

## Guidelines for Thesis with Publications Submission

### 1. Introduction

The University has introduced a new submission option, Thesis with Publications, which permits students registered on a Research Degree Programme (RDP) to incorporate material within their submission which they have produced during their RDP registration, and which has been published or is in a format suitable for publication.

One of the key commitments of [Strategy 2030](#) is to educate global citizens through a transformative student experience and develop graduates who are sought after by employers. The Thesis with Publications option provides research students with the choice and flexibility to include work in their submission that they have published during their registration on their current research degree programme. It will enhance their skill set and employability prospects by allowing them to acquire and develop skills in academic writing, peer review and response to critique during doctoral study and in preparation for assessment.

The guidelines should be read in conjunction with the [Study Regulations for Research Degree Programmes](#) and the [Code of Practice for Research Degree Programmes](#). Please note that the Thesis with Publications submission option is governed by the Study Regulations for Research Degree Programmes and should conform to the same standard as the traditional monograph-style submission.

Feedback on the guidance is welcomed; please contact the Quality Assurance and Regulations Team, Academic Affairs ([gar@qub.ac.uk](mailto:gar@qub.ac.uk))

### 2. Definition

The Thesis with Publications submission model is an alternative to the traditional monograph-style submission and allows a PhD, MD, Professional Doctorate, Integrated PhD, or MPhil student to present a thesis which incorporates publications that they have authored or co-authored during their registration on their current programme of study as an RDP student at the University.

The materials (referred to hereafter as 'publications') acceptable for inclusion are those:

- Already published
- Accepted for publication
- Submitted for publication
- Drafted as a potential publication

Publications should be suitable for submission to externally refereed contexts such as scholarly or scientific journals and conference proceedings and should reflect the quantity, quality and originality of research and analysis expected of a student submitting a standard monograph thesis. Publications produced before registration on their current programme of study as an RDP student at the University cannot be used. A Thesis with Publications submission must meet the normal standards required for the award as outlined within the [Study Regulations for Research Degree Programmes, Regulation 6.3 and 6.4](#).

The number of publications included may vary according to discipline. There is no maximum number of publications; however, the submission cannot be presented as a series of publications bound together with no additional context.

A Thesis with Publications submission is distinct from the PhD by Published Works, which is contingent on the student having papers published prior to registration at the University and is only open to members of staff at Queen's, who have been employed by the University for a minimum of one year prior to application. See [Regulation 6.2.13](#) for more information.

### 3. Eligibility

The Thesis with Publications submission is available to PhD, MD, Professional Doctorate, Integrated PhD, and MPhil students, including collaborative research degree students<sup>1</sup> (provided that this option is acceptable under the Memoranda of Agreement), registered on full-time and part-time modes of study at the University.

### 4. Monitoring

Interested students should make enquiries to their supervisory team if they feel that their output may be suitable for the Thesis with Publications submission. Formal commitment is not required until the Notice of Intention to Submit stage of the Research Student Lifecycle (see Section 6).

The suitability of this submission option for the student, along with the student's progress, should be monitored by the supervisory team and discussed and recorded at Annual Progress Review (APR) panel meetings. The research plan must also be updated throughout the period of study.

### 5. Incorporating Publications in the Submission Structure

#### a. General Formatting

These guidelines are deliberately not prescriptive in defining how publications can be included in a submission, as it is recognised that this will vary between disciplines. However, inclusion of publications in lieu of traditional chapters does not exempt a candidate from meeting the University [guidelines](#) on writing and presenting a thesis. This includes the word limit for the length of the submission; however, this is an upper limit rather than a target. In addition, the publications must constitute a body of knowledge within a coherent and continuous thesis, rather than a series of disconnected publications.

#### b. Formatting of Publications

Author-formatted manuscripts of publications should be stylistically integrated into the submission, matching typeface, margins, and continuous pagination, rather than including the publisher-approved proof. The manuscript of any papers intended for future publication and currently in draft form should be treated in the same manner.

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<sup>1</sup> For the University's definition of a collaborative research degree, see <https://www.qub.ac.uk/directorates/AcademicStudentAffairs/AcademicAffairs/CollaborativeArrangements/TypesofCollaboration/#collaborative-research-degrees-1328689-1>

Any sections of the submission which are published or in publishable format should be clearly identified. The incorporation of publication-style chapters in the submission may lead to some duplication since each may have self-contained components that might overlap with parts of the other sections of the submission. Nevertheless, the maximum length of the submission should not normally exceed that of the standard submission.

c. Contribution of Co-authored Publications

A clear statement of author(s) contribution and permission is required for every publication. It is expected that the student will normally be first author of the publication(s) or that the student's contribution to the publication demonstrates that they have played a significant role in developing and writing of the research.

If any publications are co-authored, the student is required to seek permission of the co-author(s), and to collect approval(s) which may be requested as supporting evidence. Where explicit permission from a co-author has not been obtained, proof of communication of this request to the co-author (e.g., an email) is acceptable. The student is expected to have made two attempts to contact each co-author to obtain this permission, within a six-week period.

d. Plagiarism

Any work submitted must be substantially different from any work which may have been previously submitted for any degree at this or any other institution.

The incorporation of publications may generate a close match alert when the submission is processed through the University recognised originality checking service. Providing the publication(s) has been clearly referenced, this should be treated as acceptable. For more information and advice on plagiarism and research misconduct, please see the [Code of Practice for Research Degree Programmes](#).

e. Cover Page

Students should complete the Thesis with Publications Template Cover Page (Appendix 1) and provide this for each chapter containing a publication within their submission,

6. Notice of Intention to Submit a Thesis with Publications

As part of the Notice of Intention to Submit process, the School Postgraduate Research Committee (SPRC) will formally confirm the Thesis with Publications submission option for the student. Only in exceptional circumstances will permission be given to revert to traditional thesis submission after this point.

7. Examination

The SPRC should make the internal and external examiners aware that the student will submit under the Thesis with Publications submission model and confirm that they are familiar with this type of submission, prior to them agreeing to examine. The formal

letter of appointment will confirm the submission model and provide links to the relevant regulations and guidance.

The examiners must satisfy themselves that the submission meets the requirements of the award as prescribed in the [Study Regulations for Research Degree Programmes](#). Although a submission may contain papers that have been published or accepted for publication, this does not guarantee that the examiners will recommend the award for which the candidate is being examined.

The examiners are entitled to examine the student on any part of the submission. The examiners may specify revisions to any part of the submission presented for examination, including those parts already published or accepted for publication. Examiners may request that additional information be added to chapters containing peer reviewed publications if they feel that the publication insufficiently explains the data or if it would benefit from extended or different analyses. Any such changes would preferably be dealt with in the introduction or conclusion of the chapter containing the publication.

The examiners will not be able to request a resubmission in a traditional submission format after the oral examination.

#### 8. Copyright

Copyright for published material will usually be held by the publisher or authors. The student is responsible for obtaining the necessary permission from the copyright owners to include the material in the thesis and to collect approvals (or evidence of seeking approval) which may be requested as supporting evidence. Supervisors and students are advised to contact the Open Research Team for details of the training suite available to them on copyright and publishing. Supervisors and research students are also advised to consult the University's Research Portal Policy and familiarise themselves with the E-thesis LibGuide ahead of preparing their Thesis with Publications for submission to the University's research repository. For further guidance, please contact the Open Research Team ([openaccess@qub.ac.uk](mailto:openaccess@qub.ac.uk)).

Approved by Education Committee (Quality and Standards), 26 June 2024

Appendix 1

Template Cover Page for Chapters Containing Publications

Type of Publication	<input type="checkbox"/> Already published. <input type="checkbox"/> Accepted for publication. <input type="checkbox"/> Submitted for publication. <input type="checkbox"/> Drafted as potential publications.
Full Details of Citation (if published)	<i>Include Author name, "Title of paper," Journal Title, volume, issue (year) page numbers.</i>
Journal Title (if submitted or accepted for publication but not yet published)	
Inclusion in Chapter	<input type="checkbox"/> This chapter is a word-for-word reproduction of the published article. <input type="checkbox"/> This chapter is a replication of the publication article with minor revisions. <input type="checkbox"/> This chapter substantially uses the content of the published article with some emendations and changes of phrase.
Statement of Contribution (for co-authored works)	<p>This study was conceived by all of the authors whose permission has been sought and/or granted, evidence of which can be made available on request.</p> <p>I carried out <i>[description of student's contribution to be inserted]</i>.</p>
Additional Context (if required)	

*Post-examination only*

If published or accepted for publication prior to original submission:	
Does this chapter now vary from the published article due to changes requested by the examiners?	<input type="checkbox"/> Yes. <input type="checkbox"/> No.
If submitted for publication but not yet accepted prior to original submission:	
Has the publication since been accepted or published?	<input type="checkbox"/> Yes, published. <input type="checkbox"/> Yes, accepted. <input type="checkbox"/> No.
Details of Full Citation (if published)	<i>Include Author name, "Title of paper," Journal Title, volume, issue (year) page numbers.</i>
Does this chapter now vary from the published or accepted article due to changes requested under the peer review process?	<input type="checkbox"/> Yes. <input type="checkbox"/> No.

**(This cover page should be provided for each publication included in the thesis.)**