Regulation for the PhD thesis presentation in the form of a compendium of publications

Doctoral Program in Translation and Language Sciences (PDTCL)

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Doctoral training aims to cultivate the ability to carry out original research with significant contributions to the discipline and to disseminate this research and interact as equals with other researchers in the field. The success of this training is manifested in two main results; on the one hand, the production and defence of a thesis that reflects an original research project demonstrating the autonomy of judgment of the author and representing a significant contribution to the discipline; and secondly, the publications in the relevant fora of the scientific discipline (scientific journals, international conferences and miscellaneous volumes by specialized publishers), showing that the research completed arouses the interest of the other researchers in the field.

Therefore, the results of the doctoral training period usually materialize in the doctoral thesis and a concomitant set of publications. Depending on the specific subfield, these publications are produced in different moments of the thesis preparation timeline: while it is being prepared, after its defence, or they may even constitute its very core.

Given the variety of topics and research methods of the theses written and defended in the PDTCL, uniform criteria cannot be established as to how to disseminate the results of the doctoral research. However, the general rule in the PDTCL is that its doctoral theses must have a publication practice that is adequate to the type of research and subdiscipline in which they are prepared, so that, if circumstances do not prevent it, this publishing should have started during the doctoral training period.

Thus, the theses written and defended in the PDTCL can be either in the form of a monograph of a book-like length or in the form of a compendium of publications that meet a certain set of requirements. In both cases, the thesis must reflect a work of original research that demonstrates the autonomy of judgment of the author and represents a significant contribution to the discipline.

This document details the requirements that a thesis by compendium of publications must fulfill.

The PDTCL, according to Pompeu Fabra University’s academic regulations on the doctorate, admits the presentation of a doctoral thesis by compendium of publications provided that this compendium suits the following general criteria:

- It reflects original research work, demonstrating the autonomy of judgment of the author and representing a significant contribution to the discipline
- It complies with the same quality and quantity threshold as the thesis by monograph; it will be subject to the same procedures for monitoring, quality assurance and evaluation
- It includes from three to six research papers whose contents are not repeated, prepared by the student, which have been published or are in the process of publication (with an explicit acceptance for publication) with the authorization of the thesis supervisor
- It includes an introductory chapter that gives coherence to the thesis, justifying the thematic unity of the thesis, and a chapter providing the general global conclusions
In addition, the publications included in the compendium must satisfy the following conditions:

1. The publications may have been published (or accepted for publication) as articles in scientific journals or as book chapters.
2. Both the journals and publishers (in the case of book chapters) must be well positioned in the indices commonly used in the discipline:
   a) journals must appear in international databases (such as the Arts and Humanities Citation Index or the Social Sciences Citation Index of the Journal Citation Reports, JCR), or be highly rated in the reference lists of the subdiscipline (e.g. in CARHUS Plus+)
   b) publishers must be highly recognized, and be well positioned in rankings such as the Scholarly Publishers Indicators (SPI)
3. Generally, the student must be the unique signer of at least one of the publications, except in those disciplines in which publications are mostly co-authored. In co-authored publications, the student must be the first author of all publications. In any case, it must be ensured that each of the publications included in the thesis correspond to work substantially done by the student (and the PDTCL’s Academic Committee may request relevant evidence of this). A single publication cannot be part of two different doctoral theses. When an article or chapter is the result of collaboration with co-authors who are not doctors, the co-authors must renounce in writing their right to present it as part of their doctoral thesis.
4. Publications must be dated after the admission of the student to the doctoral program; with respect to the papers that are pending publication a documentary proof must be provided that they have been received by the journal or book publisher and accepted for publication.
5. The publications must include the author’s affiliation to the UPF and a note indicating that the research reported in the publication is part of the doctoral research that the author is doing or has done at the PDTCL.

In the PDTCL, preparing a thesis as a compendium of articles must take into account the following:

- It must respond to a properly planned work strategy, so that the justification and planning of the thesis as a compendium of articles must be included in the research plan that is assessed in the first year and is reviewed annually.
- both the thesis and the final report by the thesis supervisor(s) must include full bibliographic information on the publications included the compendium
- the possible co-authors of the publications included in the compendium cannot act as external experts furnishing the reports that are used as mechanisms for quality assurance of the thesis, nor can they form part of the thesis evaluation committee, except in exceptional cases (e.g. in joint supervision agreements with committees with more than three members) explicitly authorized by the Academic Committee of the PDTCL.