



## **THESIS DEFENSE**

The Ph.D. thesis is the intended outcome of the doctoral training period. Your thesis must give account of your scientific work and meet the quality standards established by the Academic Committee of the program.

You can defend your thesis in any of the languages commonly used for scientific dissemination in the field.

As a general rule, you must have been enrolled on your Ph.D. program for at least 24 months before initiating thesis defense proceedings.

### **I have approval to proceed to the thesis defense. What are the stages of this process?**

Once you get approval for your thesis defense by your tutor, advisor, and Academic Committee, a minimum span of 8 weeks (excluding holiday periods) is usually required to go through the following stages:

1. Plagiarism management
2. Thesis deposit
3. Approval of thesis defense and appointment of Thesis Committee
4. Organization of the defense session
5. Defense session
6. Videodefense

This guide provides further details on each stage.

## 1. PLAGIARISM MANAGEMENT

### What is plagiarism management?

To ensure compliance with the principles established in the Code of Good Practice for Managing Plagiarism of Ph.D. Theses of the Doctoral School, all theses must be subjected to a plagiarism management procedure prior to the authorization of the defense.

Once the Academic Committee of your Ph.D. program determines that your research period is finished and your thesis is ready for deposit, a pdf file of the thesis will be submitted to the Doctoral School.

Both the Doctoral School and the Library Teaching Support Service are in charge of the plagiarism management procedure, the results of which are sent back to the Academic Committee of the program. The Committee will subsequently issue a recommendation report that has to be validated by the Dean of the Doctoral School.

The results of this study will be at the disposal of the members of the Thesis Committee, should they be requested.

## 2. THESIS DEPOSIT

### What is the thesis deposit?

The thesis deposit enables professors and scholars of your field to review your work before the defense. The period of deposit is 15 days (excluding August), after which all comments and observations by the experts will be reported to the Academic Committee and yourself. *Further information*

### What are the documents required to initiate proceedings?

- **Application for authorization of deposit**, approved by your thesis advisor (and/or tutor) and the Academic Committee of the program. Eligibility for “Doctorado Internacional” or “Doctorado Industrial” distinctions must be stated where applicable.
- **Thesis file** in pdf format, with the cover template established by the university. The file must have: text recognition, embedded fonts, no password required for access.
- **Activity report** listing all training activities relevant to your Ph.D. This report will be at the disposal of the members of the Thesis Committee.
- **Informed consent agreement** (two copies) for publication of your thesis on the institutional repository, in accordance with art. 31 and 32 of the Rules and Regulations of the Doctoral School.
- **Technical abstract** in pdf format (2500-3000 words; this abstract can be subsequently registered in TESEO)
- **Non-technical abstract** in pdf format (800-1000 words)
- **Curriculum Vitae** (3 pages or less)
- **TESEO registration report**. You are required to register the details of your thesis on TESEO (the thesis database of Ministerio de Educación) and provide a print copy of the report as proof of registration.

**Industrial Ph.D.** candidates must additionally provide:

- **Report stating the completion of the research project**, signed by the thesis advisor, the supervisor appointed by the company or Public Administration, and the Academic Committee.
- **Updated Working Life Report** (Informe de Vida Laboral). This is to verify that the working contract does not end before the date of defense.

The Doctoral School Office will be in charge of the deposit process, establishing start and end dates and notifying the appointed Department(s) or Institution(s), the Academic Committee, and yourself as the Ph.D. candidate, about any comment submitted by the experts.

### **3. AUTHORIZATION OF THESIS DEFENSE AND APPOINTMENT OF THESIS COMMITTEE**

**My thesis has successfully passed the deposit and plagiarism management processes. What should I do now?**

Once your thesis has successfully passed both stages, the Academic Committee of the program will elaborate their proposal for thesis defense, providing details of the proposed members of the Thesis Committee on the [Authorization of thesis defense and appointment of Thesis Committee](#). Eligibility for “Doctorado Internacional”, “Doctorado Industrial” or International Cotutelle must be indicated, where applicable.

When requirements for these distinctions are met, all supporting documentation will be attached in each case.

This proposal will be submitted for the Dean of the Doctoral School's approval of the thesis defense and the appointment of Thesis Committee members.

#### **Who can be a member of the Thesis Committee?**

The Thesis Committee consists of three members (President, Secretary, and a spokesperson) and a substitute. All of them must hold a Ph.D. degree and a proven track record in research. In all cases, the Committee will be formed by a majority of members external to the University and to the institutions collaborating with the School or the Ph.D. Program.

The following profiles cannot be considered for the Thesis Committee:

- The Ph.D. candidate's tutor or advisor, except in joint degree (cotutelle) instances in which the terms of agreement cover this option.
- The supervisor of the Ph.D. candidate's research visit at the host institution.
- Co-authors of the Ph.D. candidate's publications.

For thesis eligible for the 'Doctorado Internacional' distinction, at least one member of the Committee must be from an institution of higher education or research center outside of Spain, not the student's supervisor at the host institution in any case.

### **Who approves the defense and the appointment of the Thesis Committee?**

The Dean of the Doctoral School authorizes the defense and the appointment of Thesis Committees. The Postgraduate Office will notify you of the date of approval of your thesis defense.

The defense session cannot take place 15 days before or 3 months after the date of authorization.

### **Do I have to pay any fees prior to the defense?**

Yes. The payment of thesis defense fees must be fulfilled before proceeding to it. Additionally, payment of enrollment fees for the academic year in which the defense takes place must be up to date.

## **4. ORGANIZATION OF THE DEFENSE SESSION**

### **How is the defense session organized?**

The thesis is defended in public session in any of the languages commonly used for scientific dissemination in the field.

The President of the Thesis Committee will set the date and venue of the session and notify the rest of Committee members and yourself.

15 working days in advance, the Doctoral School Office will submit a pdf file of the thesis to each member of the Committee.

The Doctoral School Office is in charge of the reservation of the venues and the announcement of the session to all members of the university. The session will ordinarily take place in the Universidad Carlos III de Madrid premises.

## **5. THESIS DEFENSE**

### **How is my thesis assessed?**

After the thesis has been defended, the Thesis Committee will emit their assessment: No Apto (Fail), Aprobado (Pass), Notable (Good) or Sobresaliente (Excellent), which will be registered on the defense report (acta).

Theses with a Sobresaliente grade are eligible for the *cum laude* distinction, in which case the Committee members will subsequently cast their votes via separate secret ballot in closed session. If all votes are favorable, the Committee will submit their proposal to the Rector for the thesis to be awarded the *cum laude* distinction. Additionally, the Committee will cast their vote via separate secret ballot for the thesis to be considered for the [Outstanding Thesis Awards](#) by Universidad Carlos III de Madrid.

### **Who is in charge of the defense documentation?**

The Secretary of the Thesis Committee is responsible for the documentation of the defense proceedings. They will submit the original report of the defense and assessment sessions, including the session concerning the *cum laude* distinction, attaching all relevant documents.

### **How can I apply for my Ph.D. certificate?**

Your application for the official Ph.D. degree certificate, issued by the Ministry of Universities of Spain, is submitted [online](#).

Issuance of your certificate may take a few months months. Until then, you may apply for a temporary certificate as proof of completion of your Ph.D. studies as of the date of your thesis defense.

### **Where is my Ph.D. thesis published?**

Your thesis will be published in [e-archivo](#) (online repository of Universidad Carlos III de Madrid) and [Teseo](#) (Ministerio de Educación thesis datablase). Any partial or temporary restrictions pertaining to the publication of your thesis must be reported to the university.



## **6. VIDEODEFENSE**

### **Can a thesis defense be carried out by videodefense under exceptional circumstances?**

A special instruction has been approved to that effect by the Dean of the Doctoral School. Based on said instruction, the Director of each PhD Program will assess the timeliness and convenience of a videoconference, taking into consideration the position and availability of all parties involved.

### **What are the requirements for a videodefense?**

1. That the members of the Committee have declared their availability to carry out the defense by this means of communication.
2. That the members of the Committee and the doctoral student have stated that they have sufficient technical equipment to participate in the evaluation process.
3. That the members of the Committee have stated that they understand the functioning of the computer application for the secret vote of the possible Cum Laude distinction.
4. That some member of the Committee [or, failing that, a thesis advisor, a tutor, a member of the ACPD or any other member of the program's faculty] has verified the identity of the doctoral student prior to the start of the defense. If this verification of the doctoral student's identity is not carried out by any member of the Committee, whoever performs it must previously declare that they have sufficient means to participate in the videoconference.
5. That the technical person responsible for conducting the videoconference has declared that the secret deliberations of the members of the Committee are guaranteed.

### **How to request a videodefense?**

The PhD candidate can submit their application, which must be signed by the Director of the PhD Program and subsequently authorized by the Dean of the Doctoral School.

### **What is the procedure to follow during the organization of the videodefense?**

The administrative manager of the PhD Program will contact all parties involved in the defense to ensure that they have sufficient technical means and will set an appointment in advance to do some tests.

Then the manager will set a day and time that is convenient for all parties.

The act will be recorded for quality assurance purposes, except for the deliberation, which will take place in a private virtual session. All participants will be informed of this.

Once the act has been finished, the Secretary of the Committee will issue and submit electronically the grade report (acta), the cum laude distinction report, if applicable, and the vote pertaining to the thesis eligibility for the Outstanding Thesis Award. The members of the Committee will be provided with anonymous survey tools for this purpose.

The President of the Committee will announce in open session the result of their evaluation.