



**REGULATIONS ON THE SUBMISSION OF ARTICLE-BASED THESES
AT THE UPC, THE UPCT, THE UOC AND THE UPM**

**Interuniversity doctoral programme in Business Administration and
Management**

Document approved by the Standing Committee of the Doctoral School on
05/06/2024 **Decision CP.ED/2024/05/02**



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.

The Academic Committee of the Interuniversity Doctoral Programme in Business Administration and Management of the UPC, the UPCT, the UOC and the UPM drew up specific regulations. These regulations were approved by the Standing Committee of the Doctoral School at a meeting on 17 May 2024.

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. Publications submitted as part of the thesis may not be submitted again as 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.

They must also meet the following conditions:

- d. The collection must be composed of at least three contributions published or accepted for publication by benchmark publications in the field of Business Administration and Management, in accordance with the criteria below.
 - a. Articles indexed in one of the following: JCR (Journal Citation Reports of the Web of Knowledge) or SJR (SCImago Journal and Country Rank).
 - b. Books and book chapters published by reputable scientific publishing houses.
- e. The collection must contain at least one article that has been accepted for publication or published in a JCR-indexed or an SJR-indexed journal.
- f. The doctoral candidate must be the first author of at least one of the articles submitted.
- g. All of the articles must present a result or contribution of the doctoral thesis.



- h. The articles must be connected and form a consistent collection that is a sufficient contribution for a doctoral thesis and demonstrates that the objectives in the research plan have been met. (If all of the objectives have not been met, a justification for this must be attached to the application.)
- i. In addition to the introduction and conclusions, the collection must be accompanied by a document in which the bibliography on the topic object of study is comprehensively reviewed and analysed (unless one of the articles already includes this).

Given that patents are legal and not scientific in nature and that the final draft may not have been written by the inventors, they must not be included in the monograph or collection.

3. Applications

The doctoral candidate must submit to the academic committee of the doctoral programme a duly substantiated application, which must include the following information:

- a. A list of the articles with authors, titles, publication dates (journal, pages, year), field, quartile, impact factor and, if they have been published, number of citations.
- b. Authorisation of the thesis supervisor for the submission of an article-based thesis.
- c. Justification of the contribution of the doctoral candidate to each article.
- 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 thesis supervisor.
- e. If there are co-authors who are not the doctoral candidate or the thesis supervisor, 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, the resolution states which articles may be included in the collection. If the ruling is unfavourable, the academic committee of the doctoral programme will issue a resolution justifying its decision.

The academic committee of the doctoral programme may, if necessary, delegate checking the facts and authorising the application to the programme coordinator and indicate which articles may be included in the collection. If necessary, a member of the academic committee of the doctoral programme or an external reviewer who is an expert on the subject may be appointed to assess whether the submission of an article-based thesis is appropriate.

The resolution must be communicated to the doctoral candidate in writing within one month from the date of submission.

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 Catalan or Spanish.
- 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 articles in the collection or of the versions accepted for publication, if any of the articles have not been published when the thesis is submitted.
- g. Optionally, copies of articles that are not part of the collection or that have been submitted for publication but have not yet been accepted may be added as an appendix if they make the thesis easier to understand. Under no circumstances will these articles be considered an integral part of the collection to assess its appropriateness.

6. Thesis deposit

Doctoral theses must be deposited following the standard procedure established in the doctoral programme's regulations. 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 inform the Doctoral School.

7. First additional provision: interpretation and regulations

The academic committee of the doctoral programme has the authority to apply these regulations and to update them in accordance with the current 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.