

No. 585 - Year 40

1. GENERAL PROVISIONS

Friday 28th February 2025

Governing Council

15770. REGULATORY AGREEMENT of 24th February 2025 that approves the Regulations Governing the Organisation of PhD Programmes at the University of the Balearic Islands

As set out in Organic Law 2/2023 of 22nd March on the University System, research—understood as the production of knowledge—is one of the fundamental missions universities must pursue. In this sense, universities are solely responsible for training researchers through PhD programmes, notwithstanding the involvement of other academic, economic or social stakeholders.

PhD programmes represent the third cycle in official higher education and lead to graduates being awarded the title of doctor. The programmes aim to train researchers in different areas of knowledge and are therefore a fundamental pillar for a knowledge-based society and economy. In turn, PhD holders play a key role at all institutions involved in research and innovation activities, spearheading knowledge transfer processes for the economy and society with a view to ensuring widespread wellbeing. In this sense, PhD programmes are a cornerstone of R&D&i policies at universities.

In Spain, PhD programmes are governed by Royal Decree 99/2011 of 28th January, amended by Royal Decree 576/2023 of 4th July. However, the special nature of PhD programmes, and the different training needs and skillsets inherent to each area of knowledge, require more specific regulations, such as those set out in Regulatory Agreement 13084/2019 of 10th April that approves the Regulations Governing the Organisation of PhD Programmes at the University of the Balearic Islands (FOU [Official University Gazette] no. 481 of 17th May).

In view of the various regulatory updates to the aforementioned Royal Decree, and the accumulated experience and perspectives shared by the Conference of Doctoral School Directors (CDED), a new regulation is required to replace the aforementioned Regulatory Agreement 13084/2019.

In light of the above, and using the powers conferred upon it by articles 24.2.32 and 40 in the UIB Statutes, today's ordinary session of the Governing Council approved the Regulations Governing the Organisation of PhD Programmes at the University of the Balearic Islands.

Summary

Preliminary Chapter. General Provisions

[Article 1. Definitions](#)

[Article 2. PhD Programme Structure and Management](#)

[Article 3. PhD Programme Length](#)

[Article 4. Change of Status Application](#)

[Article 5. Temporary Withdrawal from PhD Programmes](#)

[Article 6. Permanent Withdrawal from PhD Programmes](#)

[Article 7. Automatic Enrolment Cancellation](#)

[Article 8. Enrolment Cancellation at the Student's Request](#)

Chapter I. Entry and Admission to PhD Programmes

[Article 9. Entry Requirements for PhD Programmes](#)

[Article 10. PhD Programme Admission](#)

Chapter II. PhD Programmes

[Article 11. Training Organisation on PhD Programmes](#)

[Article 12. Organisation of PhD Programmes](#)

[Article 13. Lecturer Requirements](#)

[Article 14. Academic Committees for PhD Programmes](#)

[Article 15. Tutor](#)

[Article 16. Thesis](#)

[Supervisor Article 17.](#)

[Doctorand Article 18.](#)

[Thesis Charter](#)

[Article 19. PhDs with a Mention of Excellence or Other Equivalent Mentions](#)

Chapter III. PhD Thesis

[Article 20. PhD Theses](#)

[Article 21. PhDs with an International Mention](#)

[Article 22. PhDs with an Industrial Mention](#)

[Article 23. International Joint PhD Thesis](#)

[Supervision](#)

[Article 24. Start of the PhD Submission Procedure](#)

[Article 25. External Expert Reports](#)

[Article 26. Submission Resolution and Viva Voce Authorisation](#)

[Article 27. PhD Thesis Viva Panel](#)

[Article 28. PhD Viva Voce](#)

[Article 29. PhD Thesis Assessment](#)

Article 30. PhD Thesis Archiving and Publication

Article 31. Authorisation, Viva Voce, Assessment and Publication Procedures for PhD Theses Subject to Data or Findings Protection, or which May Be Subject to Technology or Knowledge Transfer

Chapter IV. Processing for Proposed PhD Programmes

Article 32. PhD Programme Proposals

Article 33. Approval Procedure for Proposed PhD Programmes

Article 34. PhD Programme Amendments

Article 35. Administrative Appeals

Chapter V. Extraordinary PhD Awards

Article 36. Extraordinary PhD Awards

Transitional Provisions

One. PhD Students from Programmes under Former Higher Education Regulations

Two. Admission for PhD Students from Programmes under Former Higher Education Regulations

Additional Provisions

One. Collegiate Body Members

Two. Designations

Three. Regulatory Implementation

Repealing Provision

Sole. Repeal of Prior Regulations

Final Provision

Sole. Effective Date

Preliminary Chapter. General Provisions

Article 1. Definitions

For the purposes of this regulation, the following definitions apply:

- a. **Thesis charter:** a document containing doctorands' commitment to the code of best practice and their supervisors' duties
- b. **Academic committee for the PhD programme (hereinafter, the CAD):** the committee is responsible for designing, updating and coordinating the PhD programme. It also oversees quality assurance, research and training progress, and authorisation for thesis submissions by all doctorands on the programme
- c. **Thesis supervisor:** the individual ultimately responsible for monitoring all research activities undertaken by the doctorand in their charge; ensuring the coherence and suitability of training activities, as well as the contribution to knowledge and novelty of the PhD thesis topic in the relevant field; and advising doctorands with regard to planning and adapting, where appropriate, other projects and activities they undertake
- d. **PhD programmes:** the third cycle in official higher education leading to the acquisition of the skills and abilities inherent to quality research, and their development in any of the following fields: science, technology, humanities, art or culture
- e. **Doctorand:** an individual who has accredited the requirements set out in current regulations, has been admitted to and enrolled on a PhD programme
- f. **Doctorand activities document:** an individual record of a doctorand's activities on a PhD programme. The document is regularly reviewed and validated by the thesis tutor and supervisor, and assessed annually by the CAD
- g. **Training and research plan document:** a document setting out a) a doctorand's individual training, including different planned activities to be undertaken on the PhD programme (courses, seminars, mobility, etc.) (i.e. the training plan), and b) the initial planning for the PhD thesis. This must at least include the methodology, goals, resources and required timeframe (i.e. research plan)
- h. **Doctoral School:** a unit established by one or several universities (and possibly in collaboration with other domestic or overseas organisations, centres, and institutions conducting R&D&i activities). In accordance with its management responsibilities, its main purpose is organising PhD programmes in one or more knowledge areas, or those with an

interdisciplinary nature

- i. **Accredited research experience:** having at least one research period recognised by the Spanish National Commission for Research Evaluation (CNEAI), in application of Royal Decree 1086/1989 of 28th August on the Remuneration of University Teaching Staff or, where it cannot be accredited in this way, having comparable research merits, as set out in the university's own regulations
- j. **PhD programme:** a set of activities leading to the acquisition of the required skills and abilities to be awarded a PhD degree. PhD programmes train doctorands and establish the procedures and areas of research for them to write a PhD thesis in a specific field of knowledge
- k. **Tutor:** the individual responsible for ensuring doctorands' training and research activity aligns with the principles of the programme and, where applicable, the doctoral school
- l. **Research unit:** in accordance with the provisions set out in Article 145 in the UIB Statutes, research units are research groups recognised as such by the UIB, departments, university research institutes and other joint centres or structures established by the UIB and other public or private bodies.

Article 2. PhD Programme Structure and Management

- 1. The UIB Doctoral School (hereinafter, the EDUIB) is responsible for the academic and administrative management of PhD programmes, in accordance with Regulatory Agreement 10909/2014 of 5th February, amending Regulatory Agreement 10041/2011 of 22nd November that established the Doctoral School of the University of the Balearic Islands
- 2. PhD training at the UIB is structured into PhD programmes. Each PhD programme has a coordinator and a CAD, in accordance with the provisions herein
- 3. In any event, the EDUIB is responsible for reviewing and ratifying the decisions made by the different academic committees for PhD programmes, as well as resolving any complaints lodged
- 4. The Postgraduate Studies Management Unit (hereinafter, UGEP) is in charge of providing technical support for the design, implementation, amendment, monitoring and accreditation of official postgraduate qualifications.

Article 3. PhD Programme Length

- 1. The length of PhD programmes will align with doctorands' specific enrolment

status, i.e. full-time or part-time

2. PhD programmes last for a maximum of four (4) years for full-time students and seven (7) years for part-time students
3. When a doctorand has an accredited disability level equal to or above 33%, PhD programmes last for a maximum of six (6) years for full-time students and nine (9) years for part-time students
4. Where doctorands fail to submit their thesis within the aforementioned timeframes, the CAD for the programme may, at the doctorand's request, authorise a one-year extension. In this event, the doctorand must make the relevant request and attach an updated research plan, approved by the thesis tutor and supervisor, alongside a document setting out the objective grounds to believe they will be able to submit the thesis within the extension period. The document must be signed by the doctorand, tutor and supervisor
5. The timeframes set out in this article shall run from the doctorand's enrolment date for the programme to the start date of the thesis submission procedure. The timeframes may only be suspended in the event of temporary incapacity, giving birth, adoption, custody for adoption purposes, fostering, high-risk pregnancy, risks associated with breastfeeding, gender-based violence or any other circumstance set out in current legislation during the aforementioned timeframe. Failure to formalise enrolment within the set timeframes shall not lead to the calculation of the set length of the PhD programme being suspended
6. Where a change from full-time to part-time status (or vice versa) is authorised, the maximum programme timeframe shall be calculated on a pro rata basis, in line with the time remaining until the end of the programme.

Article 4. Change of Status Application

1. Applications for part-time status may be submitted during the pre-registration period. The CAD will decide on whether to grant this status, as well as programme admissions. In turn, applications may also be submitted for CAD approval after students have joined the programme
2. Part-time status may be granted where any of the following justified circumstances apply:
 - a. Applicants have a permanent or stable employment contract. Contracts lasting under three (3) months will not be considered
 - b. Applicants have specific family or personal reasons, including having to care for dependents, elderly relatives or disabled children, having a

large family with school-age children or being a victim of gender-based violence

- c. Any other reason the CAD deems applicable.
3. A change from full-time to part-time status may not be requested during the extension year, except for the reasons stated in point (b) in the previous paragraph.

Article 5. Temporary Withdrawal from PhD Programmes

1. Doctorands may request a temporary suspension of their programme for up to a total of two (2) years. A duly justified request must be submitted to the CAD for approval
2. Temporary withdrawal applications may be submitted as long as doctorands passed their last annual assessment. However, this does not apply to new students who have not yet been assessed. In no way shall temporary withdrawal applications be processed during students' last six (6) months on the programme or during the period between a failed annual assessment and the corresponding re-assessment
3. There are two types of temporary leave:
 - a. Temporary withdrawal from the following full academic year. The application submission deadline matches the enrolment period for returning students and up to one (1) month later. In this instance, doctorands will not be obliged to enrol during the academic year and, where they have already enrolled, their enrolment will be automatically cancelled and, where applicable, the relevant amount will be refunded
 - b. Temporary leave for periods between three (3) and twelve (12) months. Applications may be submitted at any time during the academic year. Temporary withdrawal applications will take effect from the time they are granted and will in no way be backdated. In any event, doctorands must enrol within the set deadline period for each academic year.

Article 6. Permanent Withdrawal from PhD Programmes

1. Doctorands will be definitively withdrawn from the programme where any of the reasons set out in Articles 7, 17, 25 and 29, or Transitional Provision One herein apply. Students who are definitively withdrawn may not be readmitted to the same programme
2. Students who request and are granted a voluntary open-ended withdrawal by the EDUIB may re-enrol on the same PhD programme (by starting a new pre-

registration and admission process) after four (4) years have passed since the withdrawal date. In turn, they will need to submit a new thesis project that is entirely different from their previous project. In this instance, no prior merits or activities on the same programme will be accredited for the new registration and admission.

Article 7. Automatic Enrolment Cancellation

1. Enrolments will be automatically cancelled in the following instances:
 - a. Total or partial non-payment of tuition fees within the deadlines and as per the terms and conditions set out in the relevant fee regulations
 - b. Submitting forged documents
 - c. Failure to submit the required enrolment documents within the set deadlines
 - d. Other justified reasons or circumstances governed by other regulations
2. The financial debt for the instances set out in 1(a), (b) and (c) above shall remain outstanding in the event of total or partial non-payment. In turn, students will not have the right to reimbursement of any amounts paid
3. Automatic cancellation may be reversed, provided students remedy the situation that led to said cancellation before 15th March in the academic year where they are enrolled
4. New students whose enrolment is automatically cancelled will lose their spot on the programme. Students wishing to re-enrol on the same programme in a different academic year will have to re-apply for admission
5. Where enrolment has been automatically cancelled due to non-payment, doctorands may only re-enrol in the following academic year, once the outstanding amount (including the surcharge) has been paid. Failure to do this will lead to doctorands being definitively withdrawn.

Article 8. Enrolment Cancellation at the Student's Request

1. Enrolment cancellation may only be made at a student's request in the event of force majeure preventing them from continuing their programme in the academic year where they are enrolled
2. Valid force majeure events for enrolment cancellation are as follows:
 - a. A serious illness suffered by students or their family members (up to second-degree relatives or similar)

- b. Sudden disability
 - c. Significant distress in family finances
 - d. Obtaining a spot at another university after the enrolment date
 - e. Visa refusal or the impossibility of obtaining a visa in due time and form
 - f. A new employment contract or major change to employment conditions
 - g. Being a victim of gender-based violence
 - h. Other exceptional circumstances
- 3. In all instances, the alleged force majeure event must occur after the enrolment date and supporting documents must be submitted
- 4. Refunds for cancelled enrolments will be made as per the following:
 - a. In no event shall admin fees be refunded
 - b. Academic tuition fees shall be refunded in full, except in the instances set out above in 2(d) (where the same programme is available at the UIB) and (f), where students will receive a 75% refund
- 5. Enrolment cancellation applications will be resolved by the relevant pro-vice-chancellor for PhD programmes, or the delegated individual. The pro-vice-chancellor's decision will state whether a refund is due or not and, where applicable, the academic implications arising from the cancellation
- 6. Where the cancellation application is approved, students' time on the programme will be suspended from the application date and only re-start when they rejoin the programme. Reinstatement must take place within two (2) years at most. All time taken for temporary leave (as indicated in Article 5) will no longer be available, except for the reasons indicated in 2(a), (b), (c) and (g) above or due to similar circumstances.

Chapter I. Entry and Admission to PhD

Programmes Article 9. Entry

Requirements for PhD Programmes

- 1. In accordance with Article 6 in Royal Decree 99/2011 of 28th January, amended by Royal Decree 576/2023 of 4th July, general admission to PhD programmes requires candidates hold an official Spanish undergraduate degree or

equivalent, and a master's degree or equivalent, provided they have passed at least 300 ECTS credits from both courses combined

2. In turn, applicants who have the following qualifications, diplomas or studies qualify for admission:
 - a. Holding official Spanish university qualifications or equivalent Spanish qualifications. In all instances, candidates must have passed at least 300 ECTS credits from all programmes combined, and be able to accredit a level 3 qualification within the Spanish Qualifications Framework for Higher Education
 - b. Holding a qualification from overseas education systems within the European Higher Education Area (EHEA) which does not require validation and accredits they have attained level 7 within the European Framework for Qualifications, as long as said qualification grants admission to PhD programmes in the issuing country. In no way shall this admission imply validation of the aforementioned qualification nor accreditation for any other purpose than admission to the PhD programme
 - c. Holding a qualification awarded in accordance with non-EHEA education systems, without it requiring validation, subject to verification by the university that the qualification accredits an equivalent level of training to an official Spanish university master's programme and grants admission to PhD programmes in the issuing country. In no way shall this admission imply validation of the aforementioned qualification nor accreditation for any other purpose than admission to the PhD programme
 - d. Holding another PhD degree
 - e. Being a graduate who, having previously obtained a programme spot through the corresponding admission test for specialised medical training, has passed at least two (2) years of training in a programme to be awarded an official qualification in one of the specialities in health sciences
3. In accordance with Additional Provision Two in Royal Decree 99/2011 of 28th January, amended by Royal Decree 576/2023 of 4th July, graduates, architects or engineers holding a Diploma of Advanced Studies, in accordance with the provisions set out in Royal Decree 778/1998 of 30th April that governs Third Cycle Higher Education Programmes and the Award and Issuance of PhDs and Other Postgraduate Qualifications, or having passed the research aptitude

requirement as governed by Royal Decree 185/1985 of 23rd January that governs Third Cycle Higher Education Programmes and the Award and Issuance of PhDs and Other Postgraduate Qualifications may also be admitted.

Article 10. PhD Programme Admission

1. All PhD programmes have limited available spots, in accordance with the programme's verification report, provided it has been approved by the relevant assessment agency
2. The number of spots may be increased, provided excess spots are filled by students who have been awarded a pre-doctoral contract or a full-time grant, within the framework of a competitive call, or by students under international joint supervision agreements who are already enrolled at one of the other partner universities in the agreement and have previously been accepted by the CAD at the UIB. This means that these students may be admitted and enrolled at any time during the academic year, in accordance with the resolution dates for the corresponding call for pre-doctoral contracts or grants, or as stipulated in the international joint supervision agreement
3. In order to ensure equal opportunities, every PhD programme will reserve at least 5% of the total number of spots for individuals with an accredited disability level equal to or above 33%, as well as students with permanent educational support needs linked to personal disability circumstances who required specific resources and support during their previous studies in order to ensure they enjoyed full educational inclusion, in accordance with what is set out in Regulatory Agreement 12052/2016 of 7th November that approves Reserved Spots for Students with Disabilities on Master's and PhD Programmes at the University of the Balearic Islands
4. PhD programmes may set additional requirements and criteria for student selection and admission, which must be included in the verification report. They may also, where appropriate, be set out in amended programmes that have been duly authorised by the relevant assessment agency
5. The CAD for each programme may establish an endorsed researcher as a possible PhD thesis supervisor as an additional requirement for student selection and admission for the PhD programme, provided this is set out in the current verification report
6. Admission to a PhD programme may include a requirement for specific supplementary training, according to students' entry profiles. For the

purposes of public fees and awarding of contracts, and study grants and bursaries, this supplementary training will be considered as doctoral-level training. In any event, the specific supplementary training will be stated in the verification report for the PhD programme and must be passed during the initial training period on the programme within a maximum of one (1) academic year

7. With regard to students with special educational needs linked to a disability, admission systems and procedures will include suitable support and advice services to assess whether any curricular adaptations, or alternative pathways or programmes are required
8. Doctorands may not take two or more PhD programmes at the same time, except where students are enrolled on a programme under international joint supervision (in accordance with the provisions set out in the corresponding agreement)
9. Students who already hold one or more Spanish or overseas PhD degrees will be required to submit the necessary documents and report their prior qualifications, as well as include a digital copy of their thesis/es (or access to the full document in an open-source repository) for the CAD to decide on their admission, in consideration of best practice for academic integrity, and ensure the different PhD programmes do not overlap. The CAD will be in charge of ensuring there is no overlapping research or training goals with regard to the previous theses and the thesis to be undertaken. Doctorands and their supervisors will be responsible for ensuring no overlap occurs between the different theses throughout the PhD programme. In no way may the different PhD theses be supervised by the same person.

Chapter II. PhD Programmes

Article 11. Training Organisation on PhD Programmes

1. PhD programmes will be run by the EDUIB or another unit responsible for research as set out in Article 1 herein. PhD programmes will include organised research training activities not necessarily structured into ECTS credits, comprising cross-cutting and specific training within the relevant area for each programme. This training and its monitoring procedures will be specified in the verification report for the PhD programme
2. All training activities undertaken on the programme will be included in the doctorand activities document
3. The doctorands' main activity is research. This involves producing a PhD

thesis comprising original research in any knowledge area

4. PhD training ensures doctorands acquire individual skills, abilities and capabilities in accordance with current regulations
5. In duly accredited exceptional circumstances, and taking into account doctorands' professional or academic experience, the CAD may, after reviewing their merits, either partially or totally exempt them from taking cross-cutting and/or specific training activities.

Article 12. Organisation of PhD Programmes

1. PhD programmes at the UIB may be organised jointly with other universities in accordance with specific agreements. In turn, they may also be organised in collaboration with other domestic or overseas, public or private bodies, centres, institutions and organisations, as set out in specific agreements and in line with the PhD training and research strategy defined by the relevant offices of the pro-vice-chancellor
2. Each PhD programme must be designed, organised and coordinated by a CAD. The committee's member structure and duties are set out herein
3. Every PhD programme must have a coordinator. Coordinators will be proposed by the Head of the EDUIB, after consulting with the relevant research units for the programme, and appointed by the UIB President and Vice Chancellor. With regard to joint programmes with other institutions, the proposed candidate will be agreed by the relevant Presidents and Vice Chancellors, or as set out in the corresponding agreements for PhD programmes run in collaboration with other organisations
4. Coordinators must be renowned researchers, have supervised at least two PhD theses and have a minimum of two accredited research periods, in accordance with what is set out in Royal Decree 1086/1989 of 28th August on Remuneration of University Teaching Staff. Where researchers hold a position where the aforementioned assessment criteria do not apply, they will need to accredit equivalent merits.

Article 13. Lecturer Requirements

All PhD programme lecturers must hold a doctoral degree, notwithstanding possible collaborations with other individuals or professionals on certain specific activities who possess relevant qualifications in the corresponding area of knowledge.

All programme lecturing staff will undertake to provide the EDUIB with the necessary

information to keep their CV details up to date for the last five (5) years. This information must at least include their usual workplace, the ORCID and/or similar identifier (ResearcherID, SCOPUS, Google Scholar) or an external link to their updated public CV in FECYT or equivalent format, or in their home institution's format. This information will be available on the public UIB website.

Article 14. Academic Committees for PhD Programmes

1. The CAD for every programme must be entirely comprised of members with PhDs and, as proposed by the relevant chair, be approved by the EDUIB Executive Board after verifying the proposing research units for the programme, in accordance with the UIB Statutes and relevant regulations. The PhD programme coordinator chairs the relevant CAD
2. The CAD comprises the following members:
 - a. The PhD programme coordinator, as chair
 - b. At least two UIB lecturers from the relevant research units
 - c. Where applicable, one representative from each institution that has signed an agreement with the UIB with regard to the PhD programme. These individuals must have a PhD. The CAD members for joint programmes between the UIB and other universities will be appointed in accordance with what is set out in the agreement (which must include a provision to this effect)
3. The duties of the CAD are as follows:
 - a. Designing, organising and coordinating the PhD programme
 - b. Being responsible for updating the programme and ensuring quality
 - c. Being responsible for training doctorands on the programme
 - d. Granting admission to the programme
 - e. Assigning a tutor for each PhD students
 - f. Assigning a thesis supervisor or supervisors for each PhD student at the time of their admission, in agreement with the designated individuals, and authorising any relevant changes
 - g. Ensuring the proper use and registration of the doctorand activities document
 - h. Annually assessing student progress with regard to the submitted research plan, training plan and activities document, within the corresponding deadline and in accordance with EDUIB criteria

- i. Resolving student status, withdrawal and reinstatement applications
 - j. Authorising PhD thesis submission, and proposing external experts and possible viva panel members, for the EDUIB to manage the relevant procedures
4. An appeal may be lodged against CAD decisions with the EDUIB Executive Board within five (5) working days following notification of said decision. The Executive Board shall resolve any appeal within ten (10) working days.

Article 15. Tutor

1. Tutors must hold a PhD, have accredited research experience and be contractually linked to the UIB. Tutors' research experience will be accredited by having attained a six-year research period or equivalent merits. In order for tutors to perform their duties, they should ideally be lecturers with sufficient knowledge of UIB regulations, and academic and administrative management
2. The CAD will appoint a tutor for each doctorand upon their admission to the programme, in agreement with the appointed individual
3. Tutors are responsible for ensuring proper communication between doctorands and the CAD, and for monitoring activities undertaken by doctorands
4. The CAD may change appointed PhD tutors at any time, provided there are justified reasons, and having consulted both the doctorand and the tutor to be replaced. The new appointment will take immediate effect and be set out in a new thesis charter signed by all parties involved. Where tutors no longer have a contractual relationship with the UIB, the CAD will be required to appoint a new tutor
5. By accepting their status, tutors undertake to comply with the EDUIB Code of Best Practice.

Article 16. Thesis Supervisor

1. Thesis supervisors must hold a PhD, be Spanish or overseas nationals and in active service, and have accredited research experience, regardless of the university, centre or institution where they are working. Research experience will be accredited by having attained a six-year research period or equivalent merits. With regard to assessing equivalent merits, the CAD will apply the current requirements for the relevant area of knowledge set by the Spanish National Commission for Research Evaluation (CNEAI) at the Spanish

National Agency for Quality Assessment and Accreditation (ANECA) (or equivalent body, as appropriate)

2. Thesis supervisors may not be married to or be in a similar de facto relationship with doctorands, nor be family members (up to fourth-degree relatives), share a professional practice or be associated with doctorands for advisory, representation or management services. In turn, individuals who have a close friendship with or clear animosity towards doctorands, or to whom any of the causes set out in Act 40/2015 of 1st October on the Legal Framework of the Public Sector apply, are disqualified from being tutors
3. The CAD will assign a supervisor or supervisors for doctorands when they are admitted to the programme
4. PhD thesis supervisors and tutors may or may not be the same individual
5. The thesis supervisor is responsible for guiding doctorands in their research activities leading to completion of the PhD thesis, ensuring the coherence and suitability of the training activities, the impact and novelty of the PhD topic in the field, and advising doctorands on the planning and suitability of other projects and activities, where appropriate. Thesis supervisors must monitor students' activities by reviewing the doctorand activities document and preparing the necessary reports for annual assessment within the EDUIB deadlines
6. The CAD may authorise PhD theses be jointly supervised by up to three PhD holders when there are academic reasons, such as thematic interdisciplinarity or programmes run in collaboration with domestic or international institutions or companies. Said authorisation may be revoked at a later date if, in the opinion of the CAD, the joint supervision is not beneficial for the thesis. Joint PhD supervisors must accredit their research experience in the same way as individual supervisors, as set out in Section 1 herein
7. After consulting doctorands, supervisors and tutors, and provided there are justified reasons, the CAD may appoint a different PhD supervisor at any time during the programme. As a general rule, outgoing supervisors will remain in place until a new supervisor is appointed
8. The same researcher may simultaneously supervise or jointly supervise up to six PhD theses at the UIB. In exceptional and justified circumstances, and after the EDUIB has written and submitted the relevant report, the UIB Executive Council may approve a higher limit
9. By accepting their status, supervisors undertake to comply with the EDUIB Code of Best Practice

10. Supervisors shall also undertake to update the information in the EDUIB database for PhD programme verification, accreditation, monitoring or amendment procedures on an annual basis throughout the entire supervision period, or whenever requested to do so. Failure to follow these guidelines may lead to supervisors being deemed ineligible as supervisors for other theses, until the relevant details have been fully updated.

Article 17. Doctorand

1. Doctorands admitted to a PhD programme must enrol annually for PhD academic supervision. With regard to joint programmes, the specific agreement shall determine how enrolment is to be carried out. Where students do not enrol in a given academic year within the set deadline or have not requested temporary withdrawal, they must apply for readmission to the programme before the start of the following academic year. Readmission must be approved by the CAD, where applicable. In turn, students will keep the same academic record/transcript and return in the relevant year for the remaining time on their programme. Readmission will only be granted once. Where students do not apply for readmission before the start of the following academic year or are not readmitted, they will be permanently withdrawn from the programme
2. After enrolling on a PhD programme, doctorands will be subject to the legal and, where applicable, contractual framework arising from specific applicable legislation. In turn, they shall also undertake to comply with the EDUIB Code of Best Practice
3. Once enrolled on the programme, a doctorand activities document will be created for each student. Doctorands formally commit to keep the document updated with a record of all training and research activities undertaken as part of the PhD programme, including: publications in specialised journals; attendance at scientific meetings or conferences; presentation of papers at scientific meetings or conferences; courses, seminars and other training activities; research stays at institutions; awarded contracts, grants or bursaries, and any other information relevant to their PhD training. All this information will be registered on the academic and CV management applications at the UIB. Where applicable, the EDUIB may draft more detailed regulations on doctorand activities documents
4. Doctorands, in collaboration with their supervisor(s) and tutor, must produce a document comprising the research and personal training plans before the end of their first year on the programme, in accordance with the set academic calendar for each year and the template provided by the PhD programme, where applicable. Although the document may be updated and extended

throughout the PhD programme, it must be endorsed by the tutor and supervisor(s), and submitted to the CAD which, where applicable, will approve it. Moreover, the specific provisions below will also apply to doctorands seeking an industrial mention

5. The CAD will assess the research and training plans, the doctorand activities document and the reports issued by the PhD tutor and supervisor(s) on an annual basis. Doctorands must be awarded a positive assessment in order to remain on the programme. Where they receive a duly justified, negative assessment, doctorands must be re-assessed within six (6) months. In the event that they again receive a negative assessment for the same annual period, where they have provided explanations and the CAD has issued a reasoned report, doctorands will be definitively withdrawn from the programme.

Article 18. Thesis Charter

1. The thesis charter must be signed before doctorands' first annual assessment. Otherwise, the CAD will require doctorands' sign it in order for them to pass the annual assessment
2. The document must include a dispute resolution procedure and provide for aspects relating to intellectual or industrial property rights that may arise from PhD programmes.

Article 19. PhDs with a Mention of Excellence or Other Equivalent Mentions

1. In line with its responsibilities, the EDUIB will encourage all UIB PhD programmes seek mentions of excellence (or equivalent) through any calls announced by the relevant ministry for this purpose
2. PhD programmes managed by the EDUIB and awarded a mention of excellence, or equivalent, will be granted special incentives, in accordance with available budgetary and human resources at the UIB. These incentives may include preference in mobility calls financed through UIB funds; greater acknowledgement for the work done by programme coordinators; preference in calls for pre-doctoral contracts financed through UIB funds, or any other recognition and incentive measures that may be implemented at the behest of the UIB Executive Council.

Chapter III. PhD Thesis

Article 20. PhD Theses

1. PhD theses comprise original research work undertaken by doctorands in any field of study. Theses must enable doctorands to work independently in R&D&i. The necessary mechanisms will be put in place to ensure submitted PhD theses contribute to knowledge
2. Theses may be written and, where necessary, defended in the common languages for scientific communication in the relevant field of study
3. PhD theses must include an abstract written in three languages: Catalan, Spanish and English. Where theses are not written in any of these three languages, they must also include an abstract in the language used
4. Theses may be submitted either as a monograph or as a compilation of articles
5. In the case of article-based theses, the thesis must comprise at least three articles, either published or accepted for publication, where doctorands are first author in at least two and second author in the other(s). With regard to disciplines that use an alphabetical or similar order for authors, the CAD will set the criteria for the relevant position and doctorands must match this position in at least three of the articles. The articles must have been published (or accepted for publication) within the period of the doctorands' PhD programme, appear in scientific journals and meet the minimum requirements according to one of the following two criteria:
 - a. The articles must appear in journals on the latest list published by Journal Citation Reports™ (JCR, Clarivate) or SCOPUS (Elsevier), or in the databases listed by the Spanish National Commission for Research Evaluation (CNEAI) for the relevant scientific fields in the knowledge areas on the PhD programme. At least one must be in the first quartile for its category and another in the second quartile. Publications in the arts, humanities, and social and legal sciences may be books or book chapters awarded a quality mark for academic publishing, or be included in Scholarly Publishers Indicators in Humanities and Social Sciences. The relevant Academic Committee for the PhD Programme may add further requirements for their PhD programmes. These requirements must be published on the EDUIB website. Nevertheless, the academic committee may, where it deems it appropriate, disallow publications in certain journals or at publishers with apparent indications of predatory practices. In this sense, these publications will not be counted for an article-based thesis
 - b. The articles must have a quality level in accordance with current ANECA criteria for assessing research periods (six-year research

terms), taking into account the spirit of the San Francisco Declaration on Research Assessment (DORA) and the Coalition for Advancing Research Assessment (CoARA). In this vein, each article must be assessed according to the general assessment scale provided by ANECA (available on the ANECA website) and be awarded a minimum score of 70.

Article 21. PhDs with an International Mention

1. The PhD degree certificate may include the words ‘International Doctorate’ on the front, provided the following conditions are met:
 - a. During the required training period leading to the award of a PhD, doctorands have spent a minimum three-month stay outside Spain, either split into several periods or as a single stay, at a higher education institution or a renowned research centre, taking courses or undertaking research work, with the aim of supplementing or strengthening their training. Where they have undertaken several stays, one must have lasted for at least one (1) month. The stay and activities must be endorsed by the supervisor(s) and authorised by the CAD, and be included in the doctorand activities document. The stay must be accredited in a specific document issued by the host institution and signed by the stay supervisor at the overseas institution
 - b. Part of the PhD thesis, at least the abstract and conclusions, has been written and submitted in one of the common languages used for scientific communication in the relevant area of knowledge, other than any of the official languages of Spain. This rule will not apply where the stays, reports and experts are in/from a Spanish-speaking country
 - c. At least two experts from any non-Spanish higher education institution or research institute have issued a report on the thesis referred to in Article 25 herein. The experts may not be the same individuals who hosted, tutored or supervised doctorands during the international stay(s)
 - d. At least one expert belonging to a non-Spanish higher education institution or research centre holding a PhD—and not the same individual as the supervisor of the stay mentioned in section a) above—has been part of the thesis viva voce panel
2. The thesis viva voce must be held at the same Spanish university where the doctorand is enrolled (in this case, the UIB) or, in the case of joint PhD programmes or theses under international joint supervision, at any of the

participating universities or as per the terms set out in the relevant collaboration agreements

3. The International PhD Mention must be requested at the start of the thesis submission procedure, although it will only be granted where doctorands pass their viva voce and fulfil all the requirements set out herein. The interested party must submit, where applicable, all documents accrediting the circumstances set out in this article. The PhD viva voce panel secretary will be responsible for accrediting the circumstance set out under 1(b) in this article. Doctorands may also apply for the International PhD Mention when requesting their degree certificate
4. The EDUIB will decide on whether to award the International PhD Mention.

Article 22. PhDs with an Industrial Mention

1. The Industrial PhD Mention will be awarded to doctorands pursuing a PhD in collaboration with social and economic institutions, with a view to fostering knowledge collaboration, transfer and exchange between academe and public or private social and economic institutions
2. The PhD certificate may include the words 'Industrial Doctorate' provided the following conditions are met:
 - a. The thesis has focused on an industrial, commercial, social or cultural research project with value for public or private corporations or organisations, or public administrations. Universities, public research bodies (national or regional) and university hospitals are excluded. In exceptional instances, the mention may be obtained in any of the aforementioned institutions, with the exception of universities, provided the thesis comprises predominantly applied content. The direct link between the PhD thesis and the work undertaken by doctorands at the relevant institution or corporation must be formally specified in a scientific and technical report to be approved by the CAD
 - b. An agreement has been signed between the organisation, corporation or public administration and the university with regard to production of the thesis, at least setting out the parties' obligations and possible industrial rights arising from the thesis. The agreement must be signed before the end of doctorands' second year on the programme. Failure to meet this deadline will require the EDUIB to decide on whether the agreement is viable
 - c. Doctorands must have been employed by the organisation, corporation or public administration where the research project was

undertaken for at least one (1) year during the thesis production period. A substantial part of the thesis must have been developed at the organisation, corporation or public administration in question

3. The university will assign a tutor for doctorands and, in turn, the organisation, corporation or public administration will appoint a coordinator, who may also be the thesis supervisor in accordance with the relevant regulations herein. In no way may the coordinator appointed by the organisation, corporation or public administration be a member of the viva voce panel
4. The EDUIB will decide on whether to award the Industrial PhD Mention.

Article 23. International Joint PhD Thesis Supervision

1. In order to promote and facilitate internationalisation on its programmes, the UIB will foster PhD programmes under international joint supervision in accordance with the provisions set out in Article 26.2 in Organic Law 2/2023 of 22nd March on the University System
2. The PhD degree certificate will include the statement 'Thesis jointly supervised with the University U' on the front, provided the following conditions are met:
 - a. The PhD thesis has been supervised by PhD holders from two or more universities, one of which must be the UIB and the others overseas universities. The arrangement must be formally specified in the relevant agreement on joint supervision as set out in this article
 - b. Doctorands are awarded two or more degrees for their PhD thesis, one from each of the higher education institutions responsible for production of the thesis
 - c. During the required PhD training period, doctorands must have spent at least six (6) months carrying out research at each of the institutions participating in the joint supervision agreement, either in a single stay or over several periods. The relevant stays and activities will be included in the joint supervision agreement
3. In order to undertake a PhD thesis under international joint supervision, there must be a specific agreement between the respective institutions: the UIB and one or more overseas universities with the legal capacity to issue PhD degrees in the relevant country
4. The agreement must at least include the following aspects:
 - a. Assignment of the thesis supervisors at each institution

- b. Annual enrolment of doctorands at each institution
 - c. Fee payment at the participating institutions
 - d. Length of the research stay(s) at the partner institutions, which may in no way last for under six (6) months in total, undertaken either in a single stay or over several periods
 - e. Viva panel members
 - f. Provisions on the viva voce (the institutions where the viva voce is held, writing languages, etc.)
 - g. Other provisions set out in the regulations at the signatory universities
5. Negotiations on the joint supervision agreement must begin before the end of doctorand's second year on the programme. Failure to meet this deadline will require the EDUIB to decide on whether the agreement is viable
 6. The EDUIB will decide on the inclusion of the statement 'Thesis jointly supervised with the University U'
 7. Jointly supervised theses may also lead to the PhD being awarded an International PhD Mention where stays are undertaken at institutions different from those involved in the joint supervision agreement, provided the circumstances set out herein for this purpose are met.

Article 24. Start of the PhD Submission Procedure

1. After completing their PhD thesis, doctorands must apply to the CAD for submission authorisation. In order to submit their application, doctorands must have passed all annual assessments (which must, at least, comprise two assessments)
2. The thesis submission application must be accompanied by the following documents:
 - a. A copy of the PhD thesis in electronic format in accordance with the formatting instructions set by the EDUIB. The UIB logo, PhD programme name, thesis title, doctorand name and surname(s), and supervisor(s) and tutor names and surnames must appear on the cover or title page
 - b. A file containing the thesis and all necessary information for publication in the UIB institutional repository, TESEO database (or the relevant equivalent depending on the ministry, and in UIB consortium repository(ies), as per the EDUIB template

- c. A reasoned report written by the supervisor(s) on the content and formal aspects of the thesis, in accordance with the EDUIB template
3. The CAD will be responsible for assessing whether the PhD thesis document submitted by doctorands is at a sufficiently advanced and complete stage, and aligns with the latest version approved by the research plan
4. Where the CAD approves the thesis document, it must submit a list of proposed external experts to review the PhD thesis to the EDUIB, in accordance with the procedure set out in the following article herein
5. Where the CAD does not approve the thesis document submitted by doctorands due to any detected shortcomings, it must write a report setting out the reasons for its decision and indicating the detected errors. Doctorands and supervisors will be notified about the CAD's decision and sent the aforementioned report in order for the necessary improvements to be made to the thesis. The notification will lead to the timeframe on the PhD programme resuming, including the need to pass any relevant annual assessments, in accordance with the set deadlines. In any event, when doctorands re-submit their thesis submission application, they must have resolved all the shortcomings detected by the CAD and submit, alongside the documents set out in Section Two in this article, a further document that responds to each item in the CAD's report.

Article 25. External Expert Reports

1. The EDUIB will request two reports on the thesis be issued by two Spanish or overseas PhD holders not from the UIB or PhD programme who are experts on the thesis topic. These individuals will be selected from a list of five experts proposed by the CAD who meet the requirements set out herein regarding viva voce panel members. The external experts may be members of the thesis viva voce panel. With regard to any International PhD Mention, the provisions in Article 21.1.c) must be fulfilled
2. Where the assessed thesis is article-based, the external experts may not be the same individuals listed as joint authors of the articles included in the thesis. Where the assessed thesis is a monograph yet doctorands have already published articles arising from it (whether published, or accepted or in the process of publication), the external experts may not be any of the individuals listed as joint authors in said publications
3. The external experts will write the reports in accordance with the EDUIB template and may include suggestions for improvement that doctorands

must take into consideration

4. The EDUIB will send the external expert reports to the CAD for review, as well as to doctorands and their supervisor(s). Where appropriate, it will make them available to the viva voce panel
5. Where the external expert reports are positive, doctorands may continue the submission process and submit the final version of the thesis. Where the external expert reports state that the thesis requires improvements, doctorands must make the necessary changes in the new version of the thesis and, moreover, submit a document explaining the changes made and the response to each of the points indicated in the external expert reports. Where any requested change is not made, this decision must be appropriately explained in the response document
6. The CAD will set the deadline for doctorands to submit the new version of their thesis and, where appropriate, the document responding to the external expert reports indicated in the aforementioned point. As a rule, this period shall not exceed three (3) months from receipt of the external expert reports. Nevertheless, in accordance with the extent of the changes proposed by the external experts, the CAD may justifiably extend the deadline period for up to a maximum of six (6) months from the time of receipt of the expert reports
7. Where doctorands fail to submit a new version of the thesis and, where appropriate, the response to the expert reports within the deadline set by the CAD, they will be deemed to have withdrawn their submission application. In this event, the timeframe on the PhD programme will resume, including the need to pass any relevant annual assessments, in accordance with the set deadlines
8. Where the external expert reports are negative, i.e. the thesis submission should reasonably be withdrawn, the CAD will decide on whether the detected shortcomings in the thesis should be corrected or the thesis definitively withdrawn. The CAD will notify doctorands and supervisor(s) about the reasons for its decision in writing. The EDUIB Executive Board must ratify the decision to definitively withdraw doctorands from the programme in order for said withdrawal to become effective
9. Where there are discrepancies between the issued reports, the CAD may ask the EDUIB to request additional reports from different external experts before moving forward with the procedure.

Article 26. Submission Resolution and Viva Voce Authorisation

1. After doctorands have submitted the final version of the thesis within the set deadline and, where applicable, the document responding to the external expert reports, the CAD must authorise, where applicable, the thesis submission and viva voce. The CAD will also take into consideration the external expert reports when making its decision
2. Where the final version of the thesis fails to obtain the CAD's authorisation for final submission and the viva voce, doctorands will be notified about the decision and the corresponding report from the CAD will be attached for any appropriate changes and corrections to be made. In this event, the timeframe on the PhD programme will resume, including the need to pass any relevant annual assessments, in accordance with the set deadlines
3. Where the CAD authorises the thesis submission and viva voce, it will send its decision to the EDUIB alongside all relevant documents (supervisor and external expert reports, and the document responding to the external expert reports). The CAD will submit a proposed viva panel to the EDUIB in accordance with Article 27 herein
4. Once all the documents have been reviewed, the EDUIB will be responsible for ratifying and approving, where applicable, the final thesis submission and viva voce. Where the EDUIB does not ratify the CAD's decision and, therefore, does not authorise the final thesis submission or accept the proposed panel, it will write and submit a reasoned report on its decision to the CAD. The CAD shall proceed in accordance with the EDUIB's report
5. Where the final thesis fails to obtain authorisation for final submission and the viva voce from the EDUIB Executive Board, the CAD, doctorand and supervisor(s) shall be notified about its decision and the corresponding report from the EDUIB Executive Board will be attached for any relevant changes and corrections to be made. In this event, the timeframe on the PhD programme will resume, including the need to pass any relevant annual assessments, in accordance with the set deadlines
6. Where the EDUIB ratifies the final thesis submission, viva voce and proposed viva panel, it will then set a period of ten (10) calendar days for final submission and notify the CAD and doctorands. Non-teaching and holiday periods set out in the UIB academic calendar will not be taken into account for the submission period

7. The EDUIB will notify the university community about the start of the thesis submission procedure and indicate the author, the PhD programme, and the thesis title and supervisor or joint supervisors, where applicable. During the submission period, doctorands may send any comments they deem appropriate on the thesis content to the EDUIB, using the template provided for this purpose
8. Where any observations are received during the thesis submission period which, in accordance with EDUIB criteria, require substantial changes to be made, the thesis will be returned to doctorands so they may make the necessary amendments. In this event, the EDUIB will notify doctorands, supervisor(s) and the CAD about the grounds for its decision in writing, and set a maximum period of six (6) months for doctorands to re-submit their thesis
9. Where no observations are received during the thesis submission period which, in accordance with EDUIB criteria, make it essential for significant changes be made to the thesis, doctorands will have a maximum of three (3) months to sit their viva voce. Nonetheless, and where there are justified grounds, the EDUIB may extend this period for up to six (6) months
10. Where very serious misconduct is detected during development or writing of the PhD thesis, in accordance with the provisions set out in Regulatory Agreement 15418/2024 of 26th March that approves the Regulations on Conduct that Constitutes Academic Fraud and Contravenes the Code of Integrity in Assessment Procedures at the University of the Balearic Islands, doctorands may be permanently withdrawn from the programme, once the CAD has reviewed the relevant evidence. In any event, doctorands will also be subject to current regulations on the disciplinary system for students at the University of the Balearic Islands.

Article 27. PhD Thesis Viva Panel

1. The panel shall comprise three full and three alternate members, who must meet the following requirements:
 - a. Holding a PhD degree
 - b. Having accredited research experience. This must be accredited by means of an updated CV including a list of publications and participation in research projects over the last ten (10) years
 - c. Being active researchers in the relevant field for the thesis topic. This must be accredited in the updated CV set out in the aforementioned point. Active researchers will be deemed to be individuals either with a

current employment contract or civil servant status at a university, higher education institution or renowned research centre; individuals who work at an R&D&i department at a corporation, in a research group at a health centre with an active research programme or at a research institute; or individuals with other circumstances that will be assessed by the CAD and EDUIB. These active researchers must have written scientific or specialised publications, produced patents, been researchers in their specific field on competitive research projects or research contracts with corporations, within the five (5) years preceding their inclusion on the proposed viva panel

2. Retired PhD holders may be viva voce panel members provided they have fulfilled the requirements set out in the previous section during their working life and continue to be active researchers. This status will be accredited where they are listed as such and have assigned research duties at a university or research centre, or have written distinguished scientific articles within the last five (5) years, at the time of their appointment to the panel. Moreover, their latest article must have been published or accepted for publication within the last two (2) years
3. The viva panel will mostly comprise members from outside the UIB, or any of its affiliated centres and joint institutes. With regard to joint PhD programmes, the viva panel will mostly comprise members not from the PhD programme or university where the viva is held
4. In accordance with Section 1 in this article, the viva panel proposal must include updated CVs for all members
5. The CAD will propose the viva panel and appoint the chair, secretary and member (main members and alternates), in accordance with the suitability criteria based on their submitted CVs
6. Thesis supervisors and tutors may not be viva panel members, except in the instances set out in Section 8 in this article
7. Individuals who are married to or in a similar de facto relationship with doctorands or thesis supervisors, are family members (up to fourth-degree relatives), share a professional practice or are associated with doctorands or supervisors for advisory, representation or management services are disqualified from being panel members. In turn, individuals who have a close friendship with or clear animosity towards doctorands or thesis supervisors, or to whom any of the causes set out in Act 40/2015 of 1st October on the Legal Framework of the Public Sector apply, are also disqualified from being panel members. Moreover, where the thesis has led to publications prior to

the viva voce, none of the joint authors may be part of the panel

8. With regard to joint programmes or specific joint supervision agreements, the viva panel members shall be appointed in accordance with what is set out in the relevant agreement (which must include a provision to this effect)
9. The gender balance principle must be ensured when appointing viva panel members, in order to comply with Additional Provision One in Organic Law 3/2007 of 22nd March on Effective Gender Equality. Exceptionally, and subject to a reasoned report from the CAD, a gender balance amongst panel members may not be required due to professional reasons related to the relevant area of research
10. The CAD will submit its proposal to the EDUIB for approval, in accordance with what is set out in Article 26 herein
11. The EDUIB will send copies of the PhD thesis to all viva panel members. The panel will also be provided with the doctorand activities document setting out all training activities undertaken, the external expert reports and the doctorand's response to them, as well as other documents required by the EDUIB. These documents will not be awarded a numerical mark but rather be used as a qualitative assessment tool to supplement the overall assessment of the PhD thesis.

Article 28. PhD Viva Voce

1. The PhD viva voce will be held within the three (3) months following authorisation being awarded for the viva and after being officially announced by the viva panel chair. The panel secretary will notify all panel members, the EDUIB and doctorands about the viva voce date sufficiently in advance
2. In order for the PhD viva voce to be held, three panel members must be in attendance
3. Where doctorands fail to attend their viva voce without justified grounds, this will be recorded in the corresponding minutes and they will be awarded a 'fail' mark
4. Where the viva voce cannot take place due to justified circumstances, the panel chair may set a new date for the viva voce, which must be held as soon as circumstances allow it. The panel secretary will issue a notification with the new viva date
5. The viva voce panel will have the doctorand activities document and other documents set out in Article 27.11 herein at its disposal

6. The PhD thesis will be assessed in a public viva voce comprising a presentation and defence of the research work undertaken by doctorands before the panel members. PhD holders who attend the public viva may ask questions at the time and in the manner indicated by the chair
7. The viva voce will preferably be held at the UIB, except for theses under international joint supervision, in which event the viva will be held in accordance with what is set out in the relevant agreement (which must include a provision to this effect). The EDUIB may exceptionally authorise the viva be held in a different location where circumstances make it advisable to do so
8. The viva voce may also be held online. The EDUIB will ensure the viva runs correctly by adopting any measures it deems appropriate. The protocol set for this purpose by the EDUIB shall apply when implementing this option
9. The viva panel chair will ensure the viva voce runs smoothly.

Article 29. PhD Thesis Assessment

1. The viva voce panel shall issue a report and the overall mark awarded to the thesis, in accordance with the following scale: fail, pass, very good and excellent. In the event of a 'fail' mark, doctorands will be permanently withdrawn from the PhD programme
2. The viva voce panel may propose the thesis be awarded a *cum laude* distinction where the awarded overall mark is 'excellent' and after holding a secret ballot where all panel members unanimously agree. The votes must be counted in a separate session from the viva voce
3. The viva panel will ensure compliance with the provisions herein with regard to the minutes and assessment procedure. In any event, the confidentiality of panel member deliberations shall be guaranteed.

Article 30. PhD Thesis Archiving and Publication

1. After doctorands successfully pass their viva voce, the EDUIB will manage the archiving process for the PhD thesis in open file format in the institutional repository. In turn, it will send a digital copy (as well as any required supplementary information) to the relevant ministry for publication in a national repository managed by the relevant institution at the ministry
2. Where PhD theses contain material that is subject to patenting/protection, or requires an embargo period with regard to open publication for any other reason, the university will establish a suitable procedure for temporary

embargo and ensure it is published in open access at the appropriate time. In any event, the thesis will be published in the UIB Institutional Repository under a *Creative Commons* licence (to be selected from the different available options) and a temporary embargo period running for 12, 24 or 48 months may be established, provided the embargo is duly justified for the requested period. The EDUIB will be responsible for deciding on any requests submitted to restrict publication of the PhD thesis in the UIB Institutional Repository

3. Moreover, in exceptional circumstances such as non-disclosure agreements with businesses, any possible patents regarding the thesis content or any other duly justified reason, and always at the behest of the relevant CAD, the procedure set out in Article 31 herein shall apply.

Article 31. Authorisation, Viva Voce, Assessment and Publication Procedures for PhD Theses Subject to Data or Findings Protection, or which May Be Subject to Technology or Knowledge Transfer

1. The authorisation, viva voce, assessment and publication procedures for PhD theses that may be subject to data or findings protection, or technology or knowledge transfer are set out in the previous articles herein, with the differences specified below
2. After the PhD thesis has been completed, any doctorand wishing to start the review procedure for theses containing information that may be deemed confidential must submit a duly filled-in review application to the EDUIB using the template provided for this purpose
3. The EDUIB management team will resolve said application within 15 days at most. The application will only be accepted where applicants prove confidentiality absolutely essential for successful protection or transfer. The EDUIB will notify doctorands about the agreement and, where accepted, the thesis supervisor(s) and tutor, and the CAD
4. The thesis will then be sent to the CAD. All CAD members must keep the thesis content absolutely confidential and sign the relevant confidentiality undertakings. The EDUIB will retain custody of these documents and doctorands may request a copy thereof
5. The appointed external experts writing a report on the PhD thesis must, before receiving the thesis, sign the relevant confidentiality undertaking
6. The viva voce panel members will be specifically notified about the thesis

being subject to data protection procedures, have access to the full version of the thesis and be obliged to keep its content absolutely confidential. Before receiving the PhD thesis, all panel members shall submit the relevant duly signed confidentiality undertaking to the EDUIB

7. Before the viva voce comes to an end, the panel chair may ask the attending public present to leave the room where they deem panel members are required to ask doctorands any questions concerning confidential aspects in the PhD thesis
8. In any event, where doctorands consider any answers to panel member questions may reveal data or information possibly deemed confidential, they may ask the chair to answer certain questions in the second part of the viva, when the attending public has left the room
9. PhD theses will be published in an open repository, where appropriate, when the data protection period comes to an end. Doctorands must duly notify the UIB about this.

Chapter IV. Processing for Proposed PhD

Programmes

Article 32. PhD Programme Proposals

1. UIB research units may propose PhD programmes
2. The EDUIB, with the UGEP's support, will provide the necessary tools for writing PhD programme proposals.

Article 33. Approval Procedure for Proposed PhD Programmes

1. Research units will submit PhD programme proposals to the UGEP using the templates provided for this purpose. PhD programme proposals must include a proposed CAD, in accordance with what is set out in Article 14 herein
2. The UGEP will forward the relevant documents to the EDUIB, which will report on the proposals in accordance with quality criteria, the UIB's research strategy and financial viability
3. The UGEP will send the submitted proposals and corresponding reports to the UIB Executive Council
4. The Executive Council may approve or reject the submitted proposal or make any recommendations it deems appropriate on any aspect, including the CAD

members

5. In the event of any recommendations, the UGEP will forward them to the EDUIB and research units proposing the PhD programme, which must respond within a maximum of ten (10) days and submit an amended proposal to the UGEP for re-submission to the UIB Executive Council
6. Once the UIB Executive Council has given its final approval to the proposal, the President and Vice Chancellor will formally approve the CAD. With regard to PhD programmes jointly organised with other institutions, the CAD will be appointed as per what is set out in the relevant agreement
7. The CAD will produce the programme syllabus in accordance with current verification regulations for official degree programmes, the provisions herein and the tools provided by the UGEP
8. The UGEP will make the proposed syllabus available to the university community, which will have 15 days to submit any objections or suggestions it deems appropriate to the UGEP. Where no objections or suggestions are received, the proposal shall be deemed accepted
9. At the end of the period for objections or suggestions, the UGEP will forward the proposal and any submitted objections or suggestions to the CAD, which shall produce a reasoned report responding to them within 15 days
10. The proposal, including the submitted objections or suggestions and the report set out in the previous point, will be sent to the EDUIB which, in turn, will issue a final report
11. The final report, alongside all documents generated throughout the procedure, will be submitted to the UIB Executive Council for initial approval, where applicable
12. Once the UIB Executive Council has approved the proposal for the PhD programme, it will send it to the UIB Governing Council for final approval, where applicable
13. Once the UIB Governing Council has approved the PhD programme proposal, and after receiving a required favourable report from the relevant department for higher education at the Government of the Balearic Islands, it will be sent to the relevant ministry responsible for degree programme verification, in accordance with current regulations. Where applicable, the Social Council will be notified and it will be sent to the Universities Council. In turn, it will be sent to the relevant department for higher education at the Government of the Balearic Islands, in accordance with current regulations

14. Once the PhD programme has been verified, it will be sent to the Social Council for implementation approval, where appropriate. Finally, it will be sent to the relevant department for higher education at the Government of the Balearic Islands for authorisation, in accordance with current regulations
15. Once the PhD programme has been authorised by the relevant department for higher education at the Government of the Balearic Islands, it will then be implemented.

Article 34. PhD Programme Amendments

1. PhD programmes may be amended at the request of the CAD which, where necessary, may set up a working group to prepare the amendment proposal
2. In turn, the UIB Executive Council may propose a PhD programme be amended, with a prior EDUIB report
3. The CAD will submit the amendment proposal to the UGEP which will forward it to the EDUIB for approval, where applicable. The proposal must set out the amendment features and scope, using the templates and tools provided by the UGEP, and include the relevant reports and approval, where applicable, from the proposing bodies for the PhD programme
4. Where the proposed amendment is substantial, as per what is set out in Article 32.2 in Royal Decree 822/2021 of 28th September that sets out the Organisation and Quality Assurance Procedure for Higher Education, the UGEP will send the proposed PhD programme amendment out to the university community, which will have ten (10) days to submit any allegations and suggestions it deems appropriate to the UGEP. Where no objections or suggestions are received, the proposal shall be deemed accepted. At the end of the period for objections or suggestions, the UGEP will forward the proposal and any submitted objections or suggestions to the CAD or, where applicable, the working group in charge of drafting the amendment proposal, which shall produce a reasoned report responding to them within 15 days. The PhD programme amendment proposal, including the submitted objections or suggestions and the response report, will be sent to the EDUIB which, in turn, will issue a final report
5. Where the proposed amendment is not substantial, the UGEP will send it to the EDUIB for approval. Once it has been approved, the UGEP shall send the amendment proposal to the relevant body within the internal quality assurance system which, where applicable, will return a favourable report, in accordance with what is set out in Article 30.1 in Royal Decree 822/2021 of 28th September

6. All documents produced in the PhD programme amendment procedure will be submitted to the UIB Executive Council. After reviewing the documents, the UIB Executive Council will, where applicable, approve the PhD programme amendment application and submit it to the UIB Governing Council for final approval. Once approved, the procedures set out in current regulations will apply
7. Where the PhD programme amendment is not authorised, the UIB Executive Council will notify the EDUIB about the relevant reasons
8. After the relevant ministry approves the PhD programme amendment, the implementation procedure will commence.

Article 35. Administrative Appeals

The resolutions and agreements issued by the UIB's governing and representation bodies in the relevant administrative procedures arising from the provisions herein may be challenged in the instances and manner set out in Act 39/2015 of 1st October on the Common Administrative Procedure for Public Administrations.

Chapter V. Extraordinary PhD

Awards Article 36.

Extraordinary PhD Awards

1. The UIB may grant extraordinary awards to PhD theses that are deemed particularly merit-worthy and have received top marks. One extraordinary PhD award per PhD programme may be granted to one of up to ten qualifying PhD theses whose vivas took place within a specified two-year period. In this sense, where ten theses or fewer had vivas within the corresponding two-year period, one extraordinary award may be granted; where vivas were held for between 11 and 20 theses, two awards may be granted, and so forth
 - a. The following conditions must be fulfilled in order to grant the extraordinary award: PhD thesis authors who received the highest possible mark (*cum laude*) whose vivas were held in the relevant two-year period are eligible to apply
 - b. Each CAD will be responsible for setting the merit assessment criteria and requirements it deems appropriate for granting the extraordinary award within the framework of the corresponding PhD programme. These criteria will be published on the specific website for the relevant PhD programme

- c. The EDUIB will organise the corresponding call for applications for the extraordinary PhD awards and require candidates to accredit the requirements and merits set out in the previous point
2. The EDUIB Executive Board will approve the committees responsible for granting PhD awards, after reviewing the suggestions from the relevant academic committees for PhD programmes. A committee will be appointed for each PhD programme
3. Each committee will comprise three members, who must be researchers holding a PhD; work at universities or research institutions other than the UIB; not be CAD members; and have accredited research within the area of knowledge for each PhD programme. The EDUIB will be responsible for providing administrative support and safekeeping all the documents produced by the committees
4. The committees must assess the theses within the academic year following the call for applications and cannot require candidates undertake any specific exercises or tests
5. Committee meetings may be held online
6. The committees may decide not to grant any awards. In no way will unallocated awards be transferred to other PhD programmes or carried over to different academic years
7. The committees will send the EDUIB a reasoned report on the proposed extraordinary awards, in accordance with the template provided for this purpose. The EDUIB will submit the proposals to the UIB Executive Council for approval, where applicable
8. After the UIB Executive Council has approved the proposed extraordinary PhD awards, they will be submitted to the UIB Governing Council for approval, where applicable.

Transitional Provisions

One. PhD Students from Programmes under Former Higher Education Regulations

1. Doctorands who began their programmes before July 2023 will be subject to the regulations governing PhD programmes and the award of PhD degrees in force at the time they started their programme. In any event, the provisions set out herein will apply to the system governing viva panels, viva voces and PhD thesis assessments
2. In any event, doctorands who began their programmes before July 2023 have

up to five (5) years from said date to submit their PhD thesis and sit their viva voce, provided the academic progress and attendance period for the programme has not come to an end. Where said period ends without the viva voce being held, doctorands will be permanently withdrawn from the programme.

Two. Admission for PhD Students from Programmes under Former Higher Education Regulations

In all instances, the CAD will decide on the cross-cutting and specific training activities to be undertaken by doctorands coming from PhD systems governed by different regulations who are admitted to PhD programmes governed by Royal Decree 99/2011 of 28th January, amended by Royal Decree 576/2023 of 4th July.

Additional Provisions

One. Collegiate Body Members

The EDUIB Executive Board is responsible for promoting and ensuring gender balance amongst members on different collegiate bodies, assessment committees and panels who may be appointed within the framework of UIB PhD programmes.

Two. Designations

All designations of governing bodies, representation, posts, duties and members of the academic community, as well as any that appear in this regulation in masculine or feminine, shall be understood as referring without distinction to the individual in question, regardless of gender.

Three. Regulatory Implementation

The UIB Executive Council has the authority to interpret and implement these regulations.

Repealing Provision

Sole. Repeal of Prior Regulations

1. Regulatory Agreement 13084/2019 of 10th April that approves the Regulations Governing the Organisation of PhD Programmes at the University of the Balearic Islands (FOU no. 481 of 17th May) is hereby expressly repealed
2. In turn, all provisions of equal or subordinate level contradicting what is set out herein are likewise repealed.

Final Provision

Sole. Effective Date

These regulations shall come into force on the day following their publication in the *Official Gazette of the University of the Balearic Islands*.

In witness whereof and for the relevant purposes.

Palma, on the date stated in the electronic signature.

President and Vice Chancellor

Jaume Carot

* Where there are any discrepancies between the versions in different languages (Catalan, Spanish and English), the text published in the [Official Gazette of the University of the Balearic Islands](#) will be deemed [the original](#) and prevail over the other versions.