

# Doctoral Programme in Translation and Language Sciences (PDTCL)

## Regulations for doctoral theses by publication

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The purpose of doctoral training is to acquire the capacity to conduct original research that makes a significant contribution, disseminate it within its discipline, and interact with other researchers. This capacity can be achieved via two main routes: first, by defending a thesis that reflects the research conducted, demonstrates the author's autonomy, and represents a significant contribution to the field; and second, by publishing partial thesis results of interest to the community in scientific forums in the discipline (articles in scientific journals, book chapters for specialised publishers, or books).

Given the variety of subjects and methodologies covered by PDTCL theses, there are no uniform criteria for publishing and disseminating doctoral research results, other than the recommendations that dissemination should start during the training period and should be consistent with the specific features of the subdiscipline.

Thus, PDTCL theses may be either *monographs* of a certain length or *theses by publication*, meeting certain requirements. In both cases, the thesis must reflect original research, demonstrate the author's autonomy, and represent a significant contribution to the discipline. This document sets forth the requirements to be met by a thesis by publication, respecting and developing the general UPF doctoral regulations.

### Number of contributions, stage of publication and requirements

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UPF academic regulations (Board of Governors, 2 May 2007, amended 6 October 2008), state:

*Article 10(7.1): The doctoral thesis shall consist of an original research work on one of the research lines of the doctorate. Subject to authorisation by the thesis supervisor, the doctoral thesis may also consist of a series of articles which have been published recently or are in the process of being published. In the latter case, the doctoral thesis shall include a report on the defended thesis, with an introductory chapter and final conclusions. Articles included in a thesis may not be included as part of any other.*

With regard to our programme, the following specificities are laid down:

**Quantity.** The thesis shall include three or more contributions.

**Type.** Most of the contributions should be research articles. Book chapters and books can only be a third or fourth contribution. Review articles and meta-analyses are not accepted.

- In the case of theses on computational linguistics, papers at high-impact conferences (such as ACL, EMNLP, NAACL, EACL, COLING for computational linguistics, and NeurIPS, ICLR, ICML, AAAI for artificial intelligence) are also accepted. This is so because in computer-related fields the publications with most impact are conferences (see for example [https://scholar.google.com/citations?view\\_op=top\\_venues&hl=en&vq=eng\\_computationallinguistics](https://scholar.google.com/citations?view_op=top_venues&hl=en&vq=eng_computationallinguistics)).

**Stage of publication.** Given the length of the publication process in scientific journals, we differentiate the following stages in a thesis contribution:

1. The manuscript has been **submitted** to a journal that is indexed in databases recognised in our disciplines, such as SCOPUS, LLBA, MLA; or of the highest prestige in the discipline.
2. The manuscript has been **accepted** for evaluation in an indexed journal.
3. The manuscript has obtained a **partially positive evaluation** (has not been rejected) in the first round of reviews (with evaluations such as: *revise with major changes* or *revise with minor changes*).
4. The manuscript has been **formally accepted** by the journal.
5. The manuscript has been **prepublished online**, without issue or page numbers.
6. The manuscript has been **published** in a standard issue of the journal.

Supporting documents must be provided attesting the specific stage of each publication. The assessment committee of the programme reserves itself the right to request additional documentation.

In accordance with these stages, a thesis will be accepted if it has at least:

- One contribution at stage 4 or higher, and either the rest at stage 3 or one single contribution at stage 2 and the rest at stage 3, with the corresponding documentation.
- In the latter case of submitting manuscripts at stage 3, satisfactory reports from the referees must be provided.

**Dates.** All the contributions must have started their manuscript submission process after the date on which the student enrolled on the doctoral programme.

## Authorship

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Other aspects of theses by publication:

- The student must be the first author (i.e., the author who corresponds with the journal, and is responsible for publication) of all the contributions. This authorship may be individual (more usual in the humanities and literature) or collective (more usual in social sciences and technology).
- In the case of publications with collective authorship, the supervisor usually appears as the last co-author. If there are two supervisors, the co-authorship can be shared among the various contributions or the order of the authors can be changed. Collaborators with the research group (doctoral students, researchers) may appear as co-authors between the first author and the supervisor.
- One single publication cannot form part of two doctoral theses.

## Presentation

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The thesis by publication must include a chapter by way of *Introduction* and another by way of *Discussion and conclusions*, which must be added to the articles and precede and follow them respectively.

The purpose of the *Introduction* is to provide a general justification of the studies included in the thesis and clearly state its overarching theme. It must include a general literature review on which the research questions of the thesis are based, along with an account of the methodology used, so that the reader can assess its novelty in the framework of previous research. It must also explain in detail the main research questions and hypotheses analysed in each article, together with the relationship between them. Lastly, the *Introduction* can also include any contextual information that might help the reader to understand the thesis better. This chapter is recommended to have no more than 25,000 words.

The *Discussion and conclusions* chapter is an opportunity to gather together, contextualise and assess the results of each publication and spell out its impact on the particular discipline studied. The components this chapter may include are: a general summary of the specific results, indications on their relevance and contribution to the discipline, comparisons with other related research, limitations of the work, and future lines of research. This chapter can be of approximately 10,000 words.

Between the *Introduction* and the *Discussion and conclusions* there will be as many chapters as

publications included in the thesis. Each contribution must be presented without changes to the content, following the manuscript published or in print, with the corresponding annexes, bibliography and abstracts. As theses by publication are required to follow the same standards of presentation as other theses, the format of each publication must be made to match UPF style. The bibliography at the end of the thesis will only contain the references included in the chapters *Introduction* and *Discussion and conclusions*.

The information on each of the publications included in the thesis shall not be included in the same volume as the thesis; it shall be a separate document formally registered together with the rest of the thesis documents, following the model below, entitled 'Articles contributed':

<b>Contribution No.:</b>		1/2/3/4
<b>Original title of the contribution:</b>		
<b>Authorship</b> (in the order proposed to the journal):		
<b>Journal/publisher</b> in which it was published:		
<b>JCR index:</b> quartile, area and year	<b>Scopus index:</b> quartile, area and year	<b>Other impact indices:</b>
<b>Current publication status:</b>		Year and month
-Article published (stage 6; full information on publication and link)		Year and month
-Article prepublished (stage 5; provide link)		Year and month
-Article accepted (stage 4; provide document of acceptance by the journal)		Year and month
-Article has passed a first round of reviews (stage 3), with <i>revise with major changes</i> or <i>revise with minor changes</i> (provide referees' reports)		Year and month
-Article accepted for review (stage 2; provide document of acceptance)		Year and month

Below these tables, this same document shall include the specific documentary evidence issued by the publisher in accordance with the stage of publication (from 1 to 6) in the list appearing in the section 'Stage of publication' of this regulation.

This document does not exempt the student from including the full bibliographical reference of each contribution at the beginning of the corresponding chapter.

### **The research plan and theses by publication**

The research plan reflects a properly planned work strategy, so the justification and planning of the thesis by publication must be included in the research plan that is assessed in the first academic year and revised annually. If the decision is made later than the first academic year, the plan must include a justification and the change made as a revision of the current version of the research plan that is conventionally presented in the annual progress report.