



CEU

Escuela Internacional
de Doctorado

RULES FOR PhD THESIS PRESENTATIONS IN THE FORM OF A COMPENDIUM OF PUBLICATIONS.

Approved by the CEINDO Steering Committee on November 22, 2023.

Explanatory Reasons

The quality of training and the results produced take on a relevant role in the current university context, bringing together such universities that are members of the European Higher Education Area (EHEA).

One of the basic competences PhD students are expected to acquire is *"the ability to communicate with the academic and scientific community and with society in general about their fields of knowledge in the modes and languages commonly used in the international, scientific community"* (RD 99/2011, article 5, point 1.d). Scientific publications in specialised journals guarantee the acquisition of this competence, as well as others related to it.

In some fields of knowledge, a type of doctoral thesis is being introduced that consists of a compendium of articles published in specialised and prestigious journals, because of the research carried out and the training acquired by the doctoral student. This practise is spreading rapidly, especially in certain fields and universities with a long history of producing PhDs. It is habitually accepted in certain European countries and is becoming increasingly common in Spain.

A compendium of scientific articles guarantees the quality and validity of the Theses, thus avoiding any shortcomings. This modality must be regulated, as well as the structure of the document and the procedure that define the expected requirements.

FIRST CHAPTER

Requirements for the Modality as a compendium of publications.

Article 1. Regarding the number and type of publications.

Doctoral students may opt for the presentation of the thesis in the form of a compendium of publications prior to the submission of their thesis providing that they have the express approval of their advisor or co-advisors, communicate it, and have their publications published or accepted for publication in the following ways:

a) At least three articles in scientific journals listed in the Journal of Citation Reports (or SJR Scimago), two of them being in the first half of the thematic unit list corresponding to the thesis work.



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b) Or five articles in indexed journals included in the MIAR database, as well as appearing in the first quartile of the list corresponding to the journals of the thematic unit related to the thesis work.

c) In the cases referred to in sections a) and b), works in the form of abstracts, proceedings or journal supplements will not be accepted as valid contributions for the thesis modality by compendium of publications. Review papers, case reports, opinions, letters, jurisprudential commentaries, opinions, introductions, annotations to texts, etc., will also not be valid.

d) A book or three chapters of a book published by a national or international publisher of recognised prestige that appear in Scholarly Publisher Indicators (Books in Humanities and Sciences) (SPI), Web of Science (WOS/Scopus), Scopus (Elsevier) and Latindex (Catalogue) (Regional Online Information System for Scientific Journals of Latin America, the Caribbean, Spain, and Portugal) will have the same effect.

e) The Academic Committees may specify specific requirements regarding the number and type of publications for theses by compendium of publications. In this case, once the requirements have been approved at the Academic Committee meeting, it will be recorded in the minutes and the CEINDO will be informed for publication on the website.

At the time of submission of the thesis, the contributions must be published or accepted for publication, enclosing the communication of acceptance by the editors by e-mail or ordinary mail. A letter of acceptance conditional on corrections, albeit major or minor, will invalidate the work for this type of thesis. If the contributions are not published, the DOI (*Digital Object Identifier*) will also be a sufficient guarantee of publication.

Article 2. The publication dates of the articles of books must be after the start date of the doctoral studies.

Article 3. Regarding authorship of publications (articles, books, chapters of books).

In the case of articles, the PhD student must be the first author of the three publications in JCR-listed journals submitted (or SJR Scimago) or be the first author of two of them and the thesis advisor would be the first author in the remaining one. If the PhD student submits five articles whose journals appear in the first quartile of the specific area of the IN-RECS, IN-RECS and RESH databases, he/she must be the first author on all five publications or on three of them and the thesis advisor must be the first author on the other two.

In the case of a book publication, the PhD student must appear as first author of the complete work. In the case of three book chapters, the PhD student must



appear as first author in at least two of them and the thesis advisor must appear as first author in the remaining one. In the case of books and book chapters published in the field of Social and Legal Sciences, the PhD student must be the sole author of the three contributions presented or, in exceptional cases, when the quality and novelty of the research justifies it, at least the first author of two of them, with the thesis advisor as the first author of the remaining one.

Article 4. Regarding the affiliations of the doctoral student that must appear in the publications:

The author should indicate one of the CEU Universities in the affiliation.

SECOND CHAPTER

Structure of the Doctoral Thesis by compendium of publications.

Article 6. Formal and style requirements. Theses submitted as a compendium of publications must include the following sections:

- a) The initial page must state that the thesis is a compendium of works published or accepted for publication that meet the conditions required by this standard. Full references, including the DOI if it exists, must also be indicated.
- b) A general introduction and rationale to the compendium of publications, justifying the thematic unity of the contributions and describing the quality of the journals or publishers in terms of impact factor or other similar criteria.
- c) A summary specifying the research objectives and the results obtained, as well as a discussion of them. This section should also explain the contributions made by the PhD student, the methodology used and the final conclusions. This summary should provide a precise idea of the content of the thesis.
- d) The general introduction and rationale, as well as the summary, will be at least thirty pages long and written in Spanish.
- e) An adapted (text adapted from the original) and complete copy of the work, whether published or accepted for publication, must be included between the introduction and general rationale and the abstract cited, or as an appendix. It must include the name and affiliation of the author(s), respecting the order of signature of the original work, as well as the complete reference of the journal or publisher and the ISSN or ISBN. The articles must be written in the language of the original publication - if this is not Spanish, a sufficiently extensive summary of each article must be attached in this language.
- f) Finally, the thesis will contain an appendix which will include copies of the letters of acceptance of the work pending acceptance, the data relating to the quality of the publications included (indexes of the journals, databases in which they are included, specialist reports, etc.) in accordance with the provisions of this regulation.



Article 7. Theses in a foreign language format.

Theses submitted for the award of the International Doctorate (RD 99/2011) as a compendium of publications that are written in a European language other than Spanish will be treated as foreign language theses. They must therefore include an abstract in Spanish. This abstract will specify the objectives of the research, the methodology used, the results achieved, and the final conclusions. It will have a minimum length of 2000 words and must be bound as part of the Thesis.

THIRD CHAPTER

Procedure for the presentation of the Doctoral Thesis by a compendium of publications.

Article 8. Prior to the submission of the thesis, the PhD student will ask the Academic Commission for a favourable report and authorisation to submit the thesis as a compendium of publications, accompanied by the authorisation of the advisor and co-advisors.

Article 9. The doctoral student must submit the following so that the Academic Commission issues the report and gives authorisation :

- a) A report of the thesis advisor and co-advisors.
- b) A copy of the original publications that make up the doctoral thesis - whether published or accepted for publication - must include the name and affiliation of the author or authors, as well as the complete reference of the journal or publishing house in which the work was published or accepted for publication; proof of acceptance and the DOI, if it exists, must also be provided.
- c) Written acceptance by the coauthors (original signatures) that the doctoral student is presenting the work as a thesis and declaring his/her agreement with the presentation of the aforementioned article by such student, and that he/she is the main author of the research as presented in the articles that make up the thesis.
- d) Non-doctoral authors waive the right to submit publications as part of another doctoral thesis.
- e) Paragraphs c) and d) are not necessary when the text of the publication states that it is part of the PhD thesis of the PhD student.

Article 10. After studying the documentation and verifying compliance with the requirements of this regulation, The Academic Commission will decide on whether the thesis will be accepted in the format of a compendium of publications, by issuing a favourable report.



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ADDITIONAL REQUIREMENT #1. Relevant Clarifications

The content of papers that are pending publication because they have not yet been accepted by the journal or publisher, or cannot be submitted due to the publication date requirement (they are prior to the requirements of this regulation), and are not necessary for the computation requirements of this procedure, (although the Academic Committee refuses to incorporate them as a fundamental part of the thesis on the understanding that this regulation does not allow it), may form part of the thesis as complementary documentation, and must comply with the general requirements and complementary documentation. In addition, their inclusion will be requested in the same application for submission of the thesis by means of a compendium of publications.

ADDITIONAL REQUIREMENT #2. Interpretation and Regulatory Developments.

The CEINDO Steering Committee is responsible for the interpretation of these regulations, as well as for adopting the necessary agreements for their regulatory development, at the proposal of the Programme's Academic Commission.

SOLE FINAL REQUIREMENT. When it Comes into Effect

These regulations come into effect the day following their approval by the CEINDO Steering Committee.