

## Guidelines for 'With Publications' Submission

### 1. Introduction

The University has introduced a new submission option, '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. The 'With Publications' option has the benefit of allowing students to include work in their submission that they have published without having to rewrite it to the traditional thesis format.

This submission option will be introduced in 2023-24 as a pilot scheme, involving several Schools which have expressed interest in this submission model. The guidelines, written for students, staff, examiners, and other stakeholders, will be kept under review during this time. Feedback from the pilot scheme will inform any necessary revision of the guidance before formal approval and full University implementation in 2024-25.

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 '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 '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 potential publications but not yet approved, e.g., pre-print<sup>1</sup>

Publications should be suitable for submission to externally refereed contexts such as scholarly or scientific journals and conference proceedings. Publications produced before registration at the University cannot be used.

A '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 academic members of staff at Queen's, who have been employed by the University for a minimum of one year prior to application. See [Regulation 7.2.13](#) for more information.

---

<sup>1</sup> A full and complete draft which is shared prior to formal peer review and publication.

### 3. Eligibility

The 'With Publications' submission is available to PhD, MD, Professional Doctorate, Integrated PhD, and MPhil students, including collaborative research degree students (provided that this option is acceptable under the Memoranda of Agreement), registered on full-time and part-time modes of study at the University.<sup>2</sup>

### 4. Approval Process

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

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.

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

### 5. Number of Publications

The number of publications included may vary according to discipline. The publications should reflect the quantity, quality and originality of research and analysis expected of a candidate submitting a traditional monograph-style thesis. There is no maximum number of publications; however, the submission cannot be presented as a series of publications bound together with no additional context.

### 6. Incorporating Publications in the Submission Structure

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. In addition, the publications must constitute a body of knowledge within a coherent and continuous thesis, rather than a series of disconnected publications. Publications should be adapted and integrated within the style and structure of the thesis rather than including the publisher-approved proof.

Any sections of the submission which are published or in publishable format should be clearly identified. This should include:

- a. A section at the beginning of the submission listing the publications and which chapter they are associated with. Other outputs should be included, under separate headings.

OR

---

<sup>2</sup> Open to pilot scheme Schools only in 2023-24

A page at the beginning of each published chapter, giving the title and a link to the paper.

AND

- b. A clear statement, either at the beginning of the submission, or at the beginning of each chapter, to explain and justify in full the nature and extent of the candidate's own contribution and the contribution of any co-authors and other collaborators to the publications presented. (See also section 8, below.)

## 7. Formatting

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

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.

## 8. Contribution

A clear statement of author(s) contribution and permission is required for every publication. An example is provided in Appendix 1. It is expected that the student will normally be first author of the publication(s). 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.

## 9. 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. For further guidance, please contact the Open Research Librarian ([openaccess@gub.ac.uk](mailto:openaccess@gub.ac.uk)).

## 10. Examination<sup>3</sup>

The SPRC should make the internal and external examiners aware that the student will submit under the 'With Publications' submission model prior to them agreeing to examine.

As with the traditional monograph-style submission, the examiners should 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

---

<sup>3</sup> Examination of the 'With Publications' submission model will be permitted from 2024-25 onwards.

submission, and to specify revisions to any part of the submission presented for examination, including those parts already published or accepted for publication.

Although the examiners may request revision to a published manuscript included in the thesis, they will not be able to request a resubmission in a traditional submission format after the oral examination. Examiners will be made aware that inclusion of a peer reviewed published paper does not diminish their examination rights in terms of requesting additional information to be added to that particular chapter 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.

## 11. 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. A clear statement of author(s) contribution and permission is required for every publication included within the submission (see Section 8 above). For more information and advice on plagiarism and research misconduct, please see the [Code of Practice for Research Degree Programmes](#).

Approved by Education Committee (Quality and Standards), 21 June 2023

## Appendix 1

### Example Statement of Author Contribution and Co-Author Approval

Note that this chapter was conducted as part of my PhD (YEAR-YEAR) and first appeared as a published article. I include the full details of the citation below:

Author name, "Title of paper," Journal Title, volume, issue (year), page numbers.

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. I carried out (description of student's contribution). This chapter (include appropriate option) is a word-for-word reproduction of the published article/replication of the publication article with minor revisions/substantially uses the content of the published article with some emendations and changes of phrase.

**(This paragraph should be repeated for each journal article included in the thesis.)**