise the teaching and assessment processes of the doctoral studies. The General Secretary of the university has powers to ensure the legality of the procedures, and is authorised to approve the regulatory milestones.
2. The Academic Committees of each Doctor's Degree Program assume the functions determined under this regulation based upon the official regulation regarding Third Division university studies. Each of the Academic Committees shall be formed by at least the Director of the Doctoral and Research School, that shall act as the President, the Coordinator of the Doctor's Degree Program, that shall act as the Secretary, and one or several PhD professors from within the area of knowledge of the Doctor's Degree Program in question.

GLOSSARY OF TERMS

1. Research Plan: Document presented by the doctoral candidate and ratified by the dissertation director that includes the methodology, the objectives, the resources and the time planning of the research work to be carried out for the dissertation.
2. Activities Document of the Doctoral Candidate ("DAD"): Report that individually sets out the activities and the achievements carried out by the doctoral candidate throughout the Doctor's Degree Program in which he or she is enrolled. This document is regularly reviewed by the dissertation director and is annually reviewed by the Academic Committee. This document forms part of the documentation that shall be analysed by the dissertation panel.
3. Performance Report: Annual report drafted by the dissertation director that, based upon the DAD and other evidence, assesses the performance of the doctoral candidate at the end of each year of the Doctor's Degree Program. In light thereof, the Academic Committee issues a favourable or unfavourable report in relation to the continuation of the doctoral candidate in the program in which he or she is enrolled.

SOLE FINAL PROVISION

This regulation shall enter into force the day after the approval thereof by the Academic Council and the Management Committee of the university and shall be applicable for the accredited Doctor's Degree programs and shall repeal the previous regulations.

Villaviciosa de Odón, Spain, on 13 March 2019