Policy Document Administrator	Edwina Murphy, Deputy Vice-Chancellor (Research)
Policy Document Approver	Academic Board
Responsible Body/Person	Research Committee
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Superseded documents	None
Related documents	Confirmation of Candidature Policy HDR Examination Policy HDR Thesis Examination and Conferral Procedure HDR Thesis Submission & Final Bound Copy Rules
Related HE Standards	4.2.1

1. PURPOSE

To outline the rules governing the preparation and submission of a thesis by publication.

2. DEFINITIONS

Definitions for any words in **Bold** in this document can be found in the Policy Glossary. The first instance of each defined term has been outlined in bold.

3. PRINCIPLES

3.1 Permission

To present a doctoral thesis containing publications for examination, a candidate—with their supervisor's recommendation—must obtain permission from Research Committee when applying for Confirmation of Candidature.

3.2 Confirmation of Candidature

As part of the candidate's Confirmation of Candidature, the research proposal submitted must include a list of proposed articles aligned to the thesis chapters; a statement demonstrating coherence with the thesis or main research question; and journals, conferences, or book chapters where the material is proposed to be presented and/or published. When considering publication outlets, attention should be paid to the Journal and Publisher AUT Ranking List. Not all the publications in the thesis need to appear in outlets included on the list, but there should be enough of them to give the examiners confidence that the research is of sufficient quality.

3.3 Eligible Material

A thesis by publication may include relevant papers, including conference presentations, which have been published, accepted, submitted or prepared for publication at the time of submission. At least half of the research for each publication must have been undertaken during enrolment. The papers must form a coherent and integrated body of work, which focusses on a single thesis project or set of related questions or propositions. These papers are one part of the thesis, rather than a separate component (or appendix). Candidates must receive

permission from publishers to include the article(s) and/or book chapter(s) in the thesis. They must also notify the AUT office of any embargoes on the availability of the thesis which may result from material having been accepted but not yet published.

3.4 Ethics Approval

If any human participant research is included in the individual articles, or the thesis as a whole, ethics approval must have been obtained prior to the collection of the relevant data from either the AUT HREC or another approved HREC.

3.5 Contribution by Co-Authors

The papers included may be authored by the HDR candidate alone or co-authored. Unless otherwise approved by Research Committee at Confirmation of Candidature, a maximum of two co-authored papers may be included. For these, the candidate must specify in a Statement of Authorship his or her specific contribution to their conception, data collection, analysis, and writing. The contribution of others to the preparation of the thesis or to individual parts of the thesis should also be specified. This allows examiners to assess if the quality and extent of the candidate's contribution warrants the award of the degree based on the prescribed criteria.

3.6 Number and Presentation of Papers

There is no specific number of publications that must be included. As a general rule, a candidate will need to have enough papers to support the important findings from the research, presented in a logical and coherent way. Most PhD theses by publication will have between 4 and 8 papers. DMin theses will usually have fewer papers due to the lower word count. These papers will form thesis chapters and should be arranged in the manner which best supports the thesis, rather than the order in which they were published. The length of the papers, and the referencing used, will reflect journal and/or publisher guidelines. Generally, a thesis by publication will be at the lower end of the permitted word count.

3.7 Integration of papers

Although it is not necessary to reformat published works in a thesis, it is not enough simply to bind these publications together. The candidate must include a critical introduction to the work and a concluding section that synthesises all the material. The nature and quantity of this integrating work will vary from thesis to thesis; sections that link the papers together may also be required. It is preferable that there be one sequence of pagination throughout, if possible. This may be in addition to the pagination for individual articles. Above all, candidates must consider the coherence of the thesis as a whole and the way in which each paper contributes to the overall thesis. In examining a thesis by publication, examiners apply the same criteria in terms of unity of purpose and coherence of argument as for traditional theses.

3.8 Preparing for a Thesis by Publication

Candidates and supervisors should plan a thesis by publication in relation to the timetable of the individual project and the writing conventions and publishing schedules of their discipline to ensure that research, writing and submission can be undertaken within candidature time. Although a thesis by publication may contain some repetition, as well as referencing and stylistic inconsistencies due to publishing requirements, these should be minimised to assist the examiners. Examiners will be sent a copy of these guidelines when approached to examine a thesis by publication in order to ensure that they are willing to do so.

4. VERSION HISTORY

Version	Approved by	Approval Date	Effective Date	Changes made
1	Academic Board	29 May 2015	29 May 2015	Initial regulations
2	Academic Board	28 October 2022	28 October 2022	Significant changes
3	Academic Board	31 January 2025	31 January 2025	Updated template; change from guidelines to rules; addition of 3.4 on ethics approval.
4	Academic Board	23 October 2026	23 October 2026	Explicit reference to DMin.

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