



## **REGULATIONS ON THE SUBMISSION OF ARTICLE- BASED THESES**

**Doctoral programme:  
Architectural, Civil and Urban Heritage and  
Refurbishment of Existing Buildings**

**Document approved by the Standing Committee of the Doctoral  
School on 10/10/2023**



## Preamble

Article 10.2 of the UPC's Academic Regulations for Doctoral Studies, which were approved by the Governing Council on 19 July 2016, establishes that the academic committee of each doctoral programme must draw up specific regulations that include specific criteria for the submission of article-based theses. It corresponds to the Standing Committee of the Doctoral School to approve these regulations.

Thus, the Academic Committee of the Doctoral Programme in Architectural, Civil and Urban Heritage and Refurbishment of Existing Buildings, at a meeting held on 15 March 2023, drew up these regulations, which were later ratified by the Standing Committee of the Doctoral School at a meeting held on 10 October 2023.

### 1. Object

These regulations establish the criteria for approving applications to submit an article-based doctoral thesis, which essentially consists of a collection of reputable articles in which the doctoral candidate's participation has been significant.

### 2. Conditions for submitting an article-based thesis

Article-based theses must satisfy the following requirements:

- a. The publications submitted as part of the thesis may not be submitted as an integral part of other doctoral theses.
- b. The publications must be the direct result of the work carried out by the doctoral candidate on the doctoral programme. Any publications stemming from work carried out on the master's degree or from the doctoral candidate's professional activities before enrolling will not be accepted, regardless of the date of publication.
- c. When the submission of an article-based thesis is applied for, the articles must have been published or definitively accepted for publication.

The following conditions must also be met:

- The doctoral candidate must have published at least three scientific articles, two of which must have been definitively accepted for publication, in national or international journals of the highest quality in the field that meet the following conditions:
  - 1) Contributions are subjected to a rigorous peer review process and are present in at least two repositories or databases, such as Web of Science (AHCI or JCR [Q1 or Q2]), Scopus (Q1), Carhus A, CIRC A or the classification of journals with an FECYT quality seal (Q1).
  - 2) Contributions are subjected to a rigorous peer review process and are present in at least two repositories or databases, such as Web of Science (AHCI or JCR [Q3 or Q4]), Scopus (Q2 or Q3), Carhus B, CIRC B or the classification of journals with an FECYT quality seal (Q2).
- The third publication may be classed in the third quartile or be published in a journal that has a good level of quality in its field and a rigorous review process.

The doctoral candidate must be the first author of at least two of the articles.

Patents, which are legal and not scientific documents and may be written by persons other than the inventors, may not be included in the collection.

### **3. Applications**

The doctoral candidate must submit a reasoned application, the entry of which will be registered, to the academic committee of the doctoral programme and provide the following information:

- a. List of articles, including the authors, title, publication details (journal, pages, year), field, quartile, impact factor and, if it has been published, number of citations.
- b. Authorisation of the thesis supervisor for the submission of an article-based thesis. In addition, they must provide:
- c. Justification of the affinity of the journals and the contribution of the doctoral candidate if there are co-authors who are not the doctoral candidate or the supervisors.
- d. Written authorisation of the co-authors of the publications for the doctoral candidate to submit them as part of an article-based thesis if there are co-authors who are not the doctoral candidate or the supervisors.
- e. A waiver by co-authors who are not doctorate holders of the right to submit the works as part of another doctoral thesis.

### **4. Review and resolution**

The academic committee of the doctoral programme shall meet to assess the appropriateness of submitting an article-based thesis. A favourable resolution may apply to all of the articles submitted or only some of them, if necessary. In this case, it must be indicated which articles may be included in the collection. If the ruling is unfavourable, the academic committee issues a resolution justifying its decision.

The academic committee may delegate checking the facts and authorising the application, if appropriate, to the programme coordinator, and indicate which articles may be included in the collection. It may also appoint a member of the academic committee or an external reviewer who is an expert on the subject to judge the suitability of the application whenever it feels this is advisable.

The resolution is communicated to the doctoral candidate in writing within 10 working days from the date of the application.

### **5. Content of the thesis**

The thesis must include the following:

- a. Cover featuring the title, the name of the author, the name of the supervisors and, in a clearly visible place, the phrase "Article-based thesis".
- b. Abstract in English and Spanish or Catalan.
- c. Table of contents.
- d. Introduction discussing the state of the art and the thematic unity of the thesis.
- e. Discussion of the results and conclusions.



- f. Full text of the postprints of the articles in the collection or of the versions accepted for publication, if any of the articles have not yet been published when the thesis is deposited.
- g. Optionally, an appendix consisting of copies of articles that are not part of the collection or that were submitted for publication but were not accepted, if these articles make the thesis easier to understand. Under no circumstances will these articles be considered an integral part of the collection when the Standing Committee assesses its appropriateness.

## **6. Thesis deposit**

The thesis must be deposited in accordance with the standard procedure outlined in the Academic Regulations for Doctoral Studies. The administrative unit will add the resolution of the academic committee that is authorising the submission of the article-based thesis to the academic record and will be responsible for its safekeeping, and it will inform the Doctoral School.

## **7. First additional provision: interpretation and deployment of the regulations**

It corresponds to the academic committee of the doctoral programme to apply these regulations and to update them in view of the Academic Regulations for Doctoral Studies and/or on the proposal of the Standing Committee.

## **8. Second additional provision: composition of the committee**

Co-authors may under no circumstances be part of the examination committee.

## **9. Final provision: entry into force**

These regulations enter into force the day after their approval by the Standing Committee of the Doctoral School.