PROCEDURE FOR MONITORING PhD STUDENTS IN THE DOCTORATE PROGRAMMES COVERED BY ROYAL DECREE 99/2011 IN UNIVERSIDAD AUTÓNOMA DE MADRID

(draft pending approval by the Doctorate Committee)

14 OCTOBER 2016

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1 Admission to a Doctorate Programme

The offer of doctorate programmes, access and admission procedure, and the specific requirements for each programme, will be published on the UAM Doctorate School website.

Applicants must apply for admission to the Doctorate Programme they are interested in through the computer application for admission to the PhD course, accessible from the website of the Doctorate School. To do so, they must attach in digital format the access documentation and that corresponding to the other requirements established by the Programme. If they are accepted, they must either provide the originals of this documentation to check its authenticity, a copy authenticated by the consular services if they come from a European Union country, or legally certified copy if they are documents obtained in non-EU countries.

The Doctorate School will check whether the applicants meet the access conditions and validate their applications if they are correct. If they are not, they will be asked to put them right within 10 days. The candidates may check whether the status of their applications is VALIDATED in the computer application.

The Coordinator of the Doctorate Programme, representing the Academic Committee of the Programme, will be responsible for loading the acceptance of applications that comply with the academic requirements established by the Programme into the computer application, and for assigning a tutor to each respective PhD student. It must also indicate where necessary the requirement of taking Supplementary Courses for ECTS credits, depending on the applicant’s prior studies and qualifications, in accordance with the criteria of the Doctorate Programme. The candidates may check whether the status of their applications is VALIDATED in the computer application.

The Doctorate School will notify the candidates accepted of the decision in writing, indicating the original/authenticated/legally certified documents that have to be sent to confirm their admission. This notification will stipulate the tutor assigned and the supplementary courses to be taken, where appropriate. Once the candidates have submitted the required documentation, the status of their application will be changed to GRANTED, allowing the enrolment process to begin.

If admission is refused, the Doctorate School will notify the decision in writing to the rejected candidates, indicating the reasons for the refusal.

2 Enrolment in the Doctorate programme.

2.1 Initial enrolment for Tutorial Courses

The candidates accepted whose application has a GRANTED status must:

1) Complete the enrolment process in the FIRST YEAR TUTORIAL COURSE and, where appropriate, in the Supplementary Courses, within the corresponding deadlines.

The date of this initial enrolment will be deemed the admission date for purposes of the academic record of the PhD student when calculating the permanence and the consideration as a UAM PhD student.

PhD students who have to take Supplementary Courses must complete them during the first and the second year of the Tutorial Courses. Enrolment in these Supplementary Courses must be completed in the first period possible depending on the subjects to be taken.
2) **Payment of the corresponding fees.** The fees payable for enrolment in the tutorial courses and, where appropriate, in the supplementary courses, shall be as established by the competent body for each academic year. Exemptions under current law may be applied for the payment of the tutorial courses.

PhD students under the age of 28 must pay school insurance. PhD students over the age of 28 are responsible for having their own equivalent insurance.

If the enrolment is cancelled, the corresponding fee paid may only be returned if the cancellation is requested within 30 calendar days of the initial completion.

### 2.2 Second and successive enrolments for the Tutorial Courses

Enrolment in SECOND YEAR TUTORIAL COURSES and for successive years must be completed each academic year in the period corresponding to the date on which the initial enrolment took place, unless due to temporary leave or some negative assessment the annual completion date has varied. Enrolment must be completed every year until the PhD thesis is registered for its defence, within the time limits established by the rules. Not completing the enrolment process within the period corresponding to each PhD student will lead to **definitive exclusion** from the Programme.

Once the enrolment process has been completed, all the information, documents and activities related to the progress of the PhD student will be handled by the student and the rest of the parties involved through the Graduate Studies SIGMA computer application. Individual communication with the PhD students will be carried out exclusively through the institutional e-mail account.

### 3 Director and Tutor of the PhD thesis

On admission to the Doctorate Programme, each student will be assigned a thesis **Director** by the Academic Committee. Any Spanish or foreign holder of a PhD with accredited research experience may be assigned this position, regardless of the university, centre or institution in which he or she works. The Thesis Director will be in charge of administering the PhD student’s research tasks. Up to one co-director may also be appointed.

At the time of deciding on the admission, the Academic Committee of the Doctorate Programme also appoints a **Tutor**, who must hold a PhD, have accredited research experience, have a connection with the Doctorate Programme and be contractually linked to one of the institutions participating in the Programme. The Tutor is responsible for monitoring the research studies of the PhD student, and facilitating the interaction between the student and the Academic Committee. The Doctorate School will keep a list of the possible tutors for each Doctoral Programme. In the case of tutors from institutions outside UAM, a document must be submitted that validates and regulates this participation (convention, agreement or authorisation). The Tutor may be the Director of the PhD thesis.

If a Thesis Director is not assigned at the time of admission, the Academic Committee will have to appoint a Thesis Director within three months from the date of the initial enrolment.

**Changing Tutor, Thesis Director or Coordinator:**

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1 List of researchers that participate in the Doctoral Programme, included in Section 6.1 of the PhD Accreditation Report. The Academic Committee will keep updated this list and will report any modification to the Doctorate School.
During the PhD course, the Academic Committee of the Programme may with cause, modify the appointment of the Tutor and Thesis Director, as well as Co-Director where applicable, either by agreement between all the parties involved or as a result of the application of the Conflict Resolution Procedure.

Any decision to change the Tutor/Director/Coordinator of a thesis will be notified to the Doctorate School for entry into SIGMA.

4 Documentary Commitment

The supervisory functions for each PhD student will be established in a document signed by the Director of the Doctorate School, the Doctorate Programme Coordinator, the PhD student, his or her Tutor and Director.

This Documentary Commitment will include a conflict resolution procedure and will deal with aspects related to the intellectual or industrial property rights that could be generated in the Doctorate Programme.

The procedure for signing this document must begin with the PhD student as soon as possible after admission. The document with the original signatures will be delivered within a month from the date on which the initial enrolment took place in the Doctoral School for the final process of signing by the School Director. Once the process of signing the document has been completed it will be filed.

The PhD student may request a copy of this document at the Doctoral School (until it is available for download via SIGMA).

5 Research Plan (RP)

The Research Plan will be prepared by the PhD student and will include at least the objectives, methodology and scheduling of the research. It must be backed by the Thesis Director and where applicable by the Tutor, and may be modified, improved and made more detailed as the PhD thesis progresses.

It must be delivered within the deadlines established for this purpose. They will depend on the period in which the initial enrolment process has been completed (see Appendix 1): PhD students enrolled in the advance period (June) must submit their research plan at the close of June or in October; PhD students enrolled in the first period (October) must submit their research plan at the end of the month of October or February; PhD students enrolled in the second period (February) must submit their research plan at the end of the month of February or June.

The plans must be submitted through SIGMA, and can be updated until finally accepted by the Tutor/Director. From then on, only this final version can be consulted. The Academic Committee must indicate to the PhD student whether the Research Plan is acceptable or requires a modification within the assessment period immediately after submission, and always within six months after the period in which the student enrolled. Appendix 1 contains a timeline by way of guidance with the deadlines for submission and assessment of the Research Plan.

6 PhD Student Activity Document (DAD)

All the activities carried out by PhD students must be registered in SIGMA: this system will list the types of activities offered by the Programme in accordance with the verification report on it. PhD students may enter the specific activities they consider appropriate to propose for their research studies within each type of activity of the Programme or which have been indicated by their thesis Tutors and/or Directors; the activities proposed by the PhD students must be accepted by
their thesis. Tutors and/or Directors, who will periodically review the documents of activities of the PhD students they are responsible for.

The system will include a description of each activity: the start and completion date of each activity; the country and institution where it was carried out; and in the comments field any information that is considered appropriate (teaching hours in courses and seminars; title of contribution or presentation; journal and title of publications; name of the subject in teaching work, etc.). The PhD student must also accredit activities carried out in the corresponding period and submit certifications and/or publications providing evidence of the activity, as an attachment to these documents in SIGMA.

7 Monitoring and annual assessment of the research work of PhD students.

The monitoring and annual and individualised assessment of the research work of each PhD student must be coordinated by the Academic Committee of the Programme. To do so it will analyse the following documents: the Activities Document, the PhD Student Report, the Director's Report (ratified, where appropriate, by the Tutor) and how all this information corresponds to the Research Plan. In addition, the Academic Committee may interview the PhD student, Director, and where appropriate the Coordinator and Tutor with the aim of clarifying aspects in relation to the progress of the thesis.

The PhD Student and Director must prepare these reports (both confidential) every year (following the model in Appendix 2) and submit them through SIGMA within the timelines indicated for the purpose (see Appendix 1).

7.1 Assessment by the Academic Committee

The Academic Committee will coordinate the annual assessment of all the PhD Students on the Programme, on the dates stipulated for each PhD Student group (see Appendix 1). The aim of the assessment is to check that the thesis is progressing at the expected rate. This assessment may be positive or negative. If it is negative, the Academic Committee must issue a report giving reasons for the decision (see model in Appendix 2).

The Academic Committee will analyse the following aspects, among others:

a) With respect to the research plan:
   - Whether the proposal is innovative or relevant, an aspect to be given extra weight if the planning is affected by temporary leave or changes in level of dedication.
   - Whether the proposal is explained clearly.
   - Whether the hypotheses or proposals for the study are clear, verifiable and may be carried out.
   - Whether the objectives are clear and attainable.
   - Whether the methodology is appropriate.
   - Whether what is proposed is sufficient for a thesis; or conversely, whether the proposal is to cover a field that is too broad.

b) With respect to the activities carried out:
   - Compliance with the educational activities included in the Doctorate Programme.
   - Attendance at national or international congresses where the PhD student presents and defends the research being carried out, in the form of a communication or post.
   - Stays with foreign or national research groups that are recognised internationally.
- Attendance at courses to improve knowledge and skills.
- Knowledge of foreign languages, particularly English (or a language appropriate for each area of research) as a language of scientific communication at international level.
- Periodic presentation of research by the PhD student to colleagues in the same group.
- The research capacity and autonomy of the PhD student.
- Active participation by the PhD Student in writing articles on the area of his or her research or with own contributions in collective works.
- Participation by the PhD Student in activities publicising the research targeted at the public in general.
- Participation in university teaching activities in the area of his or her research (in cases where this is available).
- Other activities that may contribute to the PhD student’s studies that the Committee may consider worth taking into account.

7.2 Results and grade in the academic record issued by the annual Tutorial Courses

The Doctorate Programme Coordinator must submit his or her qualifications and, where appropriate, reports to the Doctorate School within the deadlines established (see Appendix 1).

In the case of a negative assessment, the PhD Students will be assessed again four months later, on an exceptional basis, in the following assessment period by the Academic Committee (see Appendix 1). During these months the PhD Students must respond satisfactorily to the requirements expressed by the Academic Committee in its report. If the students pass the extraordinary assessment, they must complete the annual enrolment in the first period available; if they do not pass the assessment, they will be definitively excluded from the Programme.

The Academic Committee must take into account for the purpose of its internal quality guarantee procedures that the positive assessment of the third tutorial courses involves the approval of the deposit of the thesis, unless an extension or postponement of the term for completing it is requested, under the provisions of paragraph 8.2.

8 Duration and mode of PhD studies

The Duration of the PhD studies, understood as the time exclusively spent from the date of enrolment to the date of application for the deposit of the PhD thesis, is a maximum of three years, which can be extended to five years under the conditions established in paragraph 8.2, and excluding from this calculation the temporary leave, according to the provisions of paragraph 8.1.

The Academic Committee of the Programme may authorise the studies to be carried out part time, in which case the maximum duration is five years, which can be extended for a further three years, excluding temporary leave from this calculation. The request for part-time mode must be made by the PhD students when applying for admission to the Doctorate Programme. In no case may PhD students who have a contract to carry out their PhD thesis with in full-time mode (FPU, FPI, etc.) carry out part-time studies.

In any event, regardless of the mode of study, which may vary while the thesis is being prepared in accordance with paragraph 8.3, the registration of the PhD thesis requires passing three TUTORIAL COURSES per year at full time (or those corresponding at part time), whether following the procedures described for enrolment and annual assessment, or through the mechanisms for recognising the tutorial courses described in paragraph 8.4.

8.1 Temporary leave

Any temporary leave will be discounted from the time needed to complete the thesis. If the leave
or accumulated leave totals four months, the Doctorate School shall reassign the PhD Student to the following period of enrolment/assessment, indicating this to the PhD student and the Academic Committee for the Programme.

In case of **sick leave, maternity leave or any other cause covered** by current law, if the PhD student wishes it to be calculated as such, he or she must inform the Doctorate School within one month from the start of the leave, and submit the corresponding certification (see model in Appendix 2).

In the case of **other justified reasons**, the PhD student may apply for temporary leave for a maximum period of one year, which can be extended for up to a further year. The application and its documentary justification must be directed to the Doctorate School, which will send it for assessment to the Committee designated for the purpose (see model application and decision in Appendix 2).

### 8.2 Application for extensions

The PhD student may ask the Doctorate School for authorisation for a one-year extension for full-time students, and up to two years for part-time students. The Doctorate School will send this request to the Academic Committee of the Doctorate Programme for its assessment and decision. In duly justified cases, the PhD student may apply for a further additional year of extension (see model application and decision in Appendix 1).

Once the request has been resolved by the Academic Committee it will be sent to the Doctorate School, which will enter the information on the extension period in SIGMA so that it can be used for calculating the time for completion of the thesis and thus complete the enrolment process in additional tutorial courses.

#### Deadline for requesting extensions:

The PhD student must, where appropriate, request the extension together with the annual report corresponding to the assessment of the THIRD TUTORIAL COURSE period, or if there have been changes in the mode of study, together with the annual report prior to the end of the period for depositing the thesis.

### 8.3 Change in the mode of study

PhD students may change their mode of study (full or part-time) by sending an application giving their reasons to the Doctoral School, which will send it to the Academic Committee of the Doctoral Programme for its assessment and decision. (see application and decision form in Appendix 2).

Once the application for a change of mode has been received by the Academic Committee it will be sent to the Doctoral School, which will enter the information on the change in mode in SIGMA so that it can be used for calculating the time for completing the thesis.

#### Deadline for applications for a change of mode:

The application for a change in the study mode must be made 15 days in advance of the start of the corresponding enrolment deadline, allowing for exceptional cases that may occur in the rest of the academic year, which must include documentary justification. No changes in the study mode to part-time will be accepted at less than 4 months from the limit for the thesis deposit indicated in SIGMA.

### 8.4 Advance assessment of the last tutorial course
After enrolling in the THIRD TUTORIAL COURSE at full time, or the FIFTH at part time, PhD students may request an early assessment of it by the Academic Committee of the Doctorate Programme and thus defend their thesis during the third or fifth year respectively.

8.5 **Recognition of tutorial courses through previous research activity**

8.5.1 PhD students who have been in a UAM Doctoral Programme covered by former regulations for at least three years

In the case of PhD students who have been in a UAM Doctoral Programme covered by previous regulations for at least three years, and request a change to a Doctoral Programme under Royal Decree 99/2011, the Academic Committee of the Doctoral programme may authorise recognition of two tutorial courses under this Programme for the 2nd and 3rd of the new one.

For this purpose, the Academic Committee shall carry out an assessment of the student’s studies after enrolment and coinciding with the assessment period of the corresponding research plans, so that the PhD student can receive a decision as soon as possible.

If the Academic Committee considers that the thesis cannot be read (for example, because the renewed programme has more demanding criteria for defending it than the former programme), only one tutorial course will be recognised.

8.5.2 PhD students who have been in a UAM Doctorate Programme covered by former regulations for only two years

In the case of PhD students who have been in a UAM Doctorate Programme covered by the former regulations only two years who apply for a change to a Doctorate Programme under Royal Decree 99/2011, the same procedure will be followed as in case 1), but for the recognition of only one tutorial course at most.

8.5.3 PhD students who have just joined a Doctorate Programme

PhD students who have enrolled for the first time in a UAM Doctorate Programme may exceptionally request the recognition of their research activity for a period equivalent to a tutorial course, once the Research Plan is approved, and provided that this previous activity makes relevant contributions to the approved Plan. The application must be sent to the Permanent Committee of the Doctorate School (or the University’s Post-Graduate Committee until the Permanent Committee is constituted). It will be presented in the Doctorate School and require a prior reasoned report by the Academic Committee of the Doctorate Programme (see model application and decision in Appendix 2).

8.5.4 PhD students with tutorial courses with a positive assessment in previous studies

In the case of PhD students who for a variety of reasons have left a programme covered by Royal Decree 99/2011 and are readmitted to it, once they have enrolled and their Research Plan is approved, if they obtain a positive assessment from a tutorial course in the same programme, they may ask the Doctorate School to validate such tutorial course, which will be assessed and resolved by the Academic Committee of the Programme.
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APPENDIX I

FIRST PERIOD
- Admission application
- Admission decision
- Assessment of Research Plan
- Annual assessment
- Submission of annual report

SECOND PERIOD
- Admission application
- Admission decision
- Assessment of Research Plan
- Annual assessment
- Submission of annual report

THIRD PERIOD
- Admission application
- Admission decision
- Assessment of Research Plan
- Annual assessment
- Submission of annual report

FIRST TERM
- JUL
- AUG
- SEP
- OCT
- NOV
- DEC

SECOND TERM
- JAN
- FEB
- MAR
- APR
- MAY
- JUN

PhD STUDENTS: Admission and enrolment periods
PhD STUDENTS: Period for submitting documentation
ACADEMIC COMMITTEE: Assessment periods, closure of records and admission decisions
APPENDIX II

Models of applications, reports and resolutions to submit by PhD students, directors, tutors, academic committees, set out in independent forms.