

## Final steps of the Doctoral Thesis - Authorization of the Academic Committee - Deposit of the Doctoral Thesis

After the publication in BOUAM of the Doctoral Procedures Regulation and the implementation en Sigma del módulo para "Depósito online de Tesis"

The date of completion of the thesis that appears in Sigma is the deadline for applying for authorization its deposit and subsequent defense.

### Application for deposit authorization

Once the writing of the doctoral thesis has been completed and always before the deadline for completion of the thesis (which appears in Third Cycle Sigma):

#### The Doctoral student must:

##### 1. Check

- The maximum date for completion of the thesis has not been exceeded
- The supervisor and tutor are correctly recorded in Sigma..
- The DAD activities are validated
- The last registered tutorial is qualified (favourable)

##### 2. Documentation to be prepared

- A file of the thesis in open electronic format (pdf) with a maximum file size of 50 Mb, in accordance with EDUAM guidelines, both general (e.g. no signatures, common cover page information...) and programme-specific. File name: *ApellidosNombre\_Tesis.pdf*
- Final report of the thesis (*ApellidosNombre\_InformeFinal.pdf*).
- Abstract (and keywords) of the PhD Thesis (in Spanish and English)
- Declaration of Ethical Commitment and Originality (*Apellidos.Nombre\_CompromisoEtico.pdf*)
- Form relating to the transfer of rights for the dissemination of the thesis in open access. (*Apellidos.Nombre\_CesionDerechos.pdf*)
- (Together with the supervisor) Completion of suitability forms of the members proposed to be part of the thesis examining board
- (Together with the supervisor) If there is more than one member of the examining board from outside the Region of Madrid, the proposal must be accompanied by a co-funding commitment (*Apellidos.Nombre\_Cofinanciación.pdf*).
- Theses proposed for international mention
  - Certificate(s) of stay uploaded in DAD training activity
- Theses proposed for industrial mention
  - Contract
  - Report validated by the academic committee
- Thesis as a compendium of publications
  - Publishable version of the thesis

##### 3. Register the deposit request in the 'Online Thesis Deposit' module:

**Personal details tab.** Check your details and modify and/or complete those that are necessary.

**Thesis data tab.** Check that the information about your thesis in your file (title, lines of research, language, tutor, supervisor, mentions or co-supervision) is correct. Indicate if your thesis is a compendium of publications. In this tab you must include the **proposed members of the examining board** Together with your supervisor, include the details of the members of the examining board that will assess your thesis. In any case, it is the Academic Committee of the PhD Programme who finally decides who will be the members of the examining board.

##### **Repositories tab (Biblos-e Archive/Thesis)**

All doctoral theses defended at the UAM must be accessible in the Biblos-e Archivo repository. In case you wish to request an embargo period or in the case of theses subject to confidentiality, you will have to indicate for how long and you must upload a reasoned request.

**Attach documents tab** Attach the documents required for the deposit indicated above (except Thesis).

**Attach Thesis tab.** Attach the thesis document(s).

**Application confirmation tab.** On this screen you can submit your application or withdraw it.

Once confirmed, your application goes from status *SI-Incomplete Application* to status *VA-To be validated* by the administration. From that moment on your application will have administrative effects.

4. **Submit by Registry** at the Registry located at the Doctoral School (Cantoblanco campus), at the General Registry of the UAM (Rectorate Building) or through the Common Electronic Registry of the General State Administration, the form for authorization of deposit and defense (*ApellidosNombre\_Solicitud\_AutorizaciónDeposito\_CA*) after being signed by the director(s) and tutor(s), expressly endorsing its presentation for public defense. This form includes the digital fingerprint of the thesis uploaded to Sigma.

If you have not evaluated the last year, you must request the early evaluation on the same form.

## Unidad de Gestión de Tesis de la EDUAM (UGED):

Once the application for authorization to deposit and subsequently defend, the doctoral thesis has been received at the EDUAM registry, the :

- If early assessment is requested, it will generate the corresponding record, informing the coordinator. . . :
- Validate the documentation attached to the application for deposit, requesting the doctoral student (if applicable) to correct it. . . :

## The Supervisor(s) and/or Tutor(s) must

1. (Director and tutor) Sign the application for authorization of the deposit (point 4, PhD students), endorsing the defence.
2. Suggest to the PhD student possible members of the examining board who meet the regulatory requirements.
3. (UAM Director) Once the application has been validated by the UGED, access the online 'thesis deposit' module.
  - View and, if applicable, validate (or not) the information required in the tabs: personal data, thesis data, proposed members of the examining board, repository, attach documentation and attach thesis. All supervisors must validate.
  - (Reports tab) attach the final report (*ApellidosNombre\_InformeFinalDirector (1a3).pdf*) each of the thesis supervisors explaining the results of the assessment of the thesis.
  - Propose possible external evaluators to the Academic Committee.
  - Confirm the validation, completing the observations that considers appropriate. All supervisors must validate the thesis
4. If the supervisor does not have access to Sigma, the above actions will be carried out by the thesis tutor.

## Resolution of the application for deposit authorization

The **Academic Committee of the PhD Programme** will assess the documentation submitted to Sigma and, on its behalf, the coordinator:

- Evaluate the supervision in advance, if it has been requested.
- View and, if necessary, validate (or not) the information required in the tabs: personal data, thesis data, proposed tribunal members, repository, attach documentation and attach thesis.
- It will evaluate the examination board proposal uploaded to Sigma by the doctoral student and/or the supervisor. Changes may be introduced. Validate.
- Identify in Sigma the two external experts who will report on the thesis (proposed by the supervisor or not), whom the coordinator will ask to issue a report.
- (The external evaluators will issue a report, with their evaluation proposal (favourable, unfavourable, to be modified), which will be uploaded to the Thesis Deposit module).
- It will resolve the application for deposit on the basis of the reports, DAD and the specific criteria foreseen in each programme, with the possibility of requesting modifications to be made, necessary for authorization.

### UNFAVOURABLE

- Upload to Sigma the report with the result of the deposit application in which the reasons for this negative resolution are justified.
- If the PhD student has time to rewrite the thesis before the deadline for completion of the thesis, he/she can start a new application for deposit, following the steps explained in this document in their entirety. If there is no time, he/she will be withdrawn from the PhD Programme. The PhD student may appeal.
- It is not appropriate (unless it has been done before) to resolve the early evaluation of the supervision.

### TO MODIFY

- The Academic Committee uploads to Sigma the report with the result of the application for deposit. The report must contain detailed information on the aspects of the thesis that must be modified in order to obtain a favourable resolution, giving the PhD student a deadline for response (no more than one month). If the changes to be made are substantial and cannot be made within a period of one month, the result of the application will be UNFAVOURABLE.
- The PhD student restarts the deposit process, uploading a second version of the thesis and a document explaining how the observations/modifications proposed by the Academic Committee have been dealt with. Unless required to do so, the documentation already submitted should not be uploaded: only the thesis and the document explaining the changes (nor should a new registration be made). The new application must be validated by the administration and the supervisor (or tutor) as described above.
- The Academic Committee assesses the changes introduced by the PhD student and decides either favourably (validates the application) or unfavourably (does not authorise the deposit), proceeding as indicated in the previous sections.

### FAVOURABLE

As a result of the evaluation by the Academic Committee, and on its behalf, the coordinator:

- Uploads the report with the result of the assessment of the tutelage to the Depository.
- Informs the UGED (this can be done prior to this point) of the result of the early assessment of the mentoring.

## EDUAM Management Unit

Following the favourable resolution, **the UGED:**

- Introduces the grade of the tutelage evaluated in advance (if applicable) and closes the record.
- Processes the registration of the Thesis Defence, sending the payment note to the PhD student.
- Download from Sigma the Thesis authorised by the Academic Committee and announce its deposit on the EDUAM website for restricted consultation by the university community.
- Transmits to the Comisión de Equivalencias y Defensa de Tesis (CEDT) the allegations received during the deposit.
- Reports the proposal of the examining board, for validation by the CEDT.

## EDUAM Comisión de Equivalencias y Defensa de Tesis:

- Validates/approves (or not) the examination board proposal.
- Validates/approves (or not) the defence of the thesis, proceeding to the appointment of the examining board.

## UGED

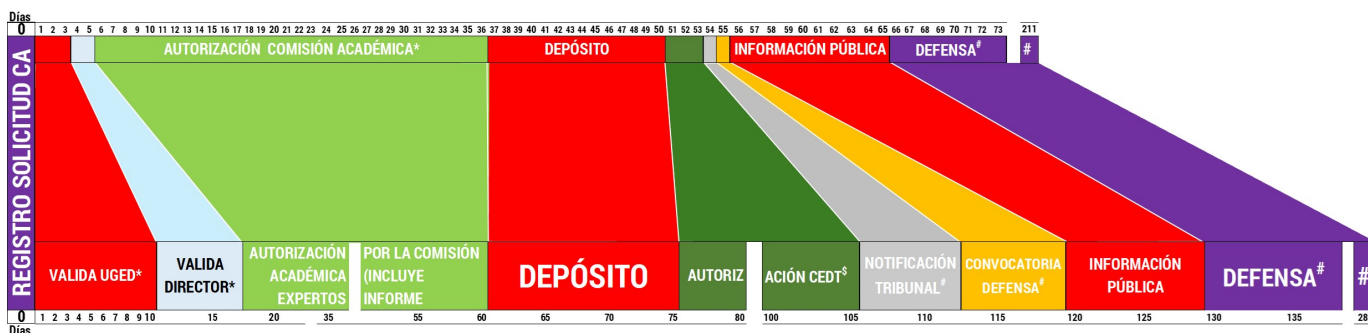
- Informs the PhD student, supervisor, tutor, members of the examining board and programme coordinator of the appointment, with instructions for the defence (within a maximum period of six months).
- Will give access to the members of the examining board for online consultation of the documentation (doctoral thesis, DAD, reports by external experts).

## WHEN CAN THE THESIS DEFENCE TAKE PLACE?

Within six months of the appointment of the examining board, the date and place of the thesis defence is set by all those involved; the secretary of the examining board fills in the form with the announcement and sends it, at least 8 working days in advance, to [doctorado.gestion@uam.es](mailto:doctorado.gestion@uam.es) (subject 'thesis form'), with a copy to the interested parties, for publication on the website.

The duration of the different stages depends on many factors: the number of theses deposited at the same time, the number of theses submitted simultaneously, the number of documents to be corrected, the submission of allegations, the availability of external experts and members of the CEDT for the evaluation, the sending of the form by the secretary of the examining board, etc.;

## TIME SUMMARY OF THE PHASES THROUGH WHICH THE APPLICATION FOR DEPOSIT PASSES, UP TO THE DEFENCE OF THE THESIS



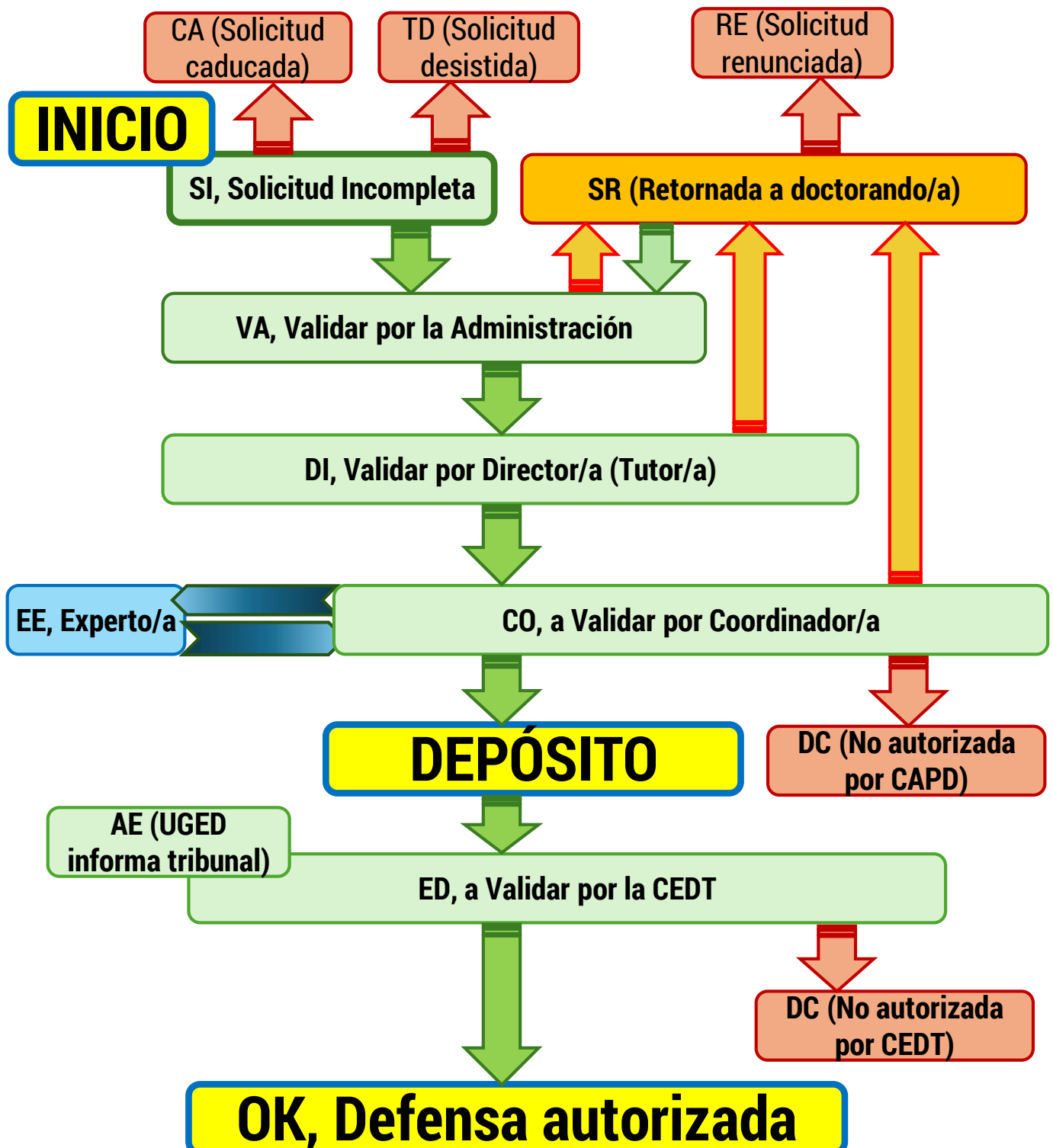
\* Plazos máximos para cada una de las etapas; el plazo máximo para la resolver la solicitud de autorización del depósito es de 2 meses. Si como resultado de las validaciones y evaluación hay que modificar la tesis, o la documentación asociada al proceso, este periodo puede prolongarse (hasta 10 días para cada subsanación; hasta un mes para modificar la tesis)

§ Plazo máximo para autorizar la tesis y el tribunal (solo se suele llegar al límite si se han registrado alegaciones durante el depósito)

¶ El plazo máximo desde que se produce la notificación de la autorización de la defensa hasta que se produzca esta es de 6 meses

# Solicitud depósito *online* de tesis

## ESTADOS EN SIGMA (STES)



# Solicitud depósito *online* de tesis

## ACCIONES

Estado		SI	VA	DI	CO		ED	
Perfil	(TCSO)	Doctorando Doctoranda	UGED	Director/a Tutor/a (si DI externo/a)	Coordinador/a	EX	UGED	CEDT
Datos personales	✓	Ve/Edita	Valida	Ve	Ve		Ve	Ve
Datos tesis								
Título	✓	Ve/Edita		Valida	Ve		Ve	Ve
Líneas	✓	Ve/Edita		Valida	Ve		Ve	Ve
Idioma		Edita		Valida	Ve		Ve	Ve
Tutoría	✓	Comprueba		Ve	Ve		Ve	Ve
Dirección	✓	Comprueba		Ve	Ve		Ve	Ve
M. Internacional	(✓)	Solicita		Ve	Valida		Ve	Ve
M. Industrial	(✓)	Solicita		Ve	Valida		Ve	Ve
Cotutela	(✓)	Solicita		Ve	Valida		Ve	Ve
Compendio		Solicita		Valida	Valida		Ve	Ve
Tribunal		Edita		Edita	Edita Valida		Informa	Aprueba
Expertos				Edita	Edita Valida	Ve	Ve	Ve
DAD	✓	Comprueba		Ve	Valida		Ve	Ve
Repositorio		Sube cesión	Valida	Valida	Valida		Ve	Ve
Biblos-e Archivo		Edita		Valida	Valida		Ve	Ve
TESEO		Edita		Valida	Valida		Ve	Ve
Adjuntar documentación		Sube docs	Valida	Valida	Valida		Ve	Ve
Adjuntar tesis		Sube tesis	Valida	Valida	Valida	Ve tesis Sube informe		Aprueba
Informes				Sube doc	Sube doc		Sube doc	
Confirmar		Presenta solicitud	Valida Observ	Valida Observ.	Valida Retorna Autoriza Deniega		Valida	Valida

SI – Solicitud Incompleta

VA – a Validar por la Administración

DI – a validar por el Director (por el tutor, si los directores externos al programa)

CO – a validar por el Coordinador

AE – UGED informa Tribunal

ED – a validar por la Comisión de Equivalencia y Defensa de Tesis

# Solicitud depósito *online* de tesis

## DOCUMENTACIÓN

Documento y pestaña donde subirlos		Datos tesis	Repositorios	Adjuntar documentación	Adjuntar tesis	Informes
TODAS LAS TESIS	Idoneidad de cada miembro tribunal	DO-DI CO				
	Idoneidad experto externo	DI CO				
	Cesión derechos/ Solicitud embargo		DO			
	Compromiso ético y originalidad			DO		
	Informe final doctorando/a			DO		
	Informe final director/a					DI (TU)
	Compromiso cofinanciación			DO-DI		
	Tesis doctoral				DO	
	Resumen y palabras clave		DO			
	Informe Comisión Académica					CO
	Informe sobre tribunal					UGED
	Informes Expertos Externos	EX				
	Compendio	Tesis publicable (reducida)				DO
Confidencial	Informe comisión investigación			DO		
	Tesis publicable (reducida)				DO	
Internacional	Estancia investigación	TCSO		DO		
Industrial	Contrato	TCSO		DO	DO	
	Memoria	TCSO		DO		
Cotutela	Convenio	TCSO		DO		
	Estancia en Universidad 1			DO		
	Estancia en Universidad 2			DO		

**TCSO.** Documentación subida desde Tercer Ciclo Sigma Oficial.

**DO.** Documentación que sube el Doctorando/a.

**DI.** Documentación que sube el Director/a.

**DI(TU).** Documentación que sube el Tutor/a (Director/a sin acceso a Sigma).

**CO.** Documentación que sube el Coordinador/a.

**EX.** Documentación que sube el Experto/a externo/a.

**UGED.** Documentación que sube la Unidad de Gestión de la Escuela de Doctorado.





# PROCEDIMIENTO DE DEPÓSITO Y DEFENSA DE LA TESIS DOCTORAL



## 1. FIN DE LA TESIS

Presentación de la tesis ante la Comisión Académica del Programa de Doctorado (CAPD).

Se presenta la solicitud de depósito en Sigma, mediante la aplicación "Depósito online de Tesis", cargando en la aplicación:

- Tesis doctoral
- Resto de documentación general y específica

Se presenta por Registro la solicitud de autorización de depósito y defensa, tras la firma de directore/as y tutor/a.

## 3. INFORMES DE EXPERTO/AS

La CAPD solicita informes a dos experto/as externo/as al Programa de Doctorado

- Especialistas con título de doctor/a, con experiencia investigadora acreditada, externos a la UAM.
- Si la tesis es con mención internacional, deben ser de instituciones no españolas. No puede ser el tutor/a con quien realizó la estancia internacional,

*Lo/as experto/as suben en Sigma sus informes.*

## 5. PROPUESTA DE TRIBUNAL

La CAPD propone el tribunal que evaluará la tesis

- Doctore/as con experiencia investigadora acreditada.
- Pueden ser 3 ó 5 miembros (más dos suplentes).
- Un miembro ha de ser de la UAM (preferiblemente el/la secretario/a) .
- Mayoría de miembros externos al programa de doctorado.
- Si la tesis opta a mención internacional, un miembro (al menos) debe ser de una institución extranjera diferente a donde realizó la estancia.

## 7. AUTORIZACIÓN DEFENSA

Evaluación por la Comisión de Equivalencia y Defensa de Tesis (CEDT)

La CEDT revisa que se cumplen todos los requisitos de calidad exigidos, pudiendo solicitar información adicional y (en su caso):

- Aprueba la propuesta de tribunal, para su nombramiento.
- Autoriza la defensa de la tesis.

## 9. CONVOCATORIA

El secretario/a del tribunal convoca el acto de defensa de la tesis

- Para su difusión, informa a la UGED con una antelación mínima de 8 (ocho) días hábiles.
- Se publica en la web de la EDUAM.



## 2. VALIDACIÓN

La Unidad de Gestión de la EDUAM (UGED)

- Si contiene defectos formales pide su subsanación.
- Si no contiene defectos, o una vez estos han sido subsanados procede a la validación administrativa, e informa al director/a para la validación académica de la tesis

El/la director/a (tutor/a) y el coordinador/a validan la documentación



## 4. AUTORIZACIÓN DEPÓSITO

La CAPD resuelve la solicitud de depósito, en base a los informes y a criterios propios:

- **Favorable:** autoriza el depósito.
- **Desfavorable:** no procede tramitar el depósito.
- **A modificar:** la tesis es mejorable, y se insta al doctorando/a a introducir mejoras que, una vez atendidas, permitan (o no) su resolución favorable.

## 6. DEPÓSITO. EXPOSICIÓN PÚBLICA

Si la resolución ha sido favorable, estará 10 días hábiles en exposición pública

Cualquier doctor/a que lo solicite puede consultarla y, en su caso, formular, ante la Comisión de Equivalencia y Defensa de Tesis, las alegaciones que estime oportunas.



## 8. NOMBRAMIENTO DEL TRIBUNAL, NOTIFICACIÓN

La Unidad de Gestión de la EDUAM notifica el nombramiento

a los miembros del tribunal y al doctorando/a (y a los directore/as, tutor/a y coordinador/a del Programa de Doctorado)

El tribunal tendrá acceso a:

- La tesis doctoral
- Los informes externos y (en su caso) las alegaciones del doctorando/a
- El documento de actividades del doctorando/a



## 10. ACTO PÚBLICO DE DEFENSA DE LA TESIS DOCTORAL

