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Article 32. Doctoral theses submitted as a collection of articles

UOC



Article 32. Doctoral theses submitted as a collection of articles

Doctoral programmes have different criteria, according to the field of knowledge and research, for admitting and depositing doctoral theses as a collection of articles.

Doctoral programme in Society, Technology and Culture and doctoral programme in the Information and Knowledge Society

Criteria for submitting theses as a collection of articles in the doctoral programme in Society, Technology and Culture and the doctoral programme in the Information and Knowledge Society.

1. The academic committee for the programme may admit theses submitted as a collection of articles that meet the following requirements:
 - a. They must include at least two fundamental published works in the form of scientific articles or book chapters involving empirical, documentary or theoretical research, with a description of the methodology used. Literature reviews are considered included in this criterion, although only one fundamental work of this kind may be included.
 - b. The fundamental works must be articles or book chapters published in journals or books of the specialization of the thesis and must have been through peer review processes.
 - c. Additional works in the form of working papers, published research reports (e.g. in the case of industrial doctoral degrees) or contributions to conferences published in proceedings, among others, may be added as part of the doctoral thesis.
 - d. All works (fundamental and additional) must have been either published or accepted for publication:
 - The reviews received, as well as the letters of response to the reviewers, must be attached in all cases.
 - In the first case, non-open-access publications must also be published in preprint or postprint form in the UOC's O2 repository, in accordance with the university's open science policy.
 - In the second case, proof of acceptance and the full reference must be attached.
 - e. In the case of fundamental works, the doctoral candidate must be the main author and have stated their affiliation with the UOC. The committee for the doctoral programme will assess the suitability of co-authored works.

- f. The year of publication of the works (fundamental and additional) may not be earlier than the year of the first doctoral degree enrolment at the UOC.
 - g. If a co-authored work is submitted, each co-author must provide, mentioning the work(s) in question, a document that includes:
 - Authorization for the doctoral candidate to submit the work(s) co-authored by them as part of their doctoral thesis.
 - An undertaking not to submit the work(s) co-authored by them as part of another doctoral thesis.
 - A brief description of each co-author's contribution to the publication.
 - h. Theses as a collection of articles are submitted and defended based on a report that includes the works of which they are made up. This report has the following characteristics:
 - It must justify and present all the research and explain the relevance of each publication as part of the whole and in relation to the subject matter of the thesis, identifying and explaining the specific contribution of each publication with respect to the aims or the research questions that guide the thesis.
 - It must contain the following sections in relation to the research as a whole and, therefore, to all the works as a whole: introduction, justification, questions and aims, theoretical framework (at least in summary), methodological design, results and discussion, conclusions, etc.
 - A full copy of all the works submitted, clearly stating the name and affiliation of all the co-authors of the works and a full reference.
 - i. If any of the works have been published in a language other than those specified in the doctoral programme, a translation of the work in question into one of the accepted languages of the programme must be attached.
2. If the doctoral thesis takes the form of a collection of articles, the doctoral candidate must follow the same procedures of deposit, admission to processing and oral examination and defence as all other doctoral theses and submit, in addition to the documents specified in Article 39.3 of these regulations, the documents specified in Article 28.1. To give authorization for the deposit and defence, the academic committee for the programme will assess the quality of the thesis following the same procedure as for any doctoral thesis submitted in any other format (Article 39).

Doctoral programme in Education and ICT (E-learning)

Criteria for theses submitted as a collection of articles in the doctoral programme in Education and ICT (E-learning).

1. The academic committee for the programme may admit theses submitted as a collection of articles that meet the following requirements:

- a. They must include at least two works (fundamental works) in the form of scientific articles involving empirical or documentary research, with a description of the methodology used. Systematic reviews of literature are considered included in this criterion, and one of the two works may be of this type.
- b. The two fundamental works must be papers published in journals of the relevant specialization and have been through peer review processes.
- c. While considering the specific characteristics of each field of knowledge, it is also considered relevant if journals are included in verified quality indices, such as the Journal Citation Reports publication or the Scopus database internationally, or other national selective databases. The indexing of the journal is a requirement for both fundamental works.
- d. Additional works in the form of book chapters, working papers, published research reports (e.g. in the case of industrial doctoral degrees) or contributions to conferences published in proceedings, among others, may be added as part of the doctoral thesis.
- e. All works (fundamental and additional) must have been either published or accepted for publication. In the second case, proof of acceptance and the full reference must be attached.
- f. In the case of fundamental works, the doctoral candidate must be the first author and have stated their affiliation with the UOC.
- g. The year of publication of the works (fundamental and additional) may not be earlier than the year of the first doctoral degree enrolment.
- h. If any of the works (fundamental and additional) are co-authored, each co-author must provide, mentioning the work(s) in question, a document that includes:
 - Authorization for the doctoral candidate to submit the work(s) co-authored by them as part of their doctoral thesis.

- An undertaking not to submit the work(s) co-authored by them as part of another doctoral thesis.
 - i. If the fundamental works include other co-authors in addition to the doctoral candidate and/or the thesis supervisor, each co-author must provide a description of each author's contribution to the work.
 - j. Theses as a collection of articles are submitted and defended based on a report that includes the works of which they are made up. This report has the following characteristics:
 - It must justify and present all the research and explain the relevance of each publication as part of the whole and in relation to the subject matter of the thesis.
 - It must contain the following sections in relation to the research as a whole and, therefore, to all the works as a whole: introduction, justification, questions and aims, theoretical framework (at least in summary), methodological design, results and discussion, conclusions, etc.
 - A full copy of all the works submitted, clearly stating the name and affiliation of all the co-authors of the works and a full reference.
 - k. If any of the works have been published in a language other than those specified in the doctoral programme, a translation of the work in question into one of the accepted languages of the programme must be attached.
2. If the doctoral thesis takes the form of a collection of articles, the doctoral candidate must follow the same procedures of deposit, admission to processing and oral examination and defence as all other doctoral theses and submit, in addition to the documents specified in Article 39.3 of these regulations, the documents specified in Article 28.1. To give authorization for the deposit and defence, the academic committee for the programme will assess the quality of the thesis following the same procedure as for any doctoral thesis submitted in any other format (Article 39).

Doctoral programme in Network and Information Technologies

Criteria for submitting theses as a collection of articles in the doctoral programme in Network and Information Technologies.

- a. In the works the doctoral candidate must be the first or corresponding author and have stated their affiliation with the UOC. This condition will be deemed to have been fulfilled in the case of doctoral theses associated with contracts or agreements with other entities with which the affiliation of the work is being shared.
- b. The works must be papers published in journals of the relevant specialization included in verified quality indices or indices of a similar scientific level in books or knowledge transfer products (patents, utility models or others).
- c. The works submitted must have been published or accepted for publication or have received a positive assessment (in the case of patents, utility models or knowledge transfer products) in the four years prior to the submission of the thesis. The doctoral candidate may request an extension of this period from the academic committee, which will authorize it if there are duly justified reasons to do so.
- d. Theses as a collection of articles are submitted and defended based on a report that includes the works of which they are made up. This report must include:
 - An introduction presenting the works, justifying the relevance and appropriateness of the doctoral candidate's contributions to their field of research and specifying the aims of the thesis.
 - A section explaining how the works are consistent with the research subject matter of the thesis.
 - An overall summary of the results obtained, a discussion of these results and the final conclusions.
 - A full copy of all the works submitted, clearly stating the name and affiliation of all the co-authors of the works and a full reference. If the work has only been accepted, proof of admission and the full reference must be attached. If a co-authored work is submitted, the report mentioned in Section 2.b of this article must also be included.
 - Other works by the doctoral candidate on the same subject as the thesis can be provided in the form of an annex.
- e. If patents, utility models and/or knowledge transfer products are provided, no more than two will be considered. More of these can be provided, but only the scores of the two most relevant ones will be counted.

- f. If any of the works have been published in a language other than those specified in the doctoral programme, a translation of the work in question into one of the accepted languages of the programme must be attached.
- g. Authorization from the academic committee regarding the admission and ownership of these works, either based on the doctoral candidate's prior consultation or at the time of requesting their deposit.
- h. The works will be assessed in accordance with the table in Annex I. In accordance with this table, the following requirements must be met:
 - The first work (in order of relevance) must have a score of 5 points.
 - The second work (in order of relevance) must have a score of at least 3 points.
 - The total score for all the works included must be at least 11.
 - When a publication meets more than one criterion in the table, the highest possible score will be applied.
- i. Other requirements that may be established by the academic committee for the programme.

2. If the doctoral thesis takes the form of a collection of articles, the doctoral candidate must follow the same procedures of deposit, admission to processing and oral examination and defence as all other doctoral theses and submit, in addition to the documents specified in Article 39.3 of these regulations, the following documents:

- a. A report signed by the thesis supervisor in support of the thesis being submitted in this format. The report must consider the degree of consistency and thematic unity of the works submitted, the degree of originality, the contribution to knowledge made by them and, where appropriate, the impact factor and/or categorization of the journal of the publications included in the doctoral thesis.
- b. Bibliometric report of the works contained in the collection, drawn up by the Library.
- c. In the case of publications not included in an indexed journal, a justification with a description of the publication's acceptance process must be provided. This justification must include a list of the members of the scientific committee or equivalent body that has assessed the publication. In any case, this assessment process must include a peer review of the accepted publications.
- d. To give authorization for the deposit and defence, the academic committee for the programme will assess the quality of the thesis following the procedure set forth in Article 39.

Doctoral programme in Health and Psychology

Criteria for submitting theses as a collection of articles in the doctoral programme in Health and Psychology.

1. The academic committee for the programme may admit theses submitted as a collection of articles that meet the following requirements:

- a. They must include at least two works (fundamental works) in the form of scientific articles involving empirical or documentary research, with a description of the methodology used. Systematic reviews of literature and research protocols are considered included in this criterion, and one of the two works may be of this type. Other works that are not exclusively scientific articles may be considered provided that they meet all the other requirements described in Sections a and b.
- b. The two fundamental works must be papers published in journals of the relevant specialization and have been through peer review processes.
- c. While considering the specific characteristics of each field of knowledge, it is also considered relevant if journals are included in verified quality indices, such as the Journal Citation Reports publication or the Scopus database internationally, or other national selective databases. This assessment may be supplemented with other quality indicators, such as citations received for works that can be traced in transparent and recognized sources.
- d. Additional works in the form of book chapters, working papers, published research reports (e.g. in the case of industrial doctoral degrees) or contributions to conferences published in proceedings, among others, may be added as part of the doctoral thesis.
- e. All works (fundamental and additional) must have been either published or accepted for publication. In the second case, proof of acceptance and the full reference must be attached.
- f. In the case of fundamental works, the doctoral candidate must be the first author and have stated their affiliation with the UOC.
- g. The year of publication of the works (fundamental and additional) may not be earlier than the year of the first doctoral degree enrolment.
- h. If a co-authored work is presented, each co-author must provide, mentioning the work(s) in question, a document that includes:

- Authorization for the doctoral candidate to submit the work(s) co-authored by them as part of their doctoral thesis.
 - An undertaking not to submit the work(s) co-authored by them as part of another doctoral thesis.
- i. If the fundamental works include other co-authors in addition to the doctoral candidate and/or the thesis supervisor, each co-author must provide a description of each author's contribution to the work.
- j. Theses as a collection of articles are submitted and defended based on a report that includes the works of which they are made up. This report has the following characteristics:
- It must justify and present all the research and explain the relevance of each publication as part of the whole and in relation to the subject matter of the thesis.
 - It must contain the following sections in relation to the research as a whole and, therefore, to all the works as a whole: introduction, justification, questions and aims, theoretical framework (at least in summary), methodological design, results and discussion, conclusions, etc.
 - A full copy of all the works submitted, clearly stating the name and affiliation of all the co-authors of the works and a full reference.
- k. If any of the works have been published in a language other than those specified in the doctoral programme, a translation of the work in question into one of the accepted languages of the programme must be attached.
2. If the doctoral thesis takes the form of a collection of articles, the doctoral candidate must follow the same procedures of deposit, admission to processing and oral examination and defence as all other doctoral theses and submit, in addition to the documents specified in Article 39.3 of these regulations, the documents specified in Article 28.1. To give authorization for the deposit and defence, the academic committee for the programme will assess the quality of the thesis following the same procedure as for any doctoral thesis submitted in any other format (Article 39).

Doctoral programme in Humanities and Communication

Criteria for submitting theses as a collection of articles in the doctoral programme in Humanities and Communication.

1. The academic committee for the programme may admit theses submitted as a collection of articles that meet the following requirements:

- a. They must include at least three works: two fundamental works and one additional work:
 - A fundamental work is a publication in the form of a scientific paper involving empirical or documentary research, with a description of the methodology used.
 - An additional work is a publication in the form of a scientific paper or in other formats: book chapter, working paper, published research report (e.g. in the case of industrial doctoral degrees) or contributions to conferences published in proceedings, among others.
 - One of the works may be a systematic review of the literature.
- b. All works must have been through peer review processes.
- c. While considering the specific characteristics of each field of knowledge, it is considered relevant if journals are included in verified quality indices, such as the Journal Citation Reports or Scopus internationally, or other national selective databases. If the journal is indexed, this will be considered a plus. This assessment may be supplemented with other quality indicators, such as citations received for works that can be traced in transparent and recognized sources.
- d. All works (fundamental and additional) must have been either published or accepted for publication. In the second case, proof of acceptance and the full reference must be attached.
- e. In the case of the two fundamental works, the doctoral candidate must be the only or first author and have stated their affiliation with the UOC. While considering the specific characteristics of each field of knowledge, it is recommended that works have a single author, especially in fields of knowledge in which this is the most common or valued practice.
- f. The year of publication of all the works may not be earlier than the year of the first doctoral degree enrolment.
- g. If a co-authored work is submitted, each co-author must provide, mentioning the work(s) in question, a document that includes:

- Authorization for the doctoral candidate to submit the work(s) co-authored by them as part of their doctoral thesis.
 - An undertaking not to submit the work(s) co-authored by them as part of another doctoral thesis.
- h. If the works include other co-authors in addition to the doctoral candidate and/or the thesis supervisor, each co-author must provide a description of each author's contribution to the work.
- i. Theses as a collection of articles are submitted, defended and assessed based on a report that includes the works of which they are made up. The report has the following characteristics:
- It must justify and present all the research and explain the relevance of each publication as part of the whole and in relation to the subject matter of the thesis.
 - It must contain the following sections in relation to the research as a whole and, therefore, to all the works as a whole: introduction, justification, questions and aims, theoretical framework (at least in summary form), methodological design, results and discussion, conclusions, etc.
 - A full copy of all the works submitted, clearly stating the name and affiliation of all the co-authors of the works and a full reference.
- j. If any of the works have been published in a language other than those specified in the doctoral programme, a translation of the work in question into one of the accepted languages of the programme must be attached.

Doctoral Programme in Law, Politics and Economics

Criteria for submitting theses as a collection of articles in the doctoral programme in Law, Politics and Economics.

1. The academic committee for the programme may admit theses submitted as a collection of articles that meet the following requirements:

- a. They must include at least two works (fundamental works) in the form of scientific papers involving empirical or analytical research published or accepted in journals of the relevant specialization and have been through peer review processes. The journals must be included in verified quality indices, specifically JCR, SJR or, in the case of the legal field, also CARHUS+ A.
If one of the works does not fall under the first two quartiles of the aforementioned indices, a third work that has also been published or accepted in a journal included in these quality indices must be provided.
- b. Additional works in the form of dissertations, book chapters, working papers, published research reports (e.g. in the case of industrial doctoral degrees) or contributions to conferences published in proceedings, among others, may be added as part of the doctoral thesis.
- c. In the case of fundamental works, the doctoral candidate must be the sole or first author and have stated their affiliation with the UOC.
- d. In cases of co-authorship, each co-author must identify and justify their contribution. In the legal field, the suitability of co-authorship must also be justified.
- e. A document containing the following must be provided:
 - Authorization from each co-author for the doctoral candidate to submit the work(s) co-authored by them as part of their doctoral thesis.
 - An undertaking from each co-author not to submit the work(s) authored by them as part of another doctoral thesis.
- f. The year of acceptance of the works (fundamental and additional) may not be earlier than the year of the first doctoral degree enrolment.
- g. Theses as a collection of articles are submitted and defended based on a report that includes the works of which they are made up. This report has the following characteristics:

- A chapter justifying and presenting the unity and consistency of the research and explaining the relevance of each publication as part of the whole and in relation to the subject matter of the thesis. It must contain the following sections relating to all the works as a whole: introduction, justification, questions and aims, theoretical framework (at least in summary) and methodological design.
 - A full copy of all the works submitted, clearly stating the name and affiliation of all the co-authors of the works and a full reference.
 - A summary chapter setting out the results and conclusions of the research and its limitations.
- h. If any of the works have been published in a language other than those specified in the doctoral programme, a sworn translation of the work in question into one of the accepted languages of the programme must be attached.

2. If the doctoral thesis takes the form of a collection of articles, the doctoral candidate must follow the same procedures of deposit, admission to processing and oral examination and defence as all other doctoral theses and submit, in addition to the documents specified in Article 39.3 of these regulations, the documents specified in Article 28.1. To give authorization for the deposit and defence, the academic committee for the programme will assess the quality of the thesis following the same procedure as for any doctoral thesis submitted in any other format (Article 39).

Interuniversity doctoral programme in Bioinformatics (UAB, UB, UdG, UdL, UVic-UCC, UPC, URV, UOC)

The criteria for theses submitted as a collection of articles in the interuniversity doctoral programme in Bioinformatics (UAB, UB, UdG, UdL, UVic-UCC, UPC, URV, UOC) can be found in the specific regulations ([link](#)) agreed upon by all collaborating universities.

1. Requirements for submitting a thesis as a collection of articles:

- Publications submitted as part of the thesis may not be submitted as an integral part of other doctoral theses.
- The publications must be a direct result of the work carried out within the doctoral programme. Publications resulting from work carried out by the doctoral candidate during a master's degree or professional activities prior to enrolment, regardless of the date of publication, are excluded.
- At the time of requesting permission to submit the thesis in this format, the works must be published or have been definitively accepted for publication.
- The doctoral candidate must appear as the first author or be able to prove that they are the main author of a sufficiently significant part of each work.
- The doctoral candidate must have at least three publications that fulfil the preceding requirements, two of them in journals indexed in Journal Citation Reports and classified within the Q1 or Q2 quartile of their area. In any case, the final decision on whether or not the thesis may be submitted as a collection of articles is made by the doctoral programme assessment committee.

2. The doctoral candidate must send a reasoned request to the doctoral programme assessment committee with the following information:

- A list of papers, indicating the authors, title and publication (journal, volume, pages, year) and journal (area, quartile, impact factor).
- Authorization by the thesis supervisor to submit the thesis as a collection of articles.
- Proof of the doctoral candidate's contribution to each of the publications forming part of the collection.
- Written authorization from the co-authors of the publications, if any, other than the doctoral candidate and the thesis supervisor, for the doctoral candidate to include them in a thesis submitted as a collection of articles.
- A written waiver from the co-authors of the publications, if any, other than the doctoral candidate, to include them in another doctoral thesis.

3. Assessment and Resolution

The doctoral programme assessment committee will decide whether the thesis may be submitted as a collection of articles. A positive resolution may cover all or part of the publications submitted. In the latter case, the works that may be included in the collection will be specified. If the resolution is negative, the doctoral programme assessment committee will attach to the resolution the reasons for the decision.

The doctoral programme assessment committee may delegate to the programme coordinator the verification of the veracity of the data and the acceptance of the request, if applicable, indicating which works may be included in the collection. They may also appoint a member of the doctoral programme assessment committee or an external reviewer who is an expert in the subject to assess the suitability of submitting the thesis as a collection of articles. The student will be informed of the written resolution within 10 teaching days from the submittal.

4. Preparation of the report

The thesis report must include the sections applicable to all theses under each university's academic regulations for doctoral studies. As distinctive requirements, reports of theses as a collection of articles must include:

- The words "Thesis as a collection of articles" in a visible place on the cover.
- In the introduction, a discussion of the thematic unity of the publications included in the thesis and, if appropriate, of the parts of those publications that are the doctoral candidate's work.
- A full copy of the final published version of the articles forming part of the collection (in the format of the journal if they have the necessary rights to do so, or in another format if they do not) or of the accepted version if the paper has not been published at the time of deposit.
- A section with an overall discussion of the results of the various published works.

5. Deposit of the thesis

Theses must be deposited following the standard procedure established in each university's regulations for doctoral studies.

Interuniversity doctoral programme in Business Administration and Management (UPC, UPM, UPCT, UOC)

The criteria for theses submitted as a collection of articles in the interuniversity doctoral programme in Business Administration and Management (UPC, UPM, UPCT, UOC) can be found in the specific regulations ([link](#)), Chapter 6, Section 6.6, agreed upon by all collaborating universities.

1. The collection must consist of at least three publications that have been accepted or published in leading journals in the field indexed in Journal Citation Reports (Clarivate Analytics) or Scimago (Scimago Lab).
2. Publications must include a result from, or contribution by, the doctoral thesis.
3. Publications submitted as part of the thesis may not be submitted as an integral part of other theses.
4. The works must have been published after the start of the doctoral studies.
5. The thesis submitted must contain, in addition to a copy of the publications, an introduction justifying the thematic unity of the thesis and including an overall summary and a discussion of the results and final conclusions.

Interuniversity doctoral programme in Tourism (UMA, UA, UCA, UCM, UEX, ULL, Nebrija, UOC, URJC, USC, US, UVIGO)

The criteria for theses submitted as a collection of articles in the interuniversity doctoral programme in Tourism (UMA, UA, UCA, UCM, UEX, ULL, Nebrija, UOC, URJC, USC, US, UVIGO) can be found in the specific regulations ([link](#)), Article 21, agreed upon by all collaborating universities.

The admission of a doctoral thesis will involve an assessment of the work carried out according to objective quality criteria. Specifically, in order to defend a doctoral thesis as a collection of articles, there must be at least three publications that fulfil the quality criteria for the defence of doctoral theses of the doctoral programme, of which one must be in a JCR-indexed journal, another in a journal included in the bases and repertoires of group A of the scale, and a third one from group B of the same scale.

The classification used as a scale for the various publications that must be obtained by the doctoral candidate are:

Group A journals

- Journal Citation Reports (SCI/SSCI) – Scopus
- Scimago Journal & Country Rank (SJR)
- Arts and Humanities Citation Index (AHCI)

Group B journals

- European Reference Index for the Humanities (ERIH)
- FECYT-certified Spanish scientific journals
- Emerging Sources Citation Index

Works submitted in support of a thesis are subject to the following requirements:

- The works must have been submitted, published or accepted for publication after the start of the doctoral studies.
- The works must mention the university belonging to the doctoral programme where they are enrolled. This information must be provided through the affiliation of the thesis supervisor and/or doctoral candidate.
- The doctoral candidate must appear as the first or second author of all of them. In really exceptional cases only, the academic committee of the interuniversity doctoral programme in Tourism may give authorization, based on the justifications provided, for the doctoral candidate to appear after the second position in a work supporting a thesis.
- The same work by two or more authors may only be used to support one thesis.