



REGULATIONS ON THE SUBMISSION OF ARTICLE-BASED THESES

**Doctoral programme:
Photonics**

Document approved by the Standing Committee of the Doctoral School on
04/05/2023

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 Photonics, which meets at the Institute of Photonic Sciences (ICFO), drew up these regulations, which were later approved by the same committee and ratified by the Standing Committee of the Doctoral School at a meeting held on 4 May 2023.

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.

Article-based theses are only approved exceptionally and for justified reasons.

2. Conditions for submitting an article-based thesis

Article-based theses must meet the following requirements:

- a. The publications submitted as part of the thesis may not be submitted 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 the doctoral candidate's professional activities prior to enrolment will be excluded, 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 collection of articles must consist of at least three publications in JCR-indexed journals in the first quartile of which the doctoral candidate must be the first author or an equal contributor. The academic committee may accept publications in other journals, but it will evaluate them and the journals' quality and reputation on a case-by-case basis.

Patents, which are legal and not scientific documents and may be written by persons other than the inventors, may not be included in the collection.

3. Applications

The doctoral candidate must submit a reasoned application to the academic committee through the ICFO's Academic Affairs office and provide the following information:



- a. List of articles, including the authors, title, publication details (journal, pages, year), quartile and, if it has been published, number of citations.
- b. Authorisation of the thesis supervisor for the submission of an article-based thesis.
- c. Statements by the thesis supervisor on the doctoral candidate's contribution to each of the publications that are part of the article-based thesis.
- d. If there are co-authors who are not the doctoral candidate or the supervisor(s), written authorisation of the co-authors for the doctoral candidate to submit the article as part of an article-based thesis.
- e. If other doctoral students are co-authors, a written waiver by these students of the right to use the article as part of another article-based doctoral thesis.

4. Review and resolution

The academic committee may delegate checking the facts and authorising the application, if appropriate, to the programme coordinator, and indicate which articles may be included in the collection. It may also appoint a member of the academic committee or convene a meeting of the academic committee to judge the suitability of the application in cases that are difficult to assess. If the application is rejected, the academic committee issues a resolution justifying its decision.

The resolution is communicated to the doctoral candidate in writing within 10 teaching days from the date of the application.

5. Preparation of the manuscript

The manuscript must include the following sections:

- a. Cover featuring the title, the name of the author, the names of the supervisors and, in a clearly visible place, the phrase "Article-based thesis".
- b. List of the publications to which the doctoral candidate has contributed, including a brief description of their contribution to each of them.
- c. Abstract in English and Catalan (a version in Spanish may also be added) of a maximum of 4,000 characters, in the standard format established by the Doctoral School of the UPC.
- d. Table of contents.
- e. Introduction discussing the state of the art and the context of the publications included, the justification of the thematic unity of the thesis and the conclusions, implications and further research foreseen. The minimum recommended length of the introduction is 10 pages.
- f. Copy of the full text of the postprints of the articles, including all the supplementary information, that are part of the collection or of the versions accepted for publication if the articles have not yet been published when the thesis is submitted.
- g. Optionally, an appendix consisting of copies of articles that are not part of the collection or that were submitted for publication but were not accepted. This is especially relevant if the articles 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.

- h. Optionally, an appendix consisting of materials and methods that are relevant to but not described in the thesis.

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 deployment of the 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 examination committee

The composition of the examination committee is subject to the same regulations as for standard theses, which are approved by AQU in the programme's ex ante evaluation and accreditation processes, with an emphasis on ensuring that the co-authors are under no circumstances 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.