

## Submission of a Doctoral Thesis as a Series of Publications

In exceptional cases, and on approval by the Faculty Higher Degree Committee, a candidate for the degree of Doctor of Philosophy may submit a thesis for examination that contains one or more published works of which the candidate is the sole or joint author provided the following conditions are satisfied:

- i. A candidate may only include a published work in the thesis if the research and publication of the work occurred during the course of candidature for the degree.
- ii. The thesis must contain an Introductory/Literature Review Chapter that critically places the published works in the context of the appropriate field of study and provides an overview of the thesis topic as a whole.
- iii. The thesis must contain a Conclusions/Recommendations Chapter that summarises the overall conclusions of all of the published work and articulates clearly the new contribution to knowledge in the discipline and the specific topic of the dissertation.
- iv. All Chapters except the Introduction/Literature Review and Conclusion/Recommendations chapters must be work that has been either published, accepted for publication or submitted for publication in peer-reviewed journals or conference papers at the time the thesis is submitted.
- v. For publications for which the candidate is not the sole author, as specified in the Originality Statement which must be included in the submitted thesis, due acknowledgement must be made in the thesis to the contributions of others to the research, including the writing of the publications. The format of this acknowledgement may be presented at the start of each Chapter or as a Preface to the thesis.
- vi. The thesis must be presented in such a way that the examiners can assess the requirements of the University, including whether in the opinion of the examiner the thesis is a substantially original contribution to the knowledge of the subject concerned, the thesis affords evidence of originality by the discovery of new facts, the thesis affords evidence of originality by the exercising of independent critical ability, and the thesis is satisfactory as regard to literary presentation.

### Format of the thesis

- i. The journal publications must be produced in high quality format and may be included in the format provided by the publisher, or may be presented in an alternate format from the original submitted files.'
- ii. It is the responsibility of the student to obtain permission to reproduce copyright material where that right has not already been granted as part of the publication process by the copyright holder.
- iii. A specific declaration regarding each publication must be included as an appendix or at the start of each Chapter.

### Approval Process

- i. Submission of a thesis by publication is approved by the Faculty Higher Degree Committee on the recommendation of the supervisor and Head of School, that this format would not disadvantage the candidature in terms of permitting examiners to identify the contribution of the candidate to the published work and taking into account the research completed in the degree and the depth of analysis and interpretation presented in the publications.
- ii. The supervisor of a candidate intending to submit a thesis in the format of publications, and the Head of School, must submit appropriate documentation for consideration of the Higher Degree Committee, **three months** before the intended submission date.
- iii. The Higher Degree Committee will take into account discipline specific issues related to publications in the field, including authorship order, the number of co-authors, and the number of publications and may set specific conditions appropriate to the discipline. The Higher Degree Committee may request from the candidate additional supporting documentation.
- iv. Subject to approval of the Faculty Higher Degree Committee, the candidate must indicate that the format of the thesis will be a series of publications when lodging the Intention to Submit Thesis Form two months prior to submission of the thesis.

## Faculty Guidelines

### Submission of a Thesis in the Format of a Series of Publications

The number of publications, quality of the publications, authorship and co-authorship conventions, and the appropriate acknowledgement of the work of others is highly discipline specific.

In addition to the information specified in the University document *Submission of a Doctoral Thesis as a Series of Publications*, the Faculty Higher Degree Committees (HDCs) in the Faculties of Medicine, Engineering, Built Environment, Arts and Social Sciences, Law, Science and the Australian School of Business have provided the following general guidelines. These guidelines will assist students who request permission to submit a thesis as a series of publications in providing the appropriate documents for consideration by the HDC.

#### Faculty of Medicine

1. The thesis should contain a minimum of 3 publications (published or in press) in which the student is the first author, and in which the student's contribution to the work for each publication is at least 50%.
2. The thesis should be presented as a themed, coherent document with a logical order to the included chapters.
3. Papers that are submitted but not yet in press may be included in the thesis, provided that
  - a. the number of such papers represent a minority of the publications (*Note*: please see table below for details); and
  - b. are accompanied by a letter from the supervisor attesting to the 'publishable' quality of the manuscript(s).
4. Material that is not intended for submission before end of candidature will not be included.
5. If required, supplementary files will need to be provided (as an appendix) on detailed methodology, troubleshooting techniques, additional Figures etc, directly related to the publications.
6. The bibliography may be presented at the end of each Chapter.
7. The Declarations page must be signed.
8. The supervisor must submit a signed statement (presented at the beginning of the thesis) to the effect that all co-authors of the published or submitted papers agree to the student submitting those papers as part of his or her Doctoral Thesis.

#### PhD by Publication: Minimum requirements for number of papers published or 'in press'

The following table outlines the Faculty of Medicine minimum requirements for papers published or in press when the Higher Degree Committee considers a request for permission to submit a PhD thesis by publication.

Total Number of Papers Included in Thesis	Minimum Number Published or 'in Press' Papers	Maximum Number of Submitted or 'Submission Ready' Papers
3	3	0
4	3	1
5	3	2
6	4	2
7	4	3
8	5	3
9	5	4

Current as at March, 2011.

Further enquiries, contact the Chair of the Faculty of Medicine Higher Degree Committee (<http://research.unsw.edu.au/higher-degree-committees>)

## Faculty of Engineering

### Thesis by Publication

**Preamble:** The expectation is that each student shall write a thesis. A thesis differs from other forms of writing. It provides for a more detailed explanation of the problem's definition, the student's thought processes, and the chosen methodology, and it permits the student's own contribution to be more easily distinguished. Many students will, in time, supervise other students required to produce a thesis and so the experience of writing a thesis will prove valuable. Permission to submit a thesis by publications is only given in **extraordinary** circumstances. It is not an extraordinary circumstance when a student has a job waiting, nor when a student finds it difficult to write, in English or otherwise. The critical question is either "What prevents this student from submitting a thesis?" or "What has this student done otherwise to be exempted from writing a thesis, as normally expected?"

Submission for thesis by publications needs advanced approval (6 months set by GRS) by HDC and must be confirmed on the *Intention to submit Thesis* form.

Thesis by publications must not disadvantage the student by limiting the scope for detailed explanations.

**All** work which is to be assessed as part of such a thesis must be incorporated into publications.

At least 75% of the papers must be already published or accepted for publication. If papers are in the acceptance phase, evidence must be provided that they have been accepted. If acceptance is conditional, then such conditions must be detailed.

All other papers must have been submitted. Papers in preparation may not to be included in the thesis (and so permission would be denied).

The thesis must include statements from **all** co-authors showing how much intellectual contribution was the student's. This becomes critically important should more than one student appear as an author of a paper.

Co-authors must also confirm how much of the papers was actually written by the student. (Thesis by publication is **not** an alternative for students simply not wanting to write in English.)

The examiners must know it will be a Thesis by Publications and agree to examine it as such. If the NOE has been approved, then any request will be denied.

There must be evidence that **all copyright** holders have agreed for their material to be reprinted. (A thesis is a published document.) The Supervisor is responsible for ensuring all copyright clearances are obtained. (Note that GRS sets the getting of such approvals as the student's responsibility, but the student is not an employee.)

Certified translations are required for any paper not published in English.

The detailed format required for such a thesis is quite onerous (see GRS): thesis by publications must include a unified narrative, single consolidated introduction, lit survey, conclusion & references, etc.

### **Detailed Engineering specific requirements follow.**

1. Consecutive pagination of the whole thesis must be used, i.e., as well as the original pagination in the publications, there must be pagination of the whole thesis.
2. A consolidated bibliography must be included at the end of the thesis i.e., this bibliography must be included in addition to the references in the publications, and will include those references.
3. The introductory material of the thesis by publication, and the ordering of the papers, should be contrived so that the thesis as a whole presents a coherent, logical flow.
4. deleted – see above
5. The specific declaration regarding each publication must include (i) details of the publication status of each publication included at the time of submission of the thesis and (ii) due acknowledgement of the specific contribution of others, including co-authors and other participants.
6. The documentation that must be supplied by the Head of School/Supervisor to the HDC (for approval process) must include
  - (i) a clear statement that the number and quality of publications that will comprise the thesis is appropriate to the discipline of the thesis;
  - (ii) a clear statement of the authorship-order conventions in the relevant discipline;
  - (iii) a justification of the statements on number and quality of publications based on appropriate metrics and other relevant factors; and
  - (iv) assurance by the School that the research was mainly conducted by the candidate and that co-authors are aware that the work is being submitted as part of a thesis by publication.

For further enquiries, contact the Chair of the Faculty of Engineering Higher Degree Committee (<http://research.unsw.edu.au/higher-degree-committees>).

Additionally, refer to the relevant GRS documents on the GRS website.

### **Australian School of Business**

1. Students intending to submit their doctoral thesis as a series of publications must discuss the suitability of their research to be submitted for examination in this format with their supervisor as early as possible within their candidature. Students must declare their intention to submit the thesis in this format no later than the time of the second annual review.
2. All chapters except the Introduction/Literature Review and Conclusion/ Recommendations chapter must be work that has either been published or accepted for publication in peer reviewed journals. In exceptional circumstances only, the ASB Research Committee may permit the inclusion of work submitted for publication, or the inclusion of conference papers
3. In terms of originality of contribution, the material presented in this format for examination needs to be equivalent to the material which would otherwise be presented in the traditional

thesis format.

4. As part of the submission to the ASB Research Committee, the candidate must include a declaration which specifies the extent and nature of his/her contribution to the publications and the publication status of the works. Further enquiries, contact the Chair of the Australian School of Business Research Committee (<http://research.unsw.edu.au/higher-degree-committees>).

### **Faculty of the Built Environment**

1. Students intending to submit their doctoral thesis as a series of publications must discuss the suitability of their research to be submitted for examination in this format with the supervisor as early as possible within their candidature. Student must declare their intention to submit the thesis in this form no later than the time of the first annual review.
2. The principal Supervisor must submit a signed supporting statement to the Faculty of the Built Environment Higher Degree Committee that includes:
  - a. Written agreement from any co-author of published or submitted papers presented as part of the Doctoral Thesis that they are willing to have the paper included.  
A clear statement justifying the quality of publication in which the submitted papers have been published and that they are appropriate to the discipline of the thesis.
  - b. A clear statement of the authorship-order conventions in the relevant discipline.
  - c. Assurance by the supervisor that the research was principally conducted by the candidate.
3. The thesis should contain a minimum of 3 substantial publications in which the student is the sole author or first author (and no more than 3 authors in any publication), and in which the student's contribution to the work for each publication is at least 75%. The publications must be work that has either been published or fully accepted for publication in peer reviewed journals. Typically, the requirements will be that the publications are the journals rated by the Excellence in Research for Australia (ERA) as A or above. In exceptional circumstances only, the FBE Research Committee may permit the inclusion of other work submitted for publication. Papers that are submitted but not yet been fully accepted may be included in the thesis, provided that:
  - a. The number of such papers represent a minority of the publications; and
  - b. Are accompanied by a letter from the supervisor attesting to the 'publishable' quality of the manuscript(s).
4. Materials that are not intended for submission before the end of the candidature should not be included.
5. The bibliography may be presented at the end of each chapter (publication), and/or included at the end of thesis, wherever appropriate.
6. The Declarations page must be signed. The specific declaration regarding each publication:
  - a. Should include reference to publication status of each publication included at the time of submission of the thesis.
  - b. Must include due acknowledgement of the specific contribution of others, including co-authors and other participants.
7. Consecutive pagination of the whole thesis must be used, i.e., as well as the original pagination in the publications, there must be pagination of the whole thesis.
8. Evidence that copyright holder agreement has either been waived or received must be provided by the student.

## **Faculty of Arts and Social Sciences**

### *1. Number of publications*

The appropriate number of publications is likely to vary from discipline to discipline within the Faculty, depending on the length and coverage of the typical article, the time typically taken between submission and publication, and co-authorship conventions within a specific disciplines.

### *2. Status of publications*

Publications submitted as a thesis must have been published or accepted for publication in a peer-reviewed journal or book.

### *3. Co-authorship*

Publications should be principally the candidate's work.

### *4. Bibliography*

A complete, consolidated bibliography is required.

### *5. Pagination*

Inclusive pagination is to be used.

### *6. Notification*

Candidates intending to submit a thesis in the format of a series of publications are required formally to inform their School or Centre of their intention at least one year FTE before submission, and preferably at the confirmation review. The intention to submit a thesis in this format must have been considered at one Annual Progress Review at a minimum.

## **Faculty of Law**

1. Students intending to submit their doctoral thesis as a series of publications must discuss the suitability of this option with their supervisors as early as possible in their candidature.
2. Students must declare their intention to submit their thesis in this format no later than the time of the confirmation of candidature review.
3. The Chair of the confirmation panel should make a record of the student's intention to submit the thesis in this format, and advise the Director of Postgraduate Research accordingly.
4. The thesis as submitted should contain a minimum of four sole-authored publications (published, in press or submitted for publication), the total length of which should not exceed the length specified for a PhD submitted in the ordinary fashion.
5. In addition to peer-reviewed journal articles and conference papers, one or more of the publications may take the form of a book chapter.
6. The thesis should be presented as a coherent whole with an overarching argument or theme that flows through the individual chapters.
7. In addition to the pagination used for the individual chapters, the whole thesis should be consecutively paginated.
8. A consolidated bibliography should be included at the end of the thesis covering all references made in the Introductory/Literature Review Chapter and the Conclusions/Recommendations Chapter, as well as the references in the other chapters.
9. The Declarations page must be signed and should include a specific declaration regarding the publication status of each publication as at the time of submission of the thesis.
10. Evidence that copyright holder agreement has either been waived or received must be provided by the student.

## **Faculty of Science**

1. Submission of thesis by publication is approved in exceptional cases.
2. Such theses would typically contain a minimum of ~4 publications (published, in press, or accepted for publication) in recognised peer reviewed journals on which the student is the first

author and in which the student's contribution to each publication is at least 50%. However, the Higher Degree Committee recognises that there are discipline specific publication practices relating to authorship order, the number of co-authors, and the number of publications. It is incumbent on the supervisor and student to demonstrate why the number and quality of publications included in the thesis is exceptional for the discipline.

3. Work which is not published, in press or accepted for publication will not be considered.
4. The thesis should be presented as a themed, coherent document with a logical order to the included chapters.
5. If required, supplementary files will be provided (as an appendix) on detailed methodology, techniques, additional Figures etc, directly related to the publications.
6. Written requests to HDC should be made by the student as well as their supervisor and should be supported by the Head of School. Written requests should include:
  - a. Full citation details for each publication to be included in the thesis (authors, year, date, title, journal, volume, issue, page numbers).
  - b. Journal ranking as per the 2010 ERA journal rankings; journal impact factor; and, any other measure of the quality of the journal which is relevant.
  - c. A statement by the supervisor and student that describes the nature and percentage of the student's contribution to each publication.
  - d. A brief description of the major findings reported in the paper and the place of these findings in the theme of the thesis.
  - e. A statement that the research and publication of the work occurred during the candidature for the degree.
  - f. A statement that co-authors approve submission of the work as a thesis by publication.
  - g. The Head of School should indicate that number and quality of publications included in the thesis is exceptional for the discipline.

### **All other Faculties**

There are no additional guidelines.

Further enquiries, contact the Chair of the relevant Higher Degree Committee

(<http://research.unsw.edu.au/higher-degree-committees>)

Approved

Professor Laura Poole-Warren

Dean of Graduate Research