



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

**Doctoral programme: Environmental Engineering**

- **Document approved by the Standing Committee of the Doctoral School on 12/01/2017.**

## 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 Environmental Engineering, at a meeting held on 19 December 2016, drew up these regulations, which were approved by the Standing Committee of the Doctoral School on 12 January 2017.

### 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 three articles or to have had them accepted for publication in journals in the first or second quartile in the area of specialisation and referenced in the most recent list published in the JCR or Scopus. The thesis supervisor(s) must establish that the main parts and most of the articles stem from the work of the doctoral candidate.
- e. The doctoral candidate must be the first author of at least one of the articles published or accepted for publication that are part of the doctoral thesis.
- f. The doctoral candidate and the thesis supervisor(s) must preferably be the only co-authors of the articles submitted. If there are other co-authors who are not the doctoral candidate or the thesis supervisor(s), they must provide a declaration that describes their contribution. The thesis supervisor(s) must also provide a declaration that demonstrates that the contribution of these other co-authors is not fundamental to the approach, development and results presented.

Additionally, articles that do not meet these conditions (doctoral candidate as the first author, more co-authors, other types of publications such as books, book chapters or conference papers) provided that the minimum criteria in points d), e) and f) are respected and the thesis supervisor(s) attests to the decisive intervention of the doctoral candidate in these additional publications.

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.

### **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(s) for the submission of an article-based thesis.
- c. A justification of the affinity of the journals and the contribution of the doctoral candidate if there are co-authors other than the candidate and the thesis supervisor(s).
- d. A document of up to 10 pages justifying the connection and overall approach of the articles submitted and the relationship between the results obtained, and general conclusions that summarise the thesis.
- e. 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).
- f. 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.

The resolution shall be communicated to the doctoral candidate in writing within 15 days from the date of submission.

## 5. Content of the thesis

The thesis must include the following:

- a. Cover featuring the title, author, supervisor(s), doctoral programme and, in a clearly visible place, the phrase "Article-based thesis", in addition to references to the Doctoral School and the UPC.
- b. Abstract in English and Spanish or Catalan.
- c. Table of contents.
- d. An introduction 10 to 20 pages in length discussing the state of the art, the objectives and the thematic unity of the thesis.
- e. Description and discussion of the results and conclusions.
- f. Full text of the articles in the collection.
- g. Optionally, 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 academic 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. Final provision: entry into force

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