

PhD Thesis Format Criteria at the University of the Balearic Islands

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1. Cover

The cover must contain the following elements (in the order given):

- The official crest of the University of the Balearic Islands
- The name of the University of the Balearic Islands
- The heading 'PHD THESIS' (in the relevant language)
- The year of the PhD viva voce
- The thesis title in upper case
- The volume number in the event that the thesis has more than one
- The doctorand's name and surname(s).

[Appendix 1](#): an example cover.

Doctorands on double degrees (interuniversity) and theses under international joint supervision are advised to also include the official institutional image of the other university/ies.

2. Title Page

The title page is the first page of the PhD thesis and must solely contain the following information:

- The official crest of the University of the Balearic Islands
- The name of the University of the Balearic Islands
- The heading 'PHD THESIS' (in the relevant language)
- The year of the PhD viva voce
- The PhD programme name
- The thesis title in upper case
- The volume number in the event that the thesis has more than one
- The doctorand's name and surname(s)
- The name and surname(s) of the thesis supervisor(s)
- The name and surname(s) of the thesis tutor
- The qualification the doctorand aspires to, i.e. 'PhD awarded by the University of the Balearic Islands' in the footer.

[Appendix 2](#): an example title page.

For theses written at non-university institutions, the corresponding logo may also be included.

Doctorands on double degrees (interuniversity) and theses under international joint supervision are advised to also include the official institutional image of the other university/ies.

Depending on the criteria set by the relevant Academic Committee for the PhD Programme, the title page may contain the name of the research group and logos of other research structures at the University of the Balearic Islands (department, institute, research group, etc.).

Moreover, the title page must bear the signatures of the doctorand and thesis supervisor(s), next to their names, at the time the thesis is submitted.

3. Other Preliminary Elements

After the title page, the thesis must include the relevant appendix depending on the selected *Creative Commons* licence. The different templates (one for each licence type) are included in [appendix 5](#).

The PhD thesis must be presented on double-sided A4 or A5 paper with single line spacing, wherever possible, to save on paper as much as possible. It must be written in Catalan, Spanish or English. Where necessary, the relevant Academic Committee for the PhD Programme may authorise doctorands to use a different language.

In order to facilitate reading comprehension, any acronyms and/or abbreviations must be listed and explained.

The following must be included after the title page and before the main body of the thesis:

- A list of publications arising from the thesis, where applicable.

Optionally, the following may also be included:

- A thesis supervision certificate: this original certificate signed by the supervisor testifies to the doctorand having undertaken research work under their supervision
- Where the doctorand is seeking an International PhD Mention, a certificate as per the template in [appendix 3](#)
- A dedication
- Acknowledgements: projects or institutions that have funded the research; institutions, units or services that have collaborated in any aspect of the thesis, etc.

4. Main Body of the PhD Thesis

The PhD thesis must show the doctorand has attained the advanced skills, abilities and proficiency inherent to the PhD for the relevant discipline during their time on the programme. It must be a contribution to knowledge, provide new ways of looking at the subject matter, be innovative and demonstrate the doctorand's ability to work independently. The doctorand's contribution to the discipline must demonstrate they are aware of the current state of play in research

and know how to steer and situate their own work within the relevant area of knowledge.

The UIB solely accepts **two** types of PhD theses: **monographs** and **compilation of articles**. The main body for each format will have clear and differentiated features, as per the sections below, although both thesis formats must demonstrate coherence as a piece of work.

4.1. Monograph Format (Traditional)

A monograph thesis is a work of global research and submitted as a unique contribution with a unified structure.

In addition to the general elements set out in sections 3 and 4, and regardless of any chapter structure, the thesis will comprise the following global content:

1. A general table of contents with page numbers. For works comprising two or more volumes, this must include the list of all volumes and synopses for each one
2. Three thesis abstracts (max. 600 words each) in Catalan, Spanish and English. Where the main body is written in a different language (accepted as one of the common languages used for scientific communication in the relevant field of study), the thesis must also include an abstract in the language used
3. The state of play or introduction
4. Objectives
5. Methodology
6. Results
7. Discussion
8. Conclusions
9. Bibliography.

Nonetheless, the relevant Academic Committee for the PhD Programme may adapt these sections in line with its own criteria, regardless of the names remaining the same and the chapter structure.

The results and discussion may be included in the same chapter. A monograph thesis must contain an introduction, a general description of the methodology, the overall goals and a unique set of conclusions.

A traditional thesis may include a results section in the form of recent papers already published or articles for publication (submitted or final version for submission), provided they directly arise from the doctorand's research work. They may be written in the submission language of the journal where they have been or intend to be submitted. In any event, they must be structured in accordance with the thesis format, with sequential page numbers aligned with the rest of the thesis, and have a uniform typeface and style.

Where articles are included in a monograph thesis, there must be a joint discussion chapter on the results, in order to ensure the thesis is a coherent and cogent whole with regard to the set work objectives.

In the event that any thesis chapter is a published or submitted article with joint authors, doctorands must attach a statement signed by the latter (original handwritten or digital signatures), authorising the doctorand to include the relevant article, in accordance with the template in [appendix 4](#).

4.2. Compilation of Articles Thesis

A thesis may be submitted as a compilation of articles as long as the main text comprises several published or accepted articles. It may also include other sections or chapters focused on the area of research in the thesis. The minimum requirements for submitting an article-based thesis are as set out in currently regulations, more specifically Article 20.5 in Regulatory Agreement 15770 of 24th February 2025 that approves the Regulations Governing the Organisation of PhD Programmes at the University of the Balearic Islands.

This thesis format must include the following:

1. A first page stating that the thesis is a compilation of previously published or accepted research articles, alongside the full references for the publications (including all authors) comprising the main body of the thesis, as well as the journal quality indicators. The doctorand's specific contribution to each publication must also be stated.
2. A general table of contents with page numbers. For works comprising two or more volumes, this must include the list of all volumes and synopses for each one
3. Three thesis abstracts (max. 600 words each) in Catalan, Spanish and English. Where the main body is written in a different language (accepted as one of the common languages used for scientific communication in the relevant field of study), the thesis must also include an abstract in the language used
4. The state of play or introduction
5. Hypotheses, objectives and experimental design
6. Optionally, a methodology chapter on the procedures and resources used in the research described in the articles and comprising the basis of the thesis
7. The main body of the thesis generally comprising a copy or transcript of the articles (not formatted in line with the journal/publisher's guidelines), stating the full reference where they have been published or accepted for publication. For open-access articles, the final version in line with the journal/publisher's guidelines may be included. The publications must have sequential page numbers aligned with the rest of the thesis and be presented in a way that ensures the thesis may be read as a uniform and structured piece of work, especially with regard to table of contents, indices, bibliography, figures or appendices
8. A comprehensive global discussion on all the publications
9. Conclusions
10. Bibliography.

The general introduction in this format must set out the published, accepted or submitted articles included in the compilation. The overall topic must be justified, explicitly linking the different articles and underscoring their overall coherence.

Theses submitted in this format must comply with the following conditions (as set out in Article 20.5 in Regulatory Agreement 15770):

1. The thesis must include at least three published or accepted articles where the doctorand is the first author in at least two and the second author in any other. For disciplines where authors are listed in alphabetic or similar order, the relevant Academic Committee for the PhD Programme will set the criteria for author position and the doctorand must fulfil the relevant position in at least three publications. The articles must have been published (or accepted for publication) within the doctorand's time on the programme
2. The articles must be published in scientific/academic journals and fulfil a set of minimum requirements, in accordance with one of the two criteria below:
 - 2.1 The articles must appear in journals on the latest list published by Journal Citation Reports™ (JCR, Clarivate) or SCOPUS (Elsevier), or in the databases listed by the Spanish National Commission for Research Evaluation (CNEAI) for the relevant scientific fields in the knowledge areas on the PhD programme. At least one must be in the first quartile for its category and another in the second quartile. Publications in the arts, humanities, and social and legal sciences may be books or book chapters awarded a quality mark for academic publishing, or be included in *Scholarly Publishers Indicators in Humanities and Social Sciences*. The relevant Academic Committee for the PhD Programme may add further requirements for their PhD programmes. These requirements must be published on the EDUIB website. Nevertheless, the academic committee may, where it deems it appropriate, disallow publications in certain journals or at publishers with apparent indications of predatory practices. In this sense, these publications will not be counted for an article-based thesis
 - 2.2 The articles must have a quality level in accordance with current ANECA criteria for assessing research periods (six-year research terms), taking into account the spirit of the *San Francisco Declaration on Research*

Assessment (DORA) and the *Coalition for Advancing Research Assessment* (CoARA). In this vein, each article must be assessed according to the general assessment scale provided by ANECA (available on the ANECA website) and be awarded a minimum score of 70%

An article-based thesis must have a coherent overall topic on a specific research area, in accordance with the PhD research plan

- 3 In the case of accepted articles, doctorands must include the DOI where they have been assigned one. Otherwise, the acceptance letter from the publisher must be provided
- 4 Any joint authors of the articles must provide written agreement to their work being used as part of the PhD thesis and acknowledgement of the doctorand as joint author of the published or accepted articles (see [appendix 4](#))
- 5 The joint authors of work included in a thesis who do not hold a PhD must waive their right to submit them as part of another PhD thesis
- 6 Where the relevant Academic Committee for the PhD Programme sets additional specific requirements for submitting an article-based thesis, these requirements will be published in an attached table (appendix 6).

5. Authorship and Plagiarism

The doctorand and the thesis supervisor(s) are jointly responsible for ensuring that any citation, information or part of a published work that appears in the thesis complies with the publisher's legal copyright provisions and respects the guidelines with regard to author citation. They are also responsible for fulfilling ethical and academic and scientific integrity requirements in accordance with Regulatory Agreement 15770, the EDUIB Code of Best Practice and current UIB regulations in this regard.

6. Documents Not Forming Part of the PhD Thesis

The following documents are not part of the PhD thesis:

- Press clipping compilations that are not part of the analysed material or used in the thesis
- The doctorand's CV
- The Doctorand Activities Document
- Publications or other merits not related to the PhD thesis topic
- Letters, jurisprudence commentaries, verdicts, introductions, text annotations, abstracts or summaries of papers at conferences, etc.
- Other documents that have not been sufficiently processed in order to be included as findings, such as direct extracts from computer software or tools, insufficiently or inadequately processed statistical representations, etc. In any event, where extracts from computer software or tools or certain insufficiently processed data are useful for the panel to analyse, they may be provided as an attached document.

Any document or material that is not part of the topic researched by the doctorand on their PhD programme will generally be excluded from the PhD thesis.

7. Publication, Embargo Periods and Non-disclosure Clauses

After doctorands successfully pass their viva voce, the EDUIB will manage the archiving process for the PhD thesis in open file format in the institutional repository. In turn, it will send a digital copy (as well as any required supplementary information) to the relevant ministry for publication in a national repository managed by the relevant institution at the ministry.

Where PhD theses contain material that is subject to patenting/protection, or requires an embargo period with regard to open publication for any other reason, the university will establish a suitable procedure for temporary embargo and ensure it is published in open access at the appropriate time. In any event, the thesis will be published in the UIB Institutional Repository under a *Creative Commons* licence (to be selected from the different available options) and a temporary embargo period running for 12, 24 or 48 months may be established, provided the embargo is duly justified for the

requested period. The EDUIB will be responsible for deciding on any requests submitted to restrict publication of the PhD thesis in the UIB Institutional Repository.

Moreover, in exceptional circumstances such as non-disclosure agreements with businesses, any possible patents regarding the thesis content or any other duly justified reason, and always at the behest of the relevant Academic Committee for the PhD Programme, publication of the thesis may be delayed until the data protection period has finalised. In this instance, the doctorand must duly notify the UIB.

8. Appendices

Appendix 1: [an example cover](#)

Appendix 2: [an example title page](#)

Appendix 3: [an example certificate](#)

Appendix 4: [an example authorisation/waiver](#)

Appendix 5: [Creative Commons licences to attach to the PhD thesis](#).