

PhD thesis presentation in the form of Compendium of Publications

The **PhD program in Genetics** of the *Universitat Autònoma de Barcelona* (UAB) has **specific mandatory regulations** for presenting a PhD thesis as compendium of publications, which complement and extend the current UAB PhD regulatory framework [Royal Decree 99/2011; Official State Gazette (BOE)].

Procedure

The **request for presentation as compendium** must be addressed to the Academic Commission of the PhD program in Genetics ("*Comissió Acadèmica del Programa de Doctorat en Genètica*", or CAPD), through the department administration ("*Secretaria del Departament*"), including the following documentation:

- **A signed report from the PhD thesis director or co-directors and the PhD thesis tutor**, stating that the doctoral thesis meets the requirements to be presented as compendium of publications, together with the contributions that it makes, the new research avenues that it opens, and the relevance and applicability of the results.
- **A copy of each of the original articles.**
- **A written acceptance from all co-authors of the publications included in the PhD thesis compendium**, including a statement by non-doctors that they will not present any of the publications as part of their own PhD thesis. Only original or electronically signed documents are valid. Scans, copies or faxes will not be accepted.

The **request for presentation as compendium** must be fully referenced, including month and year of the publications, and the corresponding journal impact factors from the *Institute for Scientific Information (ISI)*, which should be from the year of publication unless it is not yet available, in which case the last published factor will be used, providing printed proof from the *ISI Web of Knowledge* showing the journals' ISI factors and their quartiles.

The CAPD will decide on approval in the term of a month from the date of receipt of the request, and will reply by email. **As soon as the approval has been issued**, the PhD thesis will be ready to be presented as compendium of publications.

Format of thesis presented as a compendium of publications

The thesis as compendium of publications must include the following sections:

- An introduction where the articles approved by the CAPD are presented, and the thematic coherence of the thesis is justified.
- A global summary of the results of the articles approved by the CAPD, with a discussion of those results.
- The final conclusions.
- A copy of the already published/accepted articles admitted to form part of the PhD thesis by the CAPD.
- Supplementary documentation (*)

Specific regulation

To present a PhD thesis as a compendium of publications it is mandatory:

- a) A minimum of two original research articles.

The articles must concern the topic of the research Plan approved by the CAPD.

- b) The original articles must have been published or accepted for publication after the date of admission to the doctoral studies, and the time elapsed between the admission to the doctoral studies and the publication of the latest article cannot exceed the maximum of 8 years.

Accepted, but not yet published articles are valid as long as they are accompanied by official written confirmation of publication acceptance issued by the publisher.

In the event of articles that are in the process of publication without having been accepted by an editor yet, they can be included in an Annex as supplementary material.

- c) The articles used to request the presentation of a PhD thesis as compendium cannot have been used for this purpose by any previous thesis.
- d) The doctoral candidate must be either **first author or co-first author** of the articles.
- e) **Two of the published original articles must add an ISI factor equal to or greater than 4**, or else be published in journals within the **first quartile** of the corresponding ISI "subject category".

If a journal appears under more than one subject category, the one most favourable can be used.

- f) All the publications must include the affiliation to a UAB centre or department, a UAB hospital centre, the UAB Sphere or the UAB PhD Program in Genetics. This must be clearly stated by including the name of the centre or department and its UAB affiliation in the author's affiliation field.

If the doctoral candidate is affiliated to a different institution from UAB or any centre of the UAB Sphere, then the affiliation to that institution must be stated indicating that the publication was carried out within the framework of the UAB PhD Program in Genetics.

Additional clarifications

The articles that form part of the PhD thesis compendium cannot be included in any other PhD thesis compendium.

The requirements of PhD thesis direction, registration and development, committee appointment and defence for this modality of presentation are similar to those established in the general provisions.

None of the co-authors of the works presented, be it the main text or the Annexes, can form part of the PhD thesis committee.

(*) The documentation that does not form part of the PhD thesis compendium can be provided as supplementary material in an Annex.