

Thesis by Compilation Guideline

Purpose	<p>There is an increasing expectation in many disciplines, that PhD students should publish journal articles during and shortly after their degrees. A thesis by compilation allows a student to focus their writing on publishable journal articles and book chapters.</p>
Guideline	<p>Preamble</p> <p>Because of disciplinary variability, the guidelines are not prescriptive in details such as number of papers required. Overall, the quantity and quality of the material presented for examination needs to equate to that which would otherwise be presented in the traditional thesis format. The guidelines assume a vital role for Colleges, Schools and supervisory panels thus aiming to embrace sensible disciplinary differences while ensuring an ANU PhD remains of the highest quality.</p> <p>Submission of a thesis by compilation requires approval by the Delegated Authority. The approval process ensures that the student has received important, discipline-specific guidance on the appropriate quantity and quality of papers for submission as a thesis. Only in exceptional circumstances will approval be given to a candidate for a Master of Philosophy or Professional Doctorate to submit a thesis by publishable papers.</p> <p>Guidelines</p> <p>The papers must have been researched and written during the course of the candidature, except in the case of students admitted to a program under the ANU staff provisions (Research Award Rules 2.3(3) and 2.3(4)). A thesis by compilation may include video recordings, film or other works of visual or sonic arts,</p>

computer software, digital material or other non-written material for which approval has been given for submission in alternative format.

Approval

The option to submit a thesis by compilation will require the support of the supervisory panel and the approval of the Delegated Authority well in advance of the submission. Typically, students should commit to this form of submission and seek approval at least 12 months from completion, no less than 6 months out, although in some disciplines a commitment to thesis by compilation would be appropriate much earlier. Supervisors should discuss the option early in the student's candidature and offer practical guidance about realistic peer-review and publication timeframes in their discipline.

Number and status of papers

The thesis will be based on a number of papers published in, accepted by, under review at, or in preparation for high-quality, peer-reviewed journals. In some disciplines (e.g. mathematics) a single long monograph may be acceptable; in others the discipline expectation might be 4–5 peer-reviewed papers. Normally it would be expected that the majority of papers were published, or accepted for publication. Those papers that have not been accepted for publication will be examined in the same manner as traditional thesis chapters. Colleges, Schools and supervisory panels should provide sound disciplinary advice on appropriate number and publication status.

Authorship

Students who are undertaking a thesis by compilation should seek advice before signing publisher's agreements to ensure each agreement does not preclude the inclusion of the published work in their thesis.

Whether or not the candidate is sole author of all, some or any of the papers will vary by discipline and Colleges, Schools and supervisory panels should provide advice on what is most

appropriate within particular disciplines. Where the candidate is not the sole author of a paper, they must demonstrate that they have made appropriately significant contributions to the paper.

Construction of the thesis

A number of distinct papers are expected, and while some overlap between related papers is acceptable, they should nevertheless be substantially different in focus or content. A thesis constructed of chapters/papers/manuscripts must be presented in a logical and coherent way and will require the addition of linking text to establish the relationship between one chapter and the next. This could, for example, be achieved by the inclusion of a foreword to each chapter.

An extended context statement demonstrating the relationship between all aspects of the research is also required as part of the thesis. This will include an introduction to the field of study and the hypothesis or research questions, how these are addressed through the ensuing chapters, and a general account of the theory and methodological components of the research where these components may be distributed across separate papers/chapters. The context statement should be in the order of 10,000 words in length. The outcomes of the project and the author's conclusions will either be summarised in the context statement, or covered in a concluding chapter. The thesis may also include relevant appendices containing raw data, programs, questionnaires and other material that would normally appear in a standard PhD thesis.

A thesis by compilation must include a signed declaration that specifies:

- Title, authorship and publication outlet of each paper.
- The current status of each paper (In press, Accepted, Under Review, In preparation).
- The extent of the contribution of the candidate to the research and the authorship of each paper.
- For each paper where the candidate is not the sole author, the collaborating authors must also sign the

	<p>declaration.</p> <p>The entire thesis, including the published papers, must be formatted in an acceptable PhD thesis style, although journal formatting can be preserved. The papers and supplementary material should be on A4 paper (or similar), bound together in a single volume.</p> <p><i>Examination</i></p> <p>Following submission of the thesis the standard ANU examination procedures will apply.</p>
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Responsible Officer	Pro Vice-Chancellor (Research & Research Training)
Date Approved	to be advised
Approval Authority	Vice-Chancellor
Contact area	Office of the Pro Vice-Chancellor (Research & Research Training)
Date of Commencement	to be advised
Related Policies, Procedures, Guidelines, Forms	Research Awards Rules 2012 Research Theses Submission and Examination: Information for Higher Degree Research Students Theses by Creative Works Editing of Research Theses by Professional Editors
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