

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

**Doctoral programme:
Urban and Architectural Management and Valuation**

**Document approved by the Standing Committee of the Doctoral
School on 19/07/2019 (Decision no. 2 CP2019/7/19)**

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 Urban and Architectural Management and Valuation of the UPC approved these regulations at a meeting held on 25 March 2019. The regulations were ratified and approved by the Standing Committee of the Doctoral School at a meeting on 19 July 2019.

1. Object

These regulations establish the criteria to be considered to decide on applications to submit a doctoral thesis, within the framework of the doctoral degree in Urban and Architectural Management and Valuation, of the article-based thesis type, consisting of a series of publications of recognised prestige in which the doctoral candidate concerned has significantly participated as first author or co-author.

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 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.
- c. When the submission of an article-based thesis is applied for, the articles must have been published or definitively accepted for publication. The latter must be evidenced by the submission of the final acceptance letter from the relevant publisher.

They must also meet the following conditions:

- d. The article-based thesis must be made up of a minimum of three publications (accepted or published) in leading serial publications (journals or conference proceedings) in the field of architecture, urbanism, planning, urban geography or another field directly related to one of the five lines of research of the doctoral programme. Books or chapters of books (not more than one of the three publications) from publishers of recognised prestige, which have also been subject to evaluation and are included in officially recognised quality indices, may also be accepted.
- e. At least two of the publications must be articles in journals or serial publications in conference proceedings that have an impact index in the Web of Science Journal Citation Reports (JCR, published by Clarivate) or the SCImago Journal and Country Rank (SJR), based on SCOPUS data. Publications indexed in the Web of Science Arts and Humanities Citation Index will also be accepted.
- f. If one of the publications submitted as part of the article-based thesis has been published or accepted by the journal *Architecture, City & Environment* (ACE, published by the research group supporting the doctoral programme), the other two publications submitted to fulfil the minimum requirement must be from other publications.
- g. A point system will be used to assess the articles submitted. In all cases, the number of points awarded will be determined by the position of the publication in the field of architecture, based on its impact factor.
- h. If a publication is not indexed in the field of architecture, the equivalent quartile in this field will be determined through a process of homogenisation. To determine the quartile in the field of architecture, the quartile in which publications with the same impact factor in the field of architecture

appear in the relevant index will be considered.

- i. The collection of publications that make up the article-based thesis must score a minimum of 8 points.
- j. Points for each publication are awarded as follows:
 - Articles in journals in the top decile (in either of the two recognised indexes, JCR or SJR): 5 points
 - Articles in Q1 journals (in either index): 4 points
 - Articles in Q2 journals (in either index): 3 points
 - Articles in Q3 or Q4 journals (in either index): 2 points
 - Articles in journals deemed “notable” by the UPC: 1 point
 - In the case of serial conference proceedings (indexed according to the criteria indicated above), points will be awarded based on the impact index of the publication, homogenised according to the ranking of the respective index in the field of architecture. The quartile of the publication will be deemed to be that of journals with the same impact factor as the publication in question.
 - Articles indexed in the Web of Science Arts and Humanities Citation Index, which do not have an impact factor, will be deemed equivalent to quartile 3 or 4.
 - In the case of books or articles in books, the academic committee of the doctoral programme will determine the relevant quartile according to the criteria used by the Spanish National Commission for Research Evaluation (CNAI) to evaluate six-year periods of research.
- k. The doctoral candidate must be the first author of at least one of the articles submitted.
- l. All publications must present some result or direct contribution of the work carried out as part of the doctoral thesis.
- m. The publications that make up an article-based thesis must form a coherent and related thematic collection that represents a sufficient contribution for a doctoral thesis and demonstrates basic achievement of the objectives set out in the doctoral candidate's research plan.
- n. In addition, an article-based thesis must include a general introduction (which should summarise the general state of the art), conclusions and a bibliography (with a complete literature review and bibliography of the topic under study), unless this is already included in one of the publications.

3. Applications

The doctoral candidate must submit to the academic committee of the doctoral programme a duly substantiated application (in the official format required by the UPC) to submit their article-based thesis. Applications must include the following information:

- a. A list of the articles with authors, titles, publication dates (journal volume/year, issue, pages, etc.); field; impact factor; quartile in the field of architecture (or homogenised quartile ranking, if applicable); and number of citations, if one or more of the articles included have been published and cited.
- b. Authorisation of the thesis supervisor for the submission of an article-based thesis.
- c. Justification of the doctoral candidate's contribution to each article, if not explicitly stated in the articles.
- d. If there are co-authors other than the doctoral candidate and the supervisor, written permission from the co-authors of each publication for the doctoral candidate to submit the publication in question as part of an article-based thesis. If any of the persons listed as co-authors have a purely technical profile (e.g. administrative and service staff not working on a doctoral thesis) and their contribution was limited to the material application of the methodology used in the preparation of the publication, their permission will not be required.
- e. If there are co-authors who are not PhD holders, a declaration by these co-authors (doctoral candidates in any doctoral programme) that they will not submit the publication in question as part of another doctoral thesis.
- f. In an appendix, a description of the contributions of the other authors to each article, if this is not explicitly stated in the respective publications.

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, as long as the minimum conditions are met. In this case, the works that may be included in the collection will be indicated. If the ruling is unfavourable, the academic committee will issue a resolution justifying its decision.

The academic committee 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.

A written decision will be communicated to the doctoral candidate within a maximum period of 15 days from the date of the meeting of the academic committee of the doctoral programme, immediately following receipt of the application submitted by the candidate.

5. Content of the thesis

The thesis must include the following:

- o. Cover featuring the title, author, supervisors, doctoral programme and, in a clearly visible place, the phrase "Article-based thesis".
- p. Abstract in English and Spanish or Catalan.
- q. Table of contents
- r. Introduction discussing the state of the art and the thematic unity of the thesis.
- s. 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. The doctoral candidate is responsible for submitting the correct version of the publication (final draft, final preprint, etc.), while strictly respecting the rights restrictions of the journals in which the publications that form part of the article-based thesis have been published or accepted for publication.
- t. Discussion of the results and conclusions.
- u. Complete bibliography.
- v. Optionally, copies of articles that are not part of the collection or that were submitted for publication but were not 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 when the Standing Committee assesses its appropriateness.

6. Thesis deposit

Doctoral theses must be deposited following the standard procedure established in the current regulations for doctoral studies at the Universitat Politècnica de Catalunya.

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 programme has the authority to apply these regulations and to update them in accordance with the current academic regulations for doctoral studies.

8. Second additional provision: external assessment

Under no circumstances may the persons who are co-authors of the publications included in the thesis act as external assessors to issue an assessment report on the thesis.

9. Third additional provision: composition of the committee

Under no circumstances may the co-authors be part of the examination committee.

10. Final provision: entry into force

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