REGULATIONS FOR PRESENTING THE DOCTORAL THESIS AS A
COMPENDIUM OF PUBLICATIONS

PhD Program in Photonics

Document approved by the Doctoral School Permanent Commission on
04/05/2023.
Preamble.

Article 10.2 of the UPC academic regulations for doctoral studies approved by the UPC Governing Council on 07/19/2016, establishes that the Academic Commission of each doctoral program must draw up specific regulations concerning the criteria for the presentation of theses as a compendium of publications. It is up to the Permanent Commission of the Doctoral School to approve these regulations.

Consequently, the Academic Commissions of the UPC Doctorate Program in Photonics, held at ICFO -The Institute of Photonics Sciences, have drawn up the current Regulations, subsequently approved by the same Commission and ratified by the Permanent Commission of the Doctorate School in session of May 4th, 2023.

1. Object.

These regulations establish the criteria to resolve a request to present a doctoral thesis in the format of a compendium of publications, which consists, fundamentally, of a set of publications of recognized prestige in which the doctoral student has had a relevant participation.

A doctoral thesis in this format will only be approved in exceptional circumstances when, for well-justified reasons.

2. Requirements for submitting a thesis as a compendium of publications.

Theses submitted in this modality must meet the following requirements:

a. The publications that are presented as part of the thesis cannot be presented as an integral part of other doctoral theses.

b. The publications must be a direct consequence of the work carried out within the doctoral program. Those publications that are the result of the work carried out during the master's degree or professional activities of the doctoral student prior to enrolment, regardless of the date of publication, are excluded.

c. At the time of requesting the presentation of the thesis in this format, the works must be published or have been definitively accepted for publication.

d. Have at least 3 publications in journals indexed in Journal Citation Reports in the first quartile where the PhD student appears as the first author of the work or as equal contributor. The Academic Commission may accept publications in other journals, however these will be evaluated on a on a case by cases basis to assess the quality and reputation of the journal.

Patents, being a document of a legal and non-scientific nature, the final wording of which does not need to be made by the inventors, cannot be included in the compendium.
3. Applications.

The doctoral student must submit a request with justification to the Academic Commission through the ICFO academic affairs office, providing the following information:

a. List of articles, indicating authors, title, publication data (journal, pages, year), quartile and, if published, the number of citations.

b. Authorization of the thesis director for the submission of the thesis as a compendium of publications.

c. Statements by the thesis director of the doctoral student’s contribution for each of the publications that form part of the compendium.

d. In the event that there are co-authors other than the doctoral student and director(s), the written authorization of the co-authors giving permission to submit the article as a part of a thesis as a compendium of publications will be required.

e. In the event that there are other PhD students as co-authors, the written resignation by these students to use the article as part of another doctoral thesis as a compendium of publications will be required.

4. Assessment and Resolution.

The Academic Commission delegates to the program coordinator the verification of the veracity of the data and the acceptance of the application, if appropriate, indicating the works that can be included in the compendium. They may also designate a member of the Academic Commission to assess the suitability of the application or convene a meeting of the Academic Commission in cases that are difficult to assess. In the event that the application is denied, the Academic Commission will issue a resolution giving reasons for its decision.

The written resolution will be communicated to the student within 10 working days from its presentation.

5. Preparation of the manuscript.

The manuscript must include the following sections:

a. Cover with the title, author, directors and in a visible place the sentence "Thesis by compendium of publications".

b. A list of the publications that the student has contributed to during their PhD, with a brief description of the doctoral student’s contribution to each of those publications.

c. Thesis abstract (maximum 4,000 characters) in English and another in Catalan (a Spanish version may also be added as an extra), according to the standard format established by the UPC Doctoral School.

d. Index

e. An introduction discussing the state of the art, giving context for the publications included, a justification of the thematic unity of the thesis, and a discussion of the conclusions, implications and/or next steps provisioned for the work presented. The recommended minimum for the introduction is 10 pages.
f. Copy of the complete article postprints, including all supplementary information, that are part of the compendium; or of the version accepted for publication, in case the article has not yet been published at the time of the thesis submission.

g. Optionally, an appendix including copies of articles that are not part of the compendium, or articles sent and not accepted. This is of particular interest if the articles help to better understand the thesis work. In no case can these articles be considered by the Academic Commission as an integral part of the compendium to assess its suitability.

h. Optionally, an appendix including any materials and methods relevant to the thesis, which are however not described in the articles.

6. Thesis deposit.

The thesis deposit will be carried out following the standard procedure established in the regulations for doctoral studies. The management unit will attach and keep in the academic file the resolution of the Academic Commision authorizing the presentation of the thesis as a compendium of publications and will inform the Doctorate School.

7. First additional provision: Interpretation and development of the present regulations.

The Academic Committee of the program has the power to apply the present regulations as well as to update them in accordance with the academic regulations for doctoral studies in force and/or at the proposal of the Permanent Commission.

8. Second additional provision: Composition of the thesis defence panel.

The composition of the panel must comply with the same regulations as the conventional theses, which has been approved by AQU in the verification and accreditation processes of the Program, with special attention to ensure that under no circumstances can co-authors be part of the thesis defence panel.


This regulation enters into force the day after its approval by the Permanent Commission.