

PhD thesis presentation as Compendium of Publications

The **PhD Program in Genetics** of the *Autonomous University of Barcelona* (UAB) **establishes specific mandatory regulations** for submitting a PhD thesis as a Compendium of Publications within the Regulatory Framework for the UAB doctorate (Royal Decree RD99-2011, modified by RD576/2023; Official State Gacette [BOE]).

REQUIREMENTS

To present a PhD thesis as a Compendium of Publications it is mandatory:

1. A minimum of two original research articles. These articles must concern the topic of the Research Plan approved by the Academic Commission of the PhD program in Genetics (*Comissió Acadèmica del Programa de Doctorat* or CAPD).
2. The original articles that make up the Compendium 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.
3. 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.
4. The original articles that make up the Compendium of Publications must be made accessible through a link to the UAB Digital Document Repository (DDD) portal. If the articles cannot be made accessible in the DDD due to embargo or confidentiality reasons, then a form must be completed indicating this circumstance. This form will be provided by the UAB Library Service and once completed must be sent to the program administration.
5. 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.
6. The articles used to request the presentation of a PhD thesis as compendium can not have been used for this purpose by any previous thesis.
7. The doctoral candidate must be either **first author or co-first author** of the articles.
8. **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".
9. If a journal appears under more than one subject category, the one most favorable can be used.

10. All the publications must include the affiliation to a UAB center or department, a UAB hospital center, the UAB Sphere or the UAB PhD Program in Genetics. This fact must be clearly stated by including the name of the center 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, in addition to stating the affiliation to that institution, it must also be stated that the publication was made in the frame of the PhD Programme in Genetics of UAB. Please note that this same requirement applies to any article published to be eligible as a merit to apply for the Extraordinary Doctoral Award.

PROCEDURE

The **request for presentation as compendium** must be addressed to the CAPD, through the department administration ("*Secretaria del Departament*"), including the following documentation:

1. **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.
2. **A copy of each of the original articles.**
3. **Link of the articles that make up the Compendium to the UAB DDD (see requirement 4).**
4. **A written acceptance from all co-authors of the publications included in the PhD thesis compendium**, including an 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.

GENERAL FORMAT of thesis to be presented as a Compendium of Publications

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

1. An introduction where the articles approved by the CAPD are presented, and the thematic coherence of the thesis is justified.



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2. A global summary of the results of the articles approved by the CAPD, with a discussion of those results.
3. The final conclusions.
4. A copy of the already published/accepted articles admitted to form part of the PhD thesis by the CAPD.
5. Documentation that is not part of the Compendium of Publications may be attached as supplementary material in an Annex.
6. Changes to this general format that have not been previously agreed upon with the CAPD will not be accepted.

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 defense 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.