

Information for PhD students on procedures

The recommendation for the processing is to check the [Doctoral School](#) website, where there is extensive information. It is also interesting to consult the documentation of the informative meeting held by the Doctoral School on November 17, 2021 about the Welcoming to UAM University and the students of the “First tutelage” ([link to the recording](#) and the [PowerPoint presentation](#)) and the meeting held by the Doctoral School on November 10, 2021 about the students of the “Second tutelage” and consecutive ([link to the recording](#) and the [PowerPoint presentation](#)).

Most of the formalities are processed through the [Sigma](#) academic management system. Therefore, to become familiar with how Sigma works, the recommendation is to read the document called [Instructions for attaching the Research Proposal, the Activities Document and the Annual Reports](#). The documents to be provided respectively by the PhD students and their tutor/supervisor must be uploaded to Sigma from their corresponding profiles.

The communications with the Academic Committee must be made preferably by email, through the PhD student's institutional address such as “@student.uam.es”. The official communications will only be made to that account so, if students usually use other email accounts, the recommendation is to [redirect](#) those accounts so that they can read the notices received during their PhD studies.

What academic formalities must I make when entering the Programme?

Learning and Good Practice Agreement

The [Learning and Good Practice Agreement](#) must be signed by the PhD students within the first three months of the initial enrolment date:

- Enrolled in the advanced period (June): they can process the Learning

and Good Practice Agreement until the end of September.

- Enrolled in the first period (October): they can process the Learning and Good Practice Agreement until the end of February.
- Enrolled in the second period (February): they can process the Learning and Good Practice Agreement until the end of May.

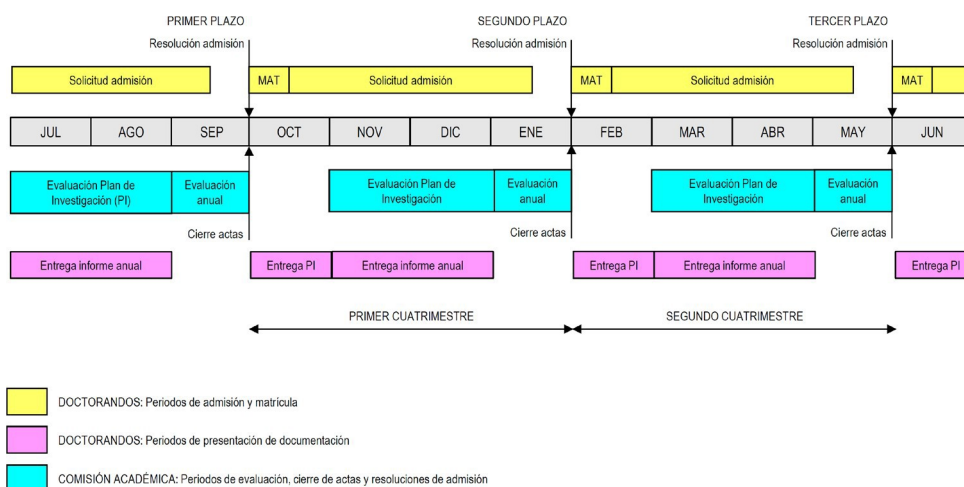
The document, signed by the PhD students and their tutor/supervisor, will be submitted in print to the Programme coordinator (Carlos de Ayala Martínez, office 3.03, module II, School of Philosophy and Literature), who will sign it and then submit it to the Doctoral School for the final processing of the signature of the Vice-Rector for Research. The document can be left in the coordinator's sorting rack at the secretary's office of the Department of Ancient and Medieval History, Palaeography and Diplomatics (office 3.06, module II), which is currently open to the public on Tuesday and Thursday mornings. Once the processing of the document's signature is completed, it will be filed away. In the current health alert situation, the formalities can also be processed online by sending the document to carlos.ayala@uam.es, with a copy to david.nogales@uam.es who, once signed, will also submit it to the Doctoral School.

Research Proposal

The PhD students will draft a Research Proposal within the first three months of the initial enrolment date:

- Enrolled in the advanced period (June): they can upload their research proposal through Sigma until the end of October.
- Enrolled in the first period (October): they can upload their research proposal through Sigma until the end of February.
- Enrolled in the second period (February): they can upload their research proposal through Sigma until the end of June.

It will include at least the methodology to be used and the objectives to be met, as well as the resources and schedule to carry it out, in line with the [Research Proposal Model](#). The Proposal can be improved and detailed throughout their stay in the Programme and must be endorsed by the tutor and supervisor. The document will be uploaded by the PhD students to the Sigma academic management system ("Research Proposal" tab).



Indicative schedule for processing the PhD Programme formalities

What academic formalities must I make during the Programme?

Annual assessment of the tutoring

On an annual basis, the work of the PhD students is assessed during the corresponding academic year in the Programme (each academic year is called "tutelage" by the Doctoral School since, when the students formalise their enrolment every year, they do this through a subject called Academic Tutelage, so "First tutelage", "Second tutelage", "Third tutelage" refer to the first, second, third academic year, etc. of the Programme). The academic year does not correspond to the university months (September-June); it varies depending on the admission period (advanced, first or second). For example, for students enrolled in the second period (February), the academic year 2019/2020 is between March and November 2020 and they must submit their annual assessment in December 2020. Therefore, the Academic Committee assesses every year the work of the PhD students in that year and issues a "positive" or "negative" assessment.

When must I submit the documents for the annual assessment of the tutoring?

At the start of each academic year, the Doctoral School announces the periods for that year on the [Annual Assessment](#) section of its website. The deadlines for submitting the documents will depend on the month in which the students

enrolled since the assessment precedes the enrolment. The indicative deadlines are as follows:

- Those enrolled in June: the reports must be delivered by the end of April.
- Those enrolled in October: the reports must be delivered by the end of August
- Those enrolled in February: the reports must be delivered by mid-December.

If the assessment is negative, the PhD students can submit their reports in the following assessment period.

Assessment schedule for the tutelage work in the academic year 2021/2022

- Enrolled in June: the reports must be delivered by 30 April 2022.
- Enrolled in October: the reports must be delivered by 1 September 2022.
- Enrolled in February: the reports must be delivered by 22 December 2022.

What documents must I submit for the annual assessment of the tutoring?

- The PhD students must upload their annual report through Sigma using the "Research Proposal" tab, in line with the [PhD Student's Report model](#).
- The PhD students must register all the activities carried out within the framework of their PhD training through Sigma using the "Activities Document" tab (attendance of courses and seminars, presentation of communications, publications, etc.). It will include a description of the Activity, the start and end date of each activity, the country and institution where it is carried out. In the observations field, it must include the information considered to be appropriate for the activities document (training hours in courses and seminars; title of the contribution or presentation; journal and title of the publication;

name of the subject in teaching collaborations, etc.). The PhD students must accredit the activities carried out in the corresponding period (courses, seminars, encounters, conferences, communications, publications, etc.) and provide supporting certificates and/or work so that this can be recorded, attaching those documents to the Sigma academic management system.

The PhD students must also inform their tutor/supervisor of the annual assessment periods so that the latter provides the [Supervisor's Report](#) and validates the activities. The Supervisor's Report must be uploaded to Sigma from the login made by the tutor/supervisor and not by the student.

[How must I submit the documents for the annual assessment of the tutoring?](#)

The documents are submitted through [Sigma](#), in line with the [Instructions for attaching the Research Proposal, the Activities Document and the Annual Reports](#).

[What happens after the annual assessment of the tutoring?](#)

If the assessment is positive, the PhD students must enrol within the periods established by the Doctoral School. If the assessment is negative, the PhD students must be reassessed in an exceptional manner in the following assessment period, which will be approximately four months afterwards. If the second assessment is passed, the PhD students can enrol for the following year. If the second assessment is negative, the PhD students will be definitively excluded from the Programme.

Submission of the PhD thesis

This formality is regulated in the [Procedure relating to the Panel, defence and evaluation of doctoral theses in the Universidad Autónoma de Madrid](#). As a result of the current health situation and until further orders from the Doctoral

School, this formality is regulated in the [Exceptional procedure for registering doctoral theses as a result of the measures adopted to combat COVID-19](#).

In any case, the recommendation is to check the Doctoral School's website: [Presentation of Doctoral theses](#), [Documentation for the defence](#), [TESEO information sheet](#) and [Thesis registration deadlines](#) respectively.

It is also interesting to consult the documentation of the information meeting held by the Doctoral School specifically on the deposit of deposit and defense on November 10, 2021, with the [link to the recording](#) and the [link to the PowerPoint presentation](#).

What are the documents I should send to the Academic Committee?

Taking in account the exceptional situation caused by COVID-19, the entire deposit authorization process by the Academic Committee is done online. To do this, the student must send the coordinator of the Program, to the address carlos.ayala@uam.es (with a copy to the secretary of the Academic Committee david.nogales@uam.es), the following documents, as a prior step to deposit at the Doctoral School:

- A copy of the PhD thesis. The Doctoral Program does not have format rules (font size, pages, etc.). However, you must follow the [accessibility requirements for the images](#). If the PhD thesis presented as a compendium of articles, the UAM must always appear as the affiliation center (it can be included a double assignment, in case the doctoral student has another additional research Center), with reference to the Doctorate Program.
- [Committee proposal](#). The Academic Committee admits the model of 3 or 5 members (+ 2 additional members). The following information must be provided for each member of the tribunal: personal data (including ID number and center for obtaining the doctoral degree), current position as professor / researcher and accredited research experience.
- [The supervisor's report](#).
- PDF corresponding to the Student's Activities Document in SIGMA. The "PDF corresponding to the Student's Activities Document in SIGMA" can be obtained through Sigma by the PhD students by clicking on the button on top of the activities recorded in the "Activities Document" tab (the app generates a PDF file that includes the training activities which

the tutor has marked as "Proposal accepted" or "Made". The activities whose status is "Not accepted" or "Proposal" do not appear).

Likewise, if the doctoral student has enrolled the third full-time or the fifth part-time guardianship, he or she must send the Doctorate School (doctorado.gestion@uam.es), prior to the deposit authorization process, request for the advance evaluation of the last guardianship in order to defend the PhD thesis. during the third or fifth year respectively. The application will include the following documentation, which is similar to that submitted for the annual assessment of the tutoring:

- [The PhD student's report.](#)
- [The supervisor's report.](#)
- PDF corresponding to the Student's Activities Document in SIGMA. The "PDF corresponding to the Student's Activities Document in SIGMA" can be obtained through Sigma by the PhD students by clicking on the button on top of the activities recorded in the "Activities Document" tab (the app generates a PDF file that includes the training activities which the tutor has marked as "Proposal accepted" or "Made". The activities whose status is "Not accepted" or "Proposal" do not appear).

[How long does the Academic Committee take in authorising the registration of the thesis?](#)

Except under exceptional conditions and provided that the documentation is complete and correct, the Academic Committee tends to resolve the requests for authorising the registration within 2-4 business days.

[What documentation must I submit to the Doctoral School for registering the thesis?](#)

Once the Programme's Academic Committee has authorised the registration of the thesis, the coordinator will provide the PhD student with the authorisation of the thesis registration, together with the Panel's Proposal and the Supervisor's Report ratified by the

Academic Committee. Those documents, together with those stated in article 2.1.2 of

the [Procedure relating to the Panel, defence and evaluation](#), must be sent by email to doctorado.gestion@uam.es, stating the following as the subject: "SURNAMES_FORENAME_DOCTORAL_THESIS_REGISTRATION".

Some matters which must be taken into account stated in the [Exceptional procedure for registering doctoral theses as a result of the measures adopted to combat COVID-19](#) are as follows:

- No paper documentation of any kind will be required.
- If the documents are too large to send by e-mail, they must be uploaded to [UAM's OneDrive](#).
- The date of the email is considered the registration date.
- All documents must be in PDF format.
- This copy will be considered as the original. The thesis does not have to be signed or blocked by the tutor/supervisor or the Programme coordinator.
- It is mandatory to attach the [Statement of Ethical Commitment and Originality of the thesis](#). If the thesis is deposited on paper, it will be placed on the first page (after the cover). If it is deposited in PDF, it will be sent signed in a separate file from the thesis.

When applying for the [International PhD mention](#), the PhD students must enclose the following documentation along with the application for authorising the thesis defence:

- a) [Application for "International PhD"](#), indicating the other language in which the thesis will be written and publicly presented.
- b) Certification that as part of the doctoral programme the candidate has spent at least three months outside of Spain.
- c) The Doctoral Committee may request certification issued by the competent authorities or by an official accrediting entity regarding the official or accredited status of the foreign university or universities in question.
- d) Favorable reports by a minimum of two expert doctors from non- Spanish higher education institutions or research centers. There is no predetermined format for these reports. However, it is important that the report includes the strengths of the thesis, methodology, etc. and it will be done in a document with the official letterhead and signed by the expert.

In any case, the recommendation is to check the instructions provided in the Doctoral School's website: [Documentation for the defence](#), and [Presentation of Doctoral theses](#).

At present, the Doctoral School also contemplates the deposit on paper through the Registry.

Other formalities

Leave or sick leave

The PhD students can request temporary leave from the Programme, which will not be calculated for the thesis preparation time so, if they want this to be included, they must request this from the Doctoral School. The [Temporary leave request](#), signed by the PhD students and their tutor/supervisor), will be submitted to the Doctoral School (doctorado.gestion@uam.es). If the leave reaches four months, the Doctoral School will reassign the PhD student to the following enrolment/assessment period. In the case of a leave, the PhD students can request temporary leave for a maximum period of one year, extendable for another year.

Sick leave can last for one year renewable, after the PhD student requests this, annually in an indefinite way. To do this, the PhD students must send the medical leave issued by their primary healthcare centre doctor or a private health insurance doctor to the Doctoral School (doctorado.gestion@uam.es). A leave that is not accompanied by a medical certificate will not be treated as medical leave. Unless the PhD students provide a certificate of discharge to the Doctoral School, the leave will be extended for one year. If the leave is extended, the PhD students must submit a new request to the Doctoral School, together with the medical justification that certifies that they must continue with the leave.

Definitive leave

If students want to request a definitive leave from the PhD Programme, they must submit the [Request for definitive leave from the PhD](#) by sending an email to the Doctoral School (doctorado.gestion@uam.es). In accordance with article 8.6 of the Procedure for the Doctoral Students Monitoring at the Universidad Autónoma de Madrid, approved by the Steering Committee of the Doctoral School on 15 September 2017, "the PhD students with permanent leave from a PhD Programme will not be admitted in the same one within the following three years. Exceptionally, the Academic Committee of the PhD Programme may consider the justified cases which would imply a new PhD thesis with a different

supervisor and a completely new research proposal.

Change in the mode of study

The PhD students can apply for a change in their doctorate in a justifiable way (from full-time to part-time or vice versa). The application, countersigned by the tutor/supervisor, will be submitted to the Doctoral School (doctorado.gestion@uam.es). The PhD students must complete the [Application for a change in the mode of study](#).