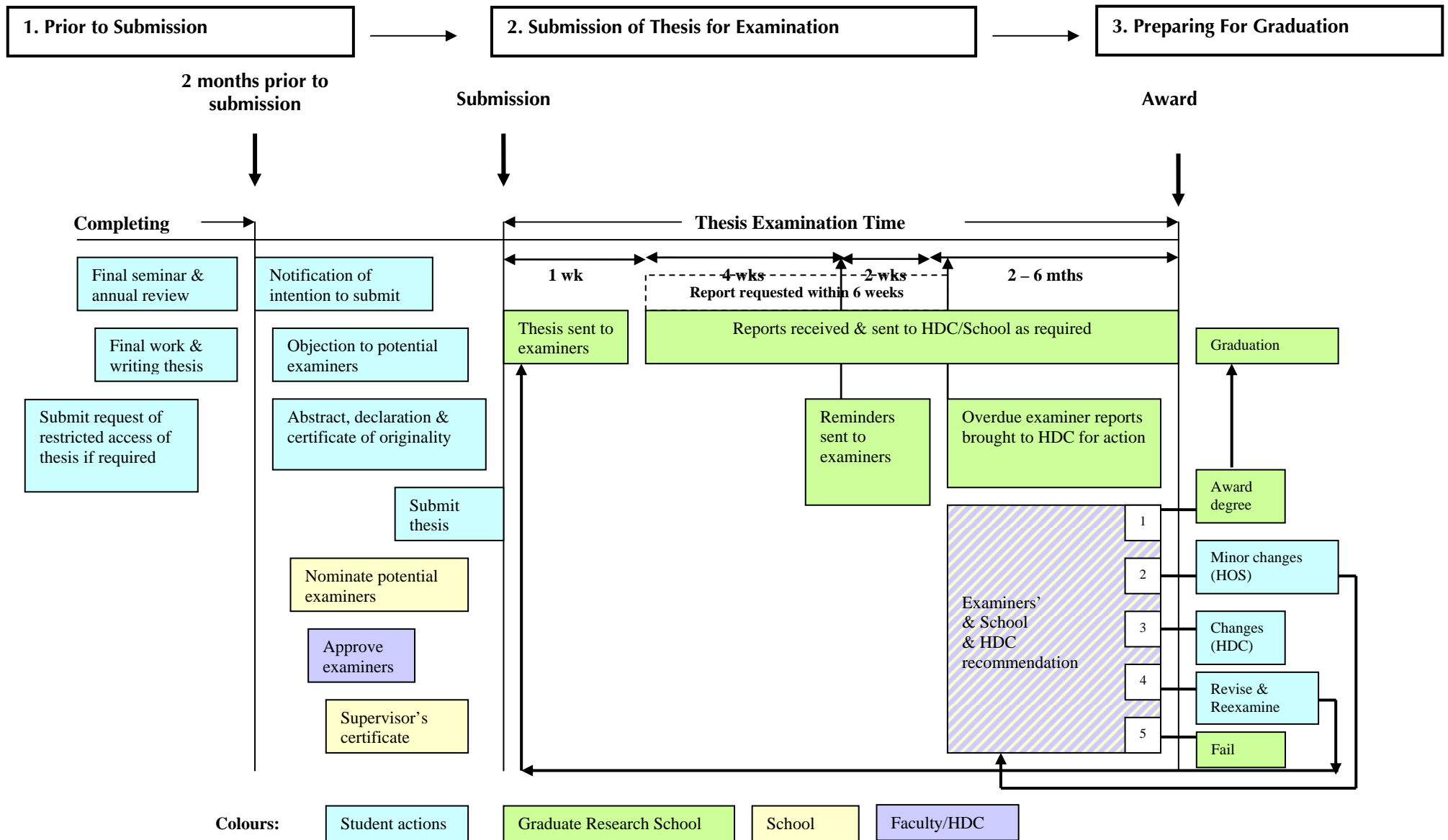


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THE THESIS SUBMISSION AND EXAMINATION PROCESS – AN OVERVIEW



1. PRIOR TO SUBMISSION

NOTIFICATION OF INTENTION TO SUBMIT YOUR THESIS

Students are required to give at least eight weeks notice of your intention to submit your thesis by completing and submitting a *Notification of Intention to Submit a Thesis for Examination* via the Thesis Examination Management link in the 'My Student Profile' tab on myUNSW. You should also enter your thesis abstract on this screen.

Eight weeks notice is required to allow sufficient time for examiners to be contacted and appointed and ensure that your thesis is sent for examination as soon as it is submitted. Examiners are contacted and asked whether they are available to examine your thesis based on the projected submission date. Hence, it is important to note that failure to submit on the date indicated may impact on the availability of examiners to assess your thesis and hence the length of the examination period.

EARLIEST DATE FOR SUBMISSION

A candidate may not present a PhD thesis for examination earlier than the end of the sixth semester of candidature (full-time equivalent enrolment). The six semesters includes credit granted towards the degree from work performed prior to enrolment at UNSW.

Under special circumstances the University recognises that some students may have demonstrated exceptional research performance and completed all requirements for the degree and be ready to submit a thesis that UNSW is confident will pass examination at a very high standard. Submission in less than three years is rare and permission to submit in this time frame would normally include evidence of outstanding research. For example, publication of a substantial body of work in leading international journals in the field or patents; exemplary annual progress reviews that document the high level of achievement throughout the degree; supporting documents from the supervisor, Head of School and Faculty Dean, benchmarking performance against other graduates in the field at a similar stage of their careers.

Any such request should be submitted with the support of your supervisor and Head of School to the Higher Degree Committee (HDC).

NOMINATION OF EXAMINERS

The Head of School (HOS) or Postgraduate Coordinator (PGC) is responsible for nominating examiners for your thesis. It is University policy that the names of examiners appointed are not released to you until the examination process is complete.

Two examiners are appointed for all higher degree research theses, with the exception of the Doctor of Medicine. No person who has been employed by UNSW within the past five years can be appointed as an examiner. Your supervisor and co-supervisor(s) may not be appointed as examiners.

You have the right to indicate in writing to the Head of School/Postgraduate Coordinator any examiner who you would prefer not to examine your thesis. If no written submission is received by the date your thesis is submitted for examination it will be assumed that you have no objections to any potential examiners of your thesis.

The Nomination of Examiners Form is approved by the Faculty HDC. This Committee ensures that appropriately qualified examiners have been appointed, that the documents you have submitted regarding examiners are considered, and that the nominated examiners do not have a potential conflict of interest in assessing your research. A conflict of interest may arise, for example, where there has been prior collaboration between you and the proposed examiner, where the parties have co-authored a paper or where the proposed examiner is a potential employer.

2. SUBMISSION OF THESIS FOR EXAMINATION

You are required to submit 3 paper copies of your thesis (4 copies for the degree of Doctor of Medicine) in appropriate binding (additional copies may be required by the School, as detailed in *Preparation and Submission of Project Reports and Theses for Higher Degrees* (see appendix 1 at the end of this document). The thesis paper copies should be delivered in person, or posted to the appropriate campus office

It is acceptable to present your thesis in temporary binding providing that the binding is secure enough to endure the examination process.

You must ensure that each copy of the thesis contains:

- A signed [Originality Statement](#) and
- A completed and signed [Thesis/Dissertation Sheet](#), glued inside the front cover.

A completed [Graduation Information Sheet](#) must also be submitted with the thesis.

Your supervisor should ensure that a *Supervisor's Certificate* is submitted on the Thesis Examination Management system on myUNSW on or before the date the thesis is submitted.

SUBMISSION AGAINST THE ADVICE OF THE SCHOOL/FACULTY

The Graduate Research School is unable to accept a thesis that has not been certified for examination by the supervisor. The *Supervisor's Certificate* states that the thesis is in the correct format for examination (i.e. binding, layout, abstract etc). The certificate does not comment on the academic merit of the thesis and is not an endorsement that the thesis will pass examination. If a supervisor considers that the thesis is not likely pass examination then they will advise you for the reasons for this assessment. If you disagree with your supervisor and School's advice, then written submissions presented by the School outlining will be considered by the relevant Faculty Higher Degree Committee and you will be advised whether the recommendation of the School has been upheld or whether the thesis will be accepted for examination.

INTERNATIONAL STUDENTS

If your student visa expires while your thesis is under examination and you wish to remain in Australia until the result is known (and complete minor corrections if applicable), you may apply for a visa extension for a period of up to six months. If necessary, an extension beyond this period may be approved if you provide a supporting letter from your supervisor. Before applying for this extension you will first need to contact the Research Administration Officer in the appropriate campus office to obtain a letter of confirmation.

THESIS EXAMINATION PROCESS

Copies of your thesis are sent to the examiners with a request to examine the thesis within six weeks from receipt of the thesis. One copy of the thesis is retained by the University for reference.

If any reports are not received by the deadline, details of the overdue report(s) are sent to the HOS or PGC who contacts the examiner(s) concerned. In most cases a revised date for the receipt of the report will be negotiated, but if necessary a replacement examiner may be appointed. In the event that a replacement examiner is nominated, your supervisor is responsible for ensuring that you are consulted in accordance with the [Policy on Examination of Research Degrees](#).

The names of the examiners are confidential until the examination has been completed.

You may obtain information about the progress of the examination either from the Thesis Examination Management system on myUNSW or from the appropriate campus office by phone or email. Please do not contact the campus office **until at least 10 weeks after your thesis has been submitted**. In view of the confidential nature of the examination, only certain information may be provided prior to Faculty consideration of the case.

*What we **can** tell you*

- i) If examiners have been approved
- ii) If the thesis has been sent to the examiners
- iii) If examiners have been reminded of the report deadline

- iv) If any reports have been received and, if all reports have been received, the date the reports were sent to the HOS for recommendation
- v) If the HOS has made a recommendation on the basis of the examiners' reports and the date the recommendation will be considered by the Faculty
- vi) The Faculty decision, when known.

*What we **cannot** tell you*

- i) The names of examiners
- ii) The names of examiners who have returned or not returned reports
- ii) The recommendations contained in the examiners' reports prior to Faculty consideration
- iii) The recommendation of the HOS.

OUTCOME OF EXAMINATION

When all examiners' reports have been received, they are sent to the HOS or PGC for a recommendation. The recommendation from the School and the examiners' reports are then considered by the HDC. In the case of differences in opinions by examiners, the HDC may seek additional advice from the School or an independent assessor.

The HDC has delegated responsibility to make academic decisions regarding higher degree candidatures. It is important to note that two examiners are appointed for all PhD, Masters and MPhil theses at UNSW in recognition of the fact that they will have different levels of expertise regarding the thesis material, and hence the HDC is required to look at both recommendations as well as the written comments, in making an overall recommendation.

To merit the award of a PhD or MPhil at UNSW the examiners are provided with [Notes for Examiners](#) and asked to consider whether the submitted work:

- (i) Demonstrates that the candidate can conduct research or design, is capable of independent and critical thought, and can see the work in relation to the work of others;
- (ii) Demonstrates an awareness and understanding of literature directly relevant to the topic as well as in related areas of significance, and demonstrates the capacity to make considered judgements;
- (iii) Contains a satisfactory degree of originality and makes a significant contribution to knowledge; the expectation is that the candidate's work would be publishable.

Thus, in making a recommendation, the HDC must assess the academic arguments presented in the reports of both examiners, taking into account the above criteria, as well as each overall recommendation. In addition, the HDC seeks comments and a recommendation from the PGC/HOS for additional advice.

There are 5 possible recommendations from the HDC.

1. The thesis merits the award of the degree

You will be notified of this result in writing by the Graduate Research School and can proceed to prepare for graduation.

2. The thesis merits the award of the degree subject to minor corrections as listed to the satisfaction of the Head of School

If minor corrections (typically typographical, formatting and layout corrections) are required you will be notified of the requirements and provided with copies of the examiners' reports (without the examiners' names). You will be required to complete the corrections within two weeks of being notified of the requirements. You are not required to re-enrol whilst completing the revisions.

You must document all revisions so that the supervisor and HOS may verify that action has been taken in accordance with the examiners' recommendations. You must also provide one corrected copy of your thesis, bound in accordance with UNSW requirements and with a letter from the HOS certifying that the corrections have been made, to the appropriate campus office (see details at the end of document).

If more substantive changes are required, or additional work is requested by the examiners, then you should discuss the changes required with your supervisor and HOS.

3. Award Subject to Revisions and/or Further Work to the Satisfaction of the Higher Degree Committee

If further work is required you will be notified of the requirements, provided with copies of the examiners' reports (without the examiners' names) and provided with advice about re-enrolment. You will be advised of the date required for the thesis to be resubmitted. You will not normally be required to re-enrol whilst completing further work. However, if you are obliged to undertaking additional work in a laboratory, re-enrolment will be required.

You must document all thesis revisions so that your supervisor and HOS may verify that appropriate action has been taken in accordance with the examiners' recommendations. In the event of disagreement with an examiner's comments, you must present a cogent argument for your decision not to revise the thesis. The HDC will consider any such material and advise you of the outcome.

4. Revise and Resubmit for Re-examination

If you are required to resubmit your thesis for re-examination you will be notified in writing by the appropriate campus office and be set a deadline for resubmission. You are required to re-enrol for an additional period of candidature. International students will be required to pay tuition fees for this period and local students may be required to pay fees under the [Research Training Scheme](#) (RTS) guidelines.

The thesis is usually re-examined by one or more of the original examiners as determined by the HDC. While the same examiners are normally used for re-examination, in some cases examiners may decline to re-examine a thesis, in which case the HDC will appoint a new examiner. If a new examiner is nominated, your supervisor is responsible for ensuring that you are consulted about any objections to the appointment of potential examiners in accordance with the [Policy on Examination of Research Degrees](#).

Prior to resubmission of your thesis you should submit another *Notification of Intention to Submit a Thesis for Examination* on myUNSW. Your resubmitted thesis, in appropriate binding, must contain a signed [Originality Statement](#) and a completed and signed [Thesis/Dissertation Sheet](#) and be accompanied by a completed [Graduation Information Sheet](#). You need to submit a thesis copy for each examiner appointed to re-examine the thesis plus a back-up copy for the University.

Your supervisor is required to complete a *Supervisor's Certificate* for the revised thesis.

Your thesis will be re-examined in accordance with the procedures set out on pages 4/5. If corrections or further work are required then you must follow the procedures detailed on pages 5/6.

Please note that the second re-examination is final and that there will be no further examination of the thesis.

5. Non-award

Non-award of a PhD thesis is extremely rare. The HDC has the right to consider whether the candidate has satisfied the conditions for the award of a Masters by Research but this should not be assumed by the candidate.

3. PREPARING FOR GRADUATION

SUBMITTING LIBRARY COPIES OF YOUR THESIS

Prior to graduating, you are required to provide:

- i) One properly bound copy of the final version of your thesis for deposit in the UNSW Library. This copy must be delivered in person or by post to the appropriate campus office (see details at the end of document).
- ii) One digital (electronic) copy. Information for the digital submission can be found at: <http://www.library.unsw.edu.au/servicesfor/academic/deposit.html>

You will **not** be permitted to proceed to graduation if you have not submitted a properly bound corrected copy of the thesis to the appropriate campus office and a digital (electronic) copy to the library.

IMPORTANT INFORMATION ABOUT GRADUATION

Graduation Ceremonies

- Graduation ceremonies are held each semester. Ceremonies for all Faculties are held in March -May and September - October. A limited number of ceremonies are held in December which includes a ceremony for Faculty of Medicine research students.
- There are also a number of overseas ceremonies held each year that are open for all students to attend.
- You need to be allocated to a graduation ceremony to have your degree conferred (even if you do not attend that ceremony).

Dates and Times of Graduation Ceremonies

A graduation schedule is published each semester showing the Faculties, dates, times and locations of the ceremonies. The schedules are published in mid-December and mid-July each year. As soon as the schedule is approved it is uploaded to [myUNSW](#).

Your Graduation

- Once your thesis has been approved and you have been cleared for graduation, you will be sent a letter from the Graduate Research School notifying you that you are now eligible for graduation.
- You can check your ceremony date using the graduation schedule on myUNSW, or by checking your graduation details page within myUNSW.
- Your myUNSW graduation details page can be found by logging into [myUNSW](#) with your Unipass and then selecting your 'Student Profile' tab. A link to your graduation details page is shown on the left hand side of the page. You can also use myUNSW to check your outstanding debts, blocks and thesis title.
- Your graduation may be blocked if you have outstanding debts of over \$150 with the University. Debts include all fees, loans, library fines and equipment.
- At least 4 weeks prior to graduation all research graduands must submit a final bound paper copy and a digital copy of their thesis.
- Your testamur (degree certificate) and transcripts **will not** be presented to you at the ceremony if you have not submitted the library copies (paper and digital) of your thesis or have debts still owing to the University.

What You Will Need To Do – a checklist

1. Ensure your contact information held by the University is correct. This includes your mailing address and contact e-mail addresses. You can check your contact details via myUNSW. ☐
2. Ensure your name is correct on your student record. If your name is not correct, you will need to submit a Change of Name form and the required documentation to the University. ☐

3. Ensure you have cleared all outstanding debts with the University. Debts include all fees, loans, library fines and equipment. ☐
4. Ensure you have submitted the library copies of your thesis no later than 4 weeks prior to your scheduled ceremony. ☐
5. Read the graduation information on myUNSW at <https://my.unsw.edu.au/student/academiclife/graduation/index.html> ☐

Overseas Ceremonies

A number of overseas ceremonies are held each year. All graduands are warmly invited to attend. Ceremonies are held on a cyclical basis in Hong Kong, Singapore, Kuala Lumpur and Beijing.

If you wish to attend an overseas graduation, you may choose to defer using the options on your myUNSW graduation details page. Alternatively, please e-mail your request to the Graduations Section.

Graduation Information Package

A graduation information package is sent to all graduating students approximately 3 weeks prior to your scheduled ceremony. This package will include information about academic dress hire, a Graduation Information Guide, details about the ceremony, and your 3 guest tickets.

Extra guest tickets cannot be issued.

Not Attending the Ceremony

If you will be unable to attend your scheduled graduation ceremony, your degree will be conferred in your absence. To have your documents mailed you will need to complete the [Testamur Mailing Request](#) form that can be downloaded from myUNSW and submit the completed form to the Graduations Section. Documents will be mailed out at the *end* of the graduation ceremony period.

Attending a Later Ceremony

If you are unable to attend your scheduled ceremony and wish to attend a later graduation, you must complete the [Request To Attend a Later Graduation Ceremony](#) form that can be downloaded from myUNSW and submit the completed form to the Graduations Section.

myUNSW Information about Graduation Pages

Pages are updated in early December and July for the following round of ceremonies.

myUNSW login and main page:
<https://my.unsw.edu.au/>

You do NOT need a Unipass to access the information on the following pages:

Main graduation information page, graduation schedule and forms:
<https://my.unsw.edu.au/student/academiclife/graduation/index.html>

If you have further queries about graduation please contact:

Student Central

Phone: 02 9385 3092

Email: graduations@unsw.edu.au

APPENDIX 1

Preparation and Submission of Project Reports and Theses for Higher Degrees

1. Every candidate for the degree of Doctor of Philosophy, Master by Research or Master of Philosophy is required to submit 3 paper copies of the thesis for examination. These may be submitted in temporary binding such that the thesis can be forwarded to examiners without the possibility of disarrangement. The temporary binding shall preferably be in spiral-bound format. Theses stapled or presented 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 will submit a final bound paper copy and a digital copy for deposit and preservation in the University Library.

Where examiners have previously agreed to examine a digital copy of the thesis the candidate may, with the approval of the supervisor, submit a combination of paper and digital copies, as appropriate.

2. All copies shall contain in the preliminary pages, preceding the Table of Contents, an Abstract (of not more than 350 words) which shall indicate the problem investigated, the procedures followed, the general results obtained and the major conclusions reached, but shall not contain any illustrative matter.

3. All copies will include the following statement:

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.'

4. The following two statements will be agreed to during the digital submission process and will be included in the Library deposit copy.

Copyright Statement

'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.'

Authenticity Statement

'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.'

To download a copy of the *Copyright and Authenticity Statements*, click [here](#).

5. All copies shall contain a title page showing the title, author's name, degree and year of submission.

6. All copies shall be in either 1.5 or double-spaced typescript. Font size shall be not less than 11-point (and 10-point for footnotes) in a legible font and printed using a high quality laser printer or equivalent.

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

8. Diagrams, charts and tables should be presented in 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 submitted with the paper copies shall be digitised, where possible, and submitted as an attachment to the digital Library deposit copy.

9. Where the work presented for examination contains artefacts such as, a film, sculpture, painting, which remain the possession of the candidate, a full visual documentary of the work shall be submitted in an appropriate format. All the work presented in the exhibition of work must be fully catalogued. The catalogue must contain visual documentation of the work in progress; 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 shall be digitised, where possible, and submitted as an attachment to the digital Library deposit copy.

10. Where the work contains large-scale drawings these may be presented separately only with the supervisor's permission. They shall be of International Standards Organisation paper size A1 (841mm x 594mm) and shall have a margin of at least 40mm on the left-hand side to permit binding. They shall be bound together on the left-hand side and shall have a clear sheet of drawing paper on top and underneath. On the top sheet shall be printed the words 'The University of New South Wales ... of ... Degree' and the title of the thesis, and underneath that, the year of submission. On the bottom right-hand corner shall be printed the name of the candidate. Drawings and graphics may be originals on cartridge paper or black and white prints. Where they are computer generated they must be printed using 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 shall be digitised, where possible, and submitted as an attachment to the digital Library deposit copy.

11. Where all or part of the thesis is based upon work which the candidate has had accepted for publication, details of the publication must be clearly stated.

12. A candidate may submit a doctoral thesis in the format of a series of publications, with an Introduction/Literature Review Chapter and a Conclusions/Recommendations Chapter as specified in Appendix 2: Submission of a Doctoral Thesis as a Series of Publications.

13. **LIBRARY DEPOSIT COPIES:** One paper bound copy and one digital copy of every thesis, which has satisfied University requirements for the award of the degree, must be deposited in the University Library at the conclusions of the examination and prior to the candidate being awarded the degree.

The digital copy shall be submitted to the Library in an approved format. Details of the approved format are available at the Library website:

<http://www.library.unsw.edu.au/servicesfor/academic/deposit.html>

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

The Library paper deposit copy shall be bound by in accordance with the requirements given below. Acid free permanent paper, which will ensure preservation of the thesis for a minimum of 300 years, is

recommended.

The Library deposit paper copy is to be bound in boards covered with buckram and shall be lettered on the spine as follows:

(a) At the bottom and across – UNSW; or if the volume is too thin for this – UNSW may be printed vertically

(b) 70mm from the bottom and across, with the degree and year of submission of the thesis, for example -
PhD
2004

(c) Evenly spaced between the degree and year and the top of the spine the name of the candidate, initials first and then the surname, reading upwards in one line. No further lettering or any decoration is required on the spine or anywhere on the binding. In the binding of theses which include mounted photographs, folded graphs, etc. leaves at the spine shall be packed to ensure even thickness of the volume. All loose materials shall be inserted in a pocket in the back inside cover of the volume binding or bound into a dummy volume of the same dimensions and the same lettering as the text volume.

Completed forms and enquiries should be directed to the appropriate campus

Kensington	College of Fine Arts (COFA)	UNSW@ADFA
By Email: Please email the appropriate Faculty Administration Officer at the Graduate Research School. http://research.unsw.edu.au/graduate-research-school-contacts By Fax: + 61 (2) 9385 6238	By Email: Jo Elliot COFA Student Centre Coordinator j.elliott@unsw.edu.au By Fax: + 61 (2) 9385 0706	By Email: Christa Cordes c.cordes@adfa.edu.au or Elvira Berra e.berra@adfa.edu.au By Fax: + 61 (2) 6268 8919
By Mail: Graduate Research School The University of New South Wales UNSW Sydney 2052 Australia	By Mail: College of Fine Arts Research Administration PO Box 259 Paddington NSW 2021	By Mail: UNSW Canberra Research Student Unit, SAS Northcott Drive Canberra ACT 2600
In Person: Graduate Research School The University of New South Wales Level 2, South Wing Rupert Myers Building Gate 14, Barker St, Kensington	In Person: The Elwyn Lynn Conference Centre G Block, Selwyn St Paddington	In Person: UNSW Canberra Research Student Unit Top Floor, Building 15, Room 101 ADFA

APPENDIX 2

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, six 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

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. Evidence that copyright holder agreement has either been waived or received must be provided by the student
5. The specific declaration regarding each publication:
 - a. should include reference to publication status of each publication included (published/accepted/submitted), 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.
6. The documentation that must be supplied by the Head of School/Supervisor to the HDC must include:
 - a. A clear statement that the number and quality of publications that will comprise the thesis is appropriate to the discipline of the thesis
 - b. A clear statement of the authorship-order conventions in the relevant discipline
 - c. A justification of the statements on number and quality of publications based on appropriate metrics and other relevant factors.
 - d. 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 Further enquiries, contact the Chair of the Faculty of Engineering Higher Degree Committee (<http://research.unsw.edu.au/higher-degree-committees>).

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.
 - b. 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.
 - c. A clear statement of the authorship-order conventions in the relevant discipline.
 - d. 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