

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

**Doctoral programme:  
Bioinformatics**

- **Document approved by the Standing Committee of the Doctoral School on 20/06/2022. Agreement CP.ED/2022/05/06**

## 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 Bioinformatics of the UPC drew up these regulations, which were approved by the same committee at a meeting on 23 April 2021 and ratified by the Standing Committee of the Doctoral School at a meeting on 20 June 2022.

### 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:

1. Publications submitted as part of the thesis may not be submitted again as an integral part of other doctoral theses.
2. 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.
3. When the submission of an article-based thesis is applied for, the articles must have been published or definitively accepted for publication.
4. The doctoral candidate must be the first author or be able to demonstrate that they are the principal author of a sufficiently significant part of the work.
5. The doctoral candidate must have published at least three articles that meet the aforementioned requirements, two of which must have been published in *JCR*-indexed journals and classed in the first or second quartile in their field.

In any event, the final decision on whether it is appropriate to submit an article-based thesis is made by the Academic Committee of the Doctoral Programme in Bioinformatics.

### 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:

1. 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.
2. Authorisation of the thesis supervisor for the submission of an article-based thesis.
3. A justification of the contribution of the doctoral candidate to each of the articles in the collection.
4. 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).
5. A waiver by co-authors who are not doctorate holders of the right to submit the articles as part of another doctoral thesis, if there are co-authors other than the doctoral candidate and the thesis supervisor(s).

#### **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, if necessary, only some of them. In this case, the works that may be included in the collection will be indicated. If the ruling is unfavourable, the academic committee shall 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 must 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:

1. Cover featuring the title, author, supervisors and, in a clearly visible place, the phrase "Article-based thesis".
2. Abstract in English and Catalan or Spanish.
3. Table of contents.
4. Introduction at least 30 pages in length discussing the state of the art and the thematic unity of the thesis.
5. Discussion of the results and conclusions.
6. 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.
7. 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 whose appropriateness must be assessed by the academic committee.

## **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 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 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**

Under no circumstances will the co-authors 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.