



REGULATIONS ON THE SUBMISSION OF ARTICLE- BASED THESES

**Doctoral programme:
Optical 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 Optical Engineering, at a meeting held on 13 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 carried out before the candidate enrolled in the doctoral degree will not be accepted.
- c. When the submission of an article-based thesis is applied for, the articles must have been published or definitively accepted for publication.

They must also meet at least one of the following conditions:

- d. The candidate must have published two articles in JCR-indexed journals in the first or second quartile in areas related to the doctoral programme in Optical Engineering: Optics, Physics, Instrumentation, Optometry, Ophthalmology, Surgery, Psychology, Engineering, Image Sciences, Materials Science and other areas related to the subject of the thesis, authored exclusively by the doctoral candidate and the thesis supervisor(s). Alternatively, one of the articles may be replaced by two articles published in Q3 or Q4 or by a book chapter.
- e. The candidate must have published at least three articles in JCR-indexed journals in the areas related to the doctoral programme in Optical Engineering: Optics, Physics, Instrumentation, Optometry, Ophthalmology, Surgery, Engineering, Image Sciences, Materials Science and other areas related to the subject of the thesis, for which there are several co-authors. Alternatively, articles submitted to the conferences listed in the appendix may be considered in place of JCR-indexed articles, so that two articles submitted to the conferences listed will be equivalent to one JCR-indexed article if there are at least two JCR-indexed articles.

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 for the submission of an article-based thesis.
- c. A justification of the contribution of the doctoral candidate to the article and, if the article has not been published in the fields in Section 2, of the affinity of the journals and conferences.
- d. 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).
- e. 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 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 at least XX pages in length 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.
- 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 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

Under no circumstances shall the co-authors be part of the examination committee.

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.

APPENDIX: List of international conferences and that have referees that are most relevant to the subject area of the doctoral programme in Optical Engineering (including subconferences and organising committees)

Optical Society of American (OSA): www.osa.org/

- ✓ OSA Optical Design and Fabrication Congress
 - International Optical Design Conference
 - Optical Fabrication and Testing
 - Freeform Optics

European Optical Society (EOS): <http://www.myeos.org/>

- ✓ EOS Conferences at the World of Photonics Congress
 - Optical Technologies
 - EOS Conference on Manufacturing of Optical Systems
 - EOS Conference on Optofluidics
 - EOS Conference on Light Engineering
 - EOS Conference on Optomechanical Engineering

- ✓ EOS Topical Meeting: European Meeting in Visual and Physiological Optics
International Society for Optics and Photonics (SPIE Optical Society): <https://spie.org/>
- ✓ SPIE Photonics Europe
- ✓ SPIE Photonics West
 - SPIE BIOS
 - SPIE OPTO
 - SPIE LASE
 - SPIE Applications of 3D Printing
- ✓ SPIE Optics + Optoelectronics
- ✓ SPIE Optical Metrology
- ✓ SPIE Optifab
- ✓ SPIE Astronomical Telescopes + Instrumentation
- ✓ SPIE Optics + Photonics
 - SPIE Nanoscience + Engineering
 - SPIE Optical Engineering + Applications
 - SPIE Organic Photonics + Electronics
 - SPIE Optics + Photonics for Sustainable Energy
- ✓ SPIE Structured Light and Applications
- ✓ SPIE Remote Sensing

Society for Imaging Science and Technology (IS&T): <http://www.imaging.org/site//IST/Conferences/>

- ✓ International Symposium Electronic Imaging Science and Technology:
- ✓ Annual International Conference on Color and Imaging Topics (CIC)
- ✓ International Symposium Electronic Imaging Science and Technology
- ✓ European Conference on Colour in Graphics, Imaging, and Vision

International Colour Association (AIC): <http://www.aic-color.org/congr.htm>

- ✓ Congress and Interim Meetings of the International Colour Association
- ✓ International Symposium on Multispectral Color Science

Annual Meeting of the Association for Research in Vision and Ophthalmology (ARVO): <http://www.arvo.org/>

International Conference on Communication, Image and Signal Processing: <http://www.ccisp.org/>

International Conference on 3D Body Scanning Technologies: <http://www.3dbodyscanning.org/>

European Conference on Visual Perception (ECVP): <http://ecvp.org/>

Meeting of the British Contact Lens Association (BLCA): <https://www.bcla.org.uk/>

Meeting of the European Society of Cataract and Refractive Surgeons (ESCRS): <http://www.es CRS.org/>

Meeting of the European Academy of Optometry and Optics (EAOO): <http://www.eaoo.info/>