

Graduate Research School Thesis Format Guide

The Graduate Research School

A guide for candidates preparing to submit their
thesis for examination



GRADUATE RESEARCH SCHOOL

The University of New South Wales
October 2016

Introduction

This document is intended as a guide for UNSW Higher Degree Research Candidates. All Doctor of Philosophy, Masters by Research and Master of Philosophy candidates must submit **two** printed copies and **one** digital copy of their thesis for examination. The printed copies should be submitted in temporary binding that is robust enough for mailing and extensive review by examiners.

Binding

Plastic comb-binding is the preferred temporary binding.

Thermal binding can be used but candidates should be aware that thermal binding becomes loose if the thesis is too large. **Any thesis which is stapled or held in a ring-binder folder will not be accepted.**

At the completion of the examination, and prior to graduation, every candidate who has satisfied requirements for the award of the degree must submit two digital copies for deposit and preservation in the University Library.

Compulsory preliminary pages

All copies must contain:

1. a thesis/dissertation sheet
2. a title page
3. a table of contents
4. an Originality Statement.

Thesis/Dissertation Sheet

All copies must contain a Thesis/Dissertation Sheet which contains a thesis Abstract of not more than 350 words. This Abstract should indicate:

- the problem investigated
- the procedures followed
- the general results obtained
- the major conclusions reached.

The Thesis/Dissertation sheet must not contain any illustrative matter. It should be glued onto the inside front cover OR be the first page inserted.

(see page 4)

Title Page

All copies must contain a title page showing the thesis title, the candidate's name, degree and year of submission. (see page 5).

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THE UNIVERSITY OF NEW SOUTH WALES
Thesis/Dissertation Sheet

Surname or Family name: **Post**

First name: **Will**

Other name/s:

Abbreviation for degree as given in the University calendar: **PhD**

School: **School of Example**

Faculty: **Faculty of Instruction**

Title: **Wherefore am I bound? - an investigation into reflexivity and postal directions in the practice of thesis submission.**

Thesis title should be written in sentence case – capitalise first word and proper nouns only.

Abstract 350 words maximum: (PLEASE TYPE)

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Ut wisi enim ad minim veniam, quis nostrud exerci tation ullamcorper suscipit lobortis nisl ut aliquip ex ea commodo consequat. Duis autem vel eum iriure dolor in hendrerit in vulputate velit esse molestie consequat, vel illum dolore eu feugiat nulla facilisis at vero eros et accumsan et iusto odio dignissim qui blandit praesent luptatum zzril delenit augue duis dolore te feugait nulla facilisi. Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed diam nonummy nibh euismod tincidunt ut laoreet dolore magna aliquam erat volutpat.

Duis autem vel eum iriure dolor in hendrerit in vulputate velit esse molestie consequat, vel illum dolore eu feugiat nulla facilisis at vero eros et accumsan et iusto odio dignissim qui blandit praesent luptatum zzril delenit augue duis dolore te feugait nulla facilisi. Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed diam nonummy nibh euismod tincidunt ut laoreet dolore magna aliquam erat volutpat. Ut wisi enim ad minim veniam, quis nostrud exerci tation ullamcorper suscipit lobortis nisl ut aliquip ex ea commodo consequat.

Declaration relating to disposition of project thesis/dissertation

I hereby grant to the University of New South Wales or its agents the right to archive and to make available my thesis or dissertation in whole or in part in the University libraries in all forms of media, now or here after known, subject to the provisions of the Copyright Act 1968. I retain all property rights, such as patent rights. I also retain the right to use in future works (such as articles or books) all or part of this thesis or dissertation.

I also authorise University Microfilms to use the 350 word abstract of my thesis in Dissertation Abstracts International (this is applicable to doctoral theses only).

.....
Signature

.....
Witness

.....
Date

The University recognises that there may be exceptional circumstances requiring restrictions on copying or conditions on use. Requests for restriction for a period of up to 2 years must be made in writing. Requests for a longer period of restriction may be considered in exceptional circumstances and require the approval of the Dean of Graduate Research.

FOR OFFICE USE ONLY

Date of completion of requirements for Award:

This [form](#) should be glued inside the inside front cover OR be the first page inserted

Wherefore am I bound? - an investigation into reflexivity and postal directions in the practice of thesis submission

Thesis title
(compulsory)

Candidate's
name
(compulsory)

Will Post

Wording varies
depending on
degree and
discipline

A thesis in fulfilment of the requirements for the degree of
Doctor of Philosophy

UNSW
Shield
(optional)

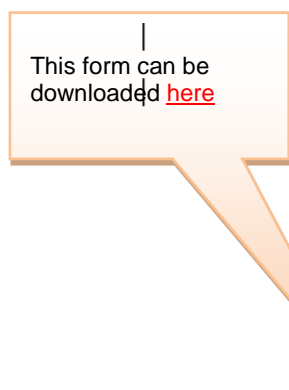


School of Example
Faculty of Instruction

Candidate's School
and Faculty
(compulsory)

October 2016

All copies must include the following signed statement in the preliminary pages:



Originality Statement

'I hereby declare that this submission is my own work and to the best of my knowledge it contains no materials previously published or written by another person, or substantial proportions of material which have been accepted for the award of any other degree or diploma at UNSW or any other educational institution, except where due acknowledgement is made in the thesis. Any contribution made to the research by others, with whom I have worked at UNSW or elsewhere, is explicitly acknowledged in the thesis. I also declare that the intellectual content of this thesis is the product of my own work, except to the extent that assistance from others in the project's design and conception or in style, presentation and linguistic expression is acknowledged.'

Signed.....
Date.....
.....

Optional preliminary pages

- If tables, figures, specialised abbreviations or symbols are included in the thesis then candidates should include a List of Tables, a List of Figures, a List of Abbreviations and/or a List of Symbols as required.
- Candidates can include an Acknowledgements page if they wish to thank or acknowledge supervisors, colleagues, friends or family.
- A list of any relevant publications or presentations arising from the writing of the thesis should also be included.

The body of the thesis

Candidates should talk to their Supervisor and Postgraduate Coordinator about any thesis style requirements that are specific to their discipline.

The thesis should be divided into chapters. The text should be in either 1.5 or double-spaced typescript. The font size should be no less than 11 point (use 10 point for footnotes) in a legible font and printed using a high-quality laser printer or equivalent.

For printed copies the paper should be International Standards Organisation paper size A4 (297mm x 210mm). The paper should be of good quality and sufficiently opaque for normal reading. Faded, dirty or faint copies will not be accepted. A page may be printed on both sides as long as this does not interfere with the readability of the thesis. Number pages consecutively. The margins on each page should not be less than 40mm on the left-hand side, 20mm on the right-hand side, 30mm at the top and 20mm at the bottom.

Diagrams, charts and tables should be presented within the text where possible. Large diagrams or charts may be folded and included in the text and arranged so as to open out. Visual records submitted in a text-based thesis may also be included. Other material submitted with the thesis must be marked with the candidate's name so that it can be linked readily with the thesis. All additional material that was submitted with the printed copies should be digitised where possible and submitted as an attachment to the digital Library deposit copies.

Header
(optional)

Thesis page sample

Lorem ipsum dolor sit amet, diam mauris ut donec id, egestas congue. Sed congue dolor arcu, tempus erat volutpat lorem, mauris vestibulum dolor ut vitae a suscipit, quis dui. Sed commodo ut fermentum primis aliquet. Diam sit quam exercitation tincidunt, orci odio, fusce ac a dis iste facilisis malesuada. Mi ipsum, eget sed justo libero tincidunt. Amet faucibus, magna gravida urna placerat, in nam orci vel vel, libero phasellus non. Vehicula ut dui lor as id ipsum accumsan sit, pellentesque et, ut diam justo tellus ac tortor sit. Suspendisse iaculis in vel, volutpat vel lectus cras suspendisse scelerisque vitae, dui quis, leo congue orci viverra ac platea lorem eget, nunc ligula dapibus amet viverra. Eu penatibus vel nibh mattis amet.

Text margin
must be 40 mm from inside edge.

Text margin must be 30mm from top of page

Text margin
must be 20 mm from the outside edge

Vehicula uit vitae



■ 1st Qtr ■ 2nd Qtr
■ 3rd Qtr ■ 4th Qtr

Figure 1: vehicula tristique

Nonummy occaecati wisi lacus magnis turpis. Rerum consequat suspendisse, iaculis ullamcorper nunc commodo, donec pharetra cum suscipit, iaculis ipsum. Enim pulvinar feugiat sodales tristique urna malesuada, pede augue sodales, congue amet ullamcorper semper eu scelerisque, integer id non nunc in. Ut nec penatibus donec eget. Accumsan auctor interdum nulla penatibus, morbi vulputate penatibus id lectus. Bibendum nunc ligula molestie at vivamus sit rutrum egestas, mauris in sodales vitae a mauris, amet imperdiet justo arcu sagittis.

Diagrams, charts and tables should be within the text where possible.

Text
At least 11-point font.
1.5 spaced or double-spaced.

Bibendum	Proin in	Suspendis	Nunc ligula	penatibus
Africa	China	New Zealand	Antarctica	Peru
Indonesia	US	Holland	Mongolia	Zimbabwe

Table 1: Bibendum lorem eget, nunc ligula dapibus

Ac venenatis aliquam fermentum gravida, ligula pellentesque tortor, dui sed arcu. Nullam tortor ut magna perferendis nibh urna, lobortis montes dapibus justo ac sit, sit laoreet vel rutrum egestas, id ultrices vitae, malesuada faucibus.

nec penatibus donec eget. Accumsan auctor interdum porttitor nulla penatibus, morbi vulputate penatibus id lectus. Bibendum proin in libero tempor sodales, molestie at vivamus sit rutrum egestas, mauris in sodales vitae a mauris, amet imperdiet libero justo arcu sagittis.

Pagination is compulsory

Text margin must be 20 mm from bottom of page

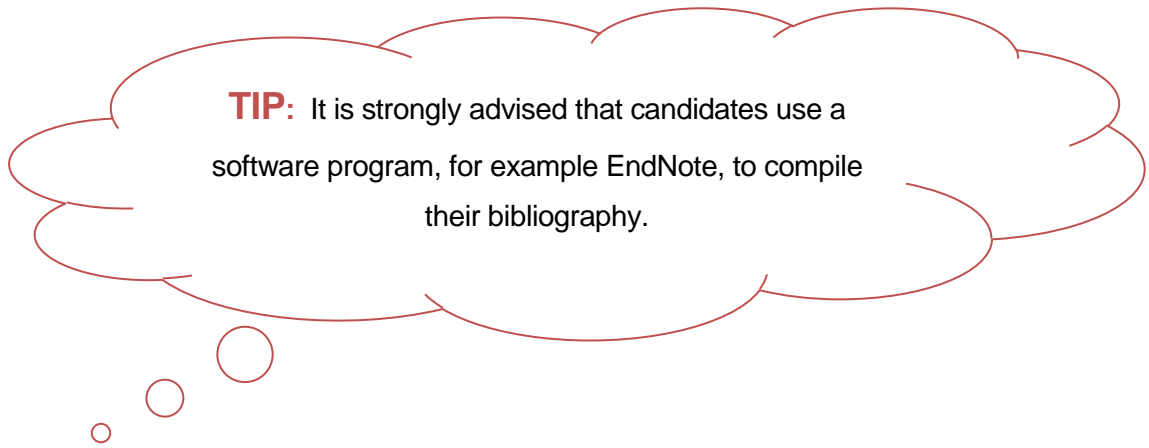
Drawings and graphics

- Any large-scale drawings may be presented separately **but only** with the supervisor's permission.
- Make sure they are International Standards Organisation paper size A1 (841mm x 594mm) with a margin of at least 40mm on the left-hand side to permit binding.
- Bind them together on the left-hand side and insert a clear sheet of drawing paper on top and underneath.
- Make sure the words 'The University of New South Wales Doctor of Philosophy/Master of Philosophy/Masters by Research Degree' and the title of the thesis are printed on the top sheet, with the year of submission underneath. The name of the candidate should be printed in the bottom right-hand corner.
- Drawings and graphics may be originals on cartridge paper or black-and-white prints. Computer generated graphics must be printed from a high-resolution laser printer or equivalent. They should be suitably coloured where appropriate and extra work may be added in ink to original drawings.
- The drawings should be digitised where possible, and submitted as an attachment to the digital Library deposit copies.
- Where all or part of the thesis is based upon work that the candidate has had accepted for publication, details of the publication must be clearly stated.

Compulsory final pages

After the body of the thesis, all thesis copies **must** contain a Bibliography or References list as appropriate.

Candidates should confer with their supervisors and School about the style of their bibliography, as this varies between disciplines.



EndNote is available from the IT Services website and is free to students of UNSW, including the COFA and UNSW Canberra campuses.

Tutorials are also available:

<http://endnote.com/training>

UNSW Canberra students should also refer to:

<http://guides.lib.unsw.adfa.edu.au/citations/endnote>

for referencing software.

Optional final pages

Candidates can include Appendices at the end of their thesis if relevant.

Extra materials

If the work presented for examination contains artefacts - such as a film, sculpture or a painting, which remain the possession of the candidate - a full visual documentary of the work must be submitted in an appropriate format. All the work presented in the exhibition must be fully catalogued. The catalogue must visually document the work in progress, with overall views of the final presentation and of each individual piece showing the entire work. For three-dimensional work, slides or other visual media, several views of the work are required. The visual documentary record should be digitised where possible, and submitted as an attachment to the digital Library deposit copies.

Digital thesis copies

Two digital copies of every thesis that has satisfied University requirements for the award of the degree must be deposited in the University Library at the conclusion of the examination:

- A master copy of the completed thesis, which includes a signed copy of the Originality statement, Copyright and Authenticity statements and Thesis/Dissertation Sheet. This copy will be archived and will not be publicly accessible.
- A public version of the thesis, which will be made available online and has been modified by the candidate to exclude any third party copyright material for which permission has not been given.

These two copies must be deposited before candidates can be awarded their degree.

<p>Download a copy of the <i>Copyright and Authenticity Statements</i> here.</p>	<p>Copyright Statement</p> <p>'I hereby grant the University of New South Wales or its agents the right to archive and to make available my thesis or dissertation in whole or part in the University libraries in all forms of media, now or here after known, subject to the provisions of the Copyright Act 1968. I retain all proprietary rights, such as patent rights. I also retain the right to use in future works (such as articles or books) all or part of this thesis or dissertation. I also authorise University Microfilms to use the 350 word abstract of my thesis in Dissertation Abstract International (this is applicable to doctoral theses only). I have either used no substantial portions of copyright material in my thesis or I have obtained permission to use copyright material; where permission has not been granted I have applied/will apply for a partial restriction of the digital copy of my thesis or dissertation.'</p> <p>.....</p>	<p>Candidate's signature</p>
	<p>Authenticity Statement</p> <p>'I certify that the Library deposit digital copy is a direct equivalent of the final officially approved version of my thesis. No emendation of content has occurred and if there are any minor variations in formatting, they are the result of the conversion to digital format.'</p> <p>.....</p>	

Digital copy specifications

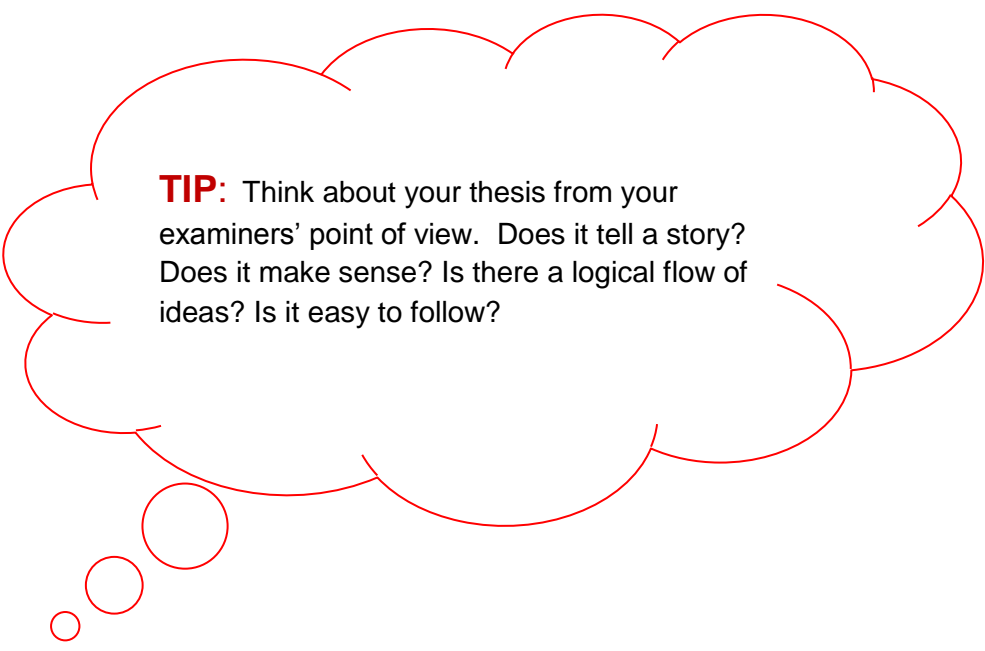
The digital copies must be submitted to the UNSW Library in an approved format. Details of the approved format are available at the UNSW Library website:

<http://library.unsw.edu.au/research/publishing-and-sharing-your-research/depositing-your-thesis>

Candidates are encouraged to submit their thesis electronically via PDF but other digital submissions are acceptable.

The digital thesis copies must include the Title Page, Table of Contents, the Thesis/Dissertation Sheet, Originality Statement, Copyright Statement and Authenticity Statement.

Electronic signatures can be used on these statements.



TIP: Think about your thesis from your examiners' point of view. Does it tell a story? Does it make sense? Is there a logical flow of ideas? Is it easy to follow?

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.

Publication IV

Post, W, Stamp, R, Smith WA and Angell S. Thesis postage in the winter months. Rain Nor Snow International. 2008 Sept; 32(3): 1245-56.

Declaration

I certify that this publication was a direct result of my research towards this PhD, and that reproduction in this thesis does not breach copyright regulations.

Title of Journal

Date
published

Will Post [Candidate]

OR if a manuscript has been submitted BUT not yet accepted for publication:

Publication IV

Post, W, Stamp, R, Smith WA and Angell S. Thesis postage in the winter months. Submitted to Rain Nor Snow International, [submitted]

Declaration

I certify that this publication was a direct result of my research towards this PhD, and that reproduction in this thesis does not breach copyright regulations.

Will Post [Candidate]

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.

(see next page)

SUPERVISOR STATEMENT

I hereby certify that all co-authors of the published or submitted papers agree to [the Candidate] submitting those papers as part of his/her Doctoral Thesis.

Signed

Date

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 (3 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** 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](#).

UNSW 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 U 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