



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

**Doctoral programme:  
Materials Science and Technology**

- **Document approved by the Standing Committee of the Doctoral School on 15/12/2022. Agreement CP.ED/2022/08/03**

**Previous versions:  
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## 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 UPC's doctoral programme in Materials Science and Engineering, at a meeting held on 25 November 2022, where November 24<sup>th</sup> 2016 regulations were modified, and approved by the Standing Committee of the Doctoral School on December 15<sup>th</sup> 2022 (CP/2022/08).

### 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

Doctoral candidates wishing to submit an article-based thesis 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. 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.
- d. The candidate must have published at least three articles in indexed journals in the first or second quartile (Q1 o Q2) in areas that are the subject area of the thesis, for which the doctoral candidate must be the first or corresponding author.  
To determine which journals are considered indexed and their quartile ranking, the Journal Citation Reports (JCR) or, alternatively, the Scimago Journal & Country Rank (SJR) will be used.
- e. Because they are legal and not scientific documents, patents, which may be written by persons other than the inventors, may not be included in the collection.

Only articles with a DOI will be taken into account.

### 3. Application

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. A list of the articles, including the authors, title, publication details (journal, pages, year), area, 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. Written authorisation of the co-authors of the articles for their submission as part of an article-based thesis if there are co-authors other than the doctoral candidate and the thesis supervisor(s).
- d. If there are co-authors other than the doctoral candidate and the thesis supervisor(s), a waiver by the co-authors who are not doctorate holders of the right to submit them 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 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 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 shall be communicated to the doctoral candidate in writing within 10 teaching days from the date of submission.

### 5. Content of the thesis

The thesis must include the following:

- a. Cover featuring the title, author, 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. An 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 been published when the thesis is submitted. The journals' copyright rules must always be respected.
- g. Optionally, articles presented orally at conferences and 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

shall these articles be considered an integral part of the collection whose appropriateness must be assessed by the Standing Committee.

## **6. Thesis submission**

The thesis must be submitted 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 inform the Doctoral School.

## **7. First additional provision: interpretation and regulations**

It corresponds to the academic committee of the doctoral programme to apply these regulations and to update this agreement 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**

The academic committee of the doctoral programme must ensure that the exceptional participation of co-authors of articles in the article-based thesis in the examination committee is fully justified.

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

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