

## Procedure 5: Requirements of a Thesis with Publication

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### 1. OVERVIEW

A Thesis with Publication enables Higher Degrees by Research to be awarded to candidates on the basis of their original and substantial scholarly contribution to knowledge, as demonstrated in a range of publications. A Thesis with Publication is a combination of publishable work based on original research and a substantive written, integrating component. The research process and material presented must be equivalent to a traditional thesis; the main difference is in the format of the final submission and the impact of the research.

### 2. CONSIDERATIONS BEFORE COMMENCING A THESIS WITH PUBLICATION

There are a range of benefits to candidates in producing a thesis with publication:

- 2.1 Publication is an important research outcome in most fields of study and demonstrates that the thesis meets high, internationally recognised standards. Candidates whose future careers would benefit from training in the publication process should consider this type of thesis to help build their track record.
- 2.2 The peer review process provides the opportunity to receive expert feedback before submitting the thesis for examination and may also improve writing skills.
- 2.3 Publication during candidature, or shortly after, enables strategic and timely dissemination of research findings and potential research impact.
- 2.4 Publishing during candidature provides the opportunity for training in the publication process, for example by co-authoring with supervisors and other academics, either within ECU or with associate supervisors external to the University.
- 2.5 Preparing publications can lead to additional networking opportunities, for example presenting the research at conferences, which can enhance future career opportunities.
- 2.6 Encourages industry professionals to undertake academic research.
- 2.7 Encourages significant new knowledge to be captured and conceptualised in a different format.
- 2.8 Strengthens links with industry and community.

However, Candidates also need to bear in mind the following:

- 2.9 The decision to present a Thesis with Publication should be made early in candidature and with advice from the Candidate's supervisory panel.
- 2.10 Once a decision is made to undertake a Thesis with Publication, the thesis format needs to be considered in conjunction with the relevant sections of the University Rules and policies.
- 2.11 Identifying the most appropriate form and source for publication is important and should be discussed with the Candidate's supervisory panel as part of a Publication Plan 2.12 Guidance is essential early in candidature, especially from the supervisor, as a range of issues (such as publishing timeframes) needs to be considered. Time management and selection of publication source is critical.
- 2.12 The level of supervisor input needs to be carefully considered. Supervisors can assist with the editing of drafts but must ensure it is still predominantly the Candidate's work; Candidate contribution must be a minimum of 50%.

### 3. SUGGESTED FORMAT FOR A THESIS WITH PUBLICATION

Candidates should follow the general presentation guidelines in Procedure 4 Requirements of a Thesis for Examination.

- 3.1 Title Page
- 3.2 Declaration: I certify that this thesis does not, to the best of my knowledge and belief:
  - (i) incorporate without acknowledgement any material previously submitted for a degree or diploma in any institution of higher education;
  - (ii) contain any material previously published or written by another person except where due reference is made in the text; or
  - (iii) contain any defamatory material.
  - (iv) I also grant permission for the Library at Edith Cowan University to make duplicate copies of my thesis as required.
- 3.2 Abstract of no more than 500 words.
- 3.3 Acknowledgements by the Candidate of help given or work carried out by any other person or organisation.
- 3.4 List of publications included as part of the thesis. For work that has already been published at the time of submission, list the full bibliographic citations in the order they appear in the thesis. If applicable, provide evidence of peer-review in an appendix. For publications with copyright issues, include a statement that permission regarding copyright has been obtained from the publishers where necessary (see 5.1).
- 3.5 Statement of contribution of others. The purpose of this statement is to summarise and clearly identify the nature and extent of the intellectual input by the Candidate and any co-authors. The statement must be signed by the Candidate and the supervisor. At the time of thesis submission, a written statement from each of the co-authors must be provided to the Research Students Scholarship Committee (via the Research Examinations Officer) and must be included as an appendix in the thesis (see 4.4).
- 3.6 Table of Contents
- 3.7 A critical review with a full explanatory introduction, general discussion and conclusion, must be included to integrate the publications (or drafts thereof) and to place them in the context of an established body of knowledge. The final submission must represent a coherent body of research and be entirely the Candidate's own work (see 4.5)
- 3.8 Publications/thesis chapters. The publications should be formatted the same and embedded as chapters within the thesis. The full bibliographic citation of the publication should be stated on the first page, with a Summary Statement (see section 4.8) if required.
- 3.9 General Conclusion. This section should synthesise the key findings of the thesis and draw the main conclusions, as per a traditional thesis. It may also include sections such as Recommendations or Further Research.
- 3.10 Appendices. These may include statements from co-authors, permission letters regarding copyright and evidence demonstrating some form of peer review of the publications. If detailed descriptions of methods and additional data are not provided within the publications, they should be included as an appendix to the thesis. PDF proofs of published work should also be provided.
- 3.11 Bibliography. List all references cited in the publications that are included as part of the thesis. This may not be necessary if references are included at the end of every chapter.

#### **4. GUIDELINES ON RECOMMENDED FORMAT**

- 4.1 'Publication' refers to research outcomes that will be available in the public domain. This can include research presented in the format of a journal article, book chapter, published conference paper or any other form of scholarly work prepared for publication. The publications prepared should be submitted for academic peer review, similar to that of ranked refereed journals, or to be at an equivalent standard as certified by the supervisor. Examples of other acceptable forms of publication, based on adhering to the

standards above, include monographs, media recordings, performances, exhibitions, creative work, software or other original work relevant to the discipline and approved by the supervisor.

- 4.2 The submitted thesis can consist of publications that have already been published, are in the process of being published, or a combination of these. For example, this could include publications that are accepted, are still under review, have recently been submitted or will soon be submitted. All research presented in the thesis must have been completed during the period of enrolment.
- 4.3 The number of publications submitted will vary between disciplines and projects, but should be sufficient for the body of work to constitute a substantial and original contribution to knowledge.
- 4.4 Publications where the Candidate is a joint author can only be included in the thesis provided the work done by the Candidate is clearly identified. The candidate should be first author with a contribution of at least 50% to each publication. For large collaborative projects (e.g. productions, design plans, or exhibitions with multiple artists), the Candidate must have contributed at least 50% to the component of the publication for which their thesis is based on. At the time of thesis submission, the Candidate must provide a written statement from each of the co-authors to the Research Students Scholarship Committee (via Student Services), and this statement should be included as an appendix in the thesis.

The written statements of the co-authors may take the following form and copies of these statements should be included as appendices at the end of the thesis:

To Whom It May Concern,

I, *[Full Name of Candidate]*, contributed *(insert details of the Candidate's contributions to each component of the research reported in the publication)* to the paper/publication entitled *(insert reference details)*.

*(Signature of Candidate)*

I, as a Co-Author, endorse that this level of contribution by the Candidate indicated above is appropriate.

*(Full Name of Co-Author 1) (Signature of Co-Author 1) (Affiliation) (Date)*

*(Full Name of Co-Author 2) (Signature of Co-Author 2) (Affiliation) (Date)*

*(Full Name of Co-Author 3) (Signature of Co-Author 3) (Affiliation) (Date)*

- 4.5 A critical overview is required to present an academic explanation of the submitted work and/or a description of the linkages between the works, thus presenting the thesis as a coherent whole. The entire thesis must, in the opinion of the Examiners, be a substantial contribution to the knowledge or understanding of a field of study and demonstrate the capacity of the Candidate to conceive, design and complete independent research. Candidates can present this overview as a single chapter at the beginning of the thesis (e.g. titled Critical Review), or as one chapter at the beginning of the thesis (e.g. titled General Introduction) and a chapter at the end of the thesis (e.g. titled General Discussion).
- 4.6 If an adequate contextual literature review is not otherwise presented as part of the publications, it will be included in the critical review or as a separate Literature Review chapter.

- 4.7 If detailed data and descriptions of methods are not otherwise given, they will be included as part of a separate Methodology chapter or in appendices.
- 4.8 The thesis must be coherent and not appear disjointed. To achieve this, other supporting commentary may be needed, such as a Foreword or Summary Statement at the beginning of each chapter/publication to establish the link to previous chapters and explain how it relates to the overall thesis argument. The chapters could also contain internal references to each other to avoid repetition. Publications should be presented in a sequential order that is logical to the progression of the thesis argument, and not necessarily in the order in which the work was undertaken or published. The thesis chapter in some cases could be an expanded version of the publication.

## 5. COPYRIGHT

- 5.1 The Candidate must check with each Publisher if there are any restrictions regarding copyright, format and style before inclusion of the paper in the thesis. For example, when papers are published the copyright is usually assigned to the journal; therefore the Candidate must take steps to avoid copyright infringement. Laws may differ from country to country; therefore it is important to check with each publisher. The Candidate must also indicate in the thesis that they have obtained permission from the Publisher, as follows:

*I warrant that I have obtained, where necessary, permission from the copyright owners to use any third party copyright material reproduced in the thesis (e.g. questionnaires, artwork, unpublished letters), or to use any of my own published work (e.g. journal articles) in which the copyright is held by another party (e.g. publisher, co-author).*

Copies of the permission statements should be included in an appendix to the thesis. (A sample letter requesting permission to reproduce material in a thesis is available on the Library's [thesis preparation page](#), or at [http://www.ecu.edu.au/\\_data/assets/word\\_doc/0003/195015/Form-letter.docx](http://www.ecu.edu.au/_data/assets/word_doc/0003/195015/Form-letter.docx))

- 5.2 Where possible, an electronic copy of your final thesis should be lodged with the Research Online Repository. Some of your thesis may contain copyright material that is owned by publishers. You will need to submit all those parts of the thesis for which either you hold the copyright (for example, the main body of the thesis) or for which the copyright holders have provided clearance for submission to the repository (for example, from a journal paper publisher). In the absence of receiving copyright clearance from publishers it may be that you choose to lodge only the overview part of the thesis.

## 6. FOR FURTHER INFORMATION:

Procedure 4 Requirements of a thesis for examination