



THE UNIVERSITY OF
NOTRE DAME
A U S T R A L I A

GUIDELINE: THESIS BY PUBLICATION

Purpose:	To provide general suggestions and guidance for normal practice in preparation of a research thesis by publication.
Responsible Executive:	Deputy Vice-Chancellor, Quality & Research
Responsible Office:	Research Office, Fremantle/Broome & Sydney
Contact Officer:	Director
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THESE GUIDELINES MUST BE READ IN CONJUNCTION WITH THE RESEARCH DEGREE REGULATIONS, COURSE REGULATIONS (PhD and relevant Professional Doctorate) AND ANY OTHER GUIDELINES RELEVANT TO THE CANDIDATE'S CHOSEN DISCIPLINE.

1. INTRODUCTION

The following information should be considered as general suggestions for those candidates preparing their thesis as a series of papers, alternatively known as thesis by publication.

In some cases, Schools have adopted guidelines for the format of theses generally and as appropriate to the discipline they represent. Candidates should follow the format most appropriate to their discipline and should consult the Dean of their School and their Supervisor in order to clarify any additional requirements.

Candidates should also consult their Supervisor for guidance if there is any doubt as to the appropriate style to be applied in their writing. Nonetheless, scholarly writing observes certain conventions which are set out below. A candidate should seek the approval of the Research Office if the presentation of their thesis departs in any significant manner from these minimum standards. A statement from the student's supervisor should support such a request.

2. DEFINITION OF THESIS BY PUBLICATION

The thesis by publication is not a different degree; rather, it is a thesis format that includes papers that have been prepared for and accepted for publication. They may have more than one author, in which case signatures from co-authors are required. The papers do not have to be rewritten as chapters for the thesis but must be published as a result of research undertaken during the period of candidature. Papers can be inserted in their published, pre-print or submitted format.

It is likely that a thesis by publication will contain some chapters which comprise papers submitted, but not yet accepted for publication, and some which have been accepted for publication. Regardless of the publishing status of the papers, the candidate must ensure that the thesis as a whole forms a coherent and cohesive narrative. It is important to avoid repetitive passages and to organise chapters into a logical and cogent sequence. A footnote at the beginning of any chapter that is a paper, either submitted or accepted, should explain its status and also the contribution of any co-authors. Such chapters may benefit from editing to avoid redundancy and repetition and assist the 'flow' of the thesis.

3. DECIDING TO PRESENT IN THIS FORMAT

The decision to present a thesis as a series of published papers needs to be decided upon early in the candidacy. As each School and/or discipline may have different issues to consider, it is recommended that the candidate discuss all options with their supervisor before this decision is made. If your future career would benefit from having several papers published during your candidature, you should consider this type of thesis as it may be of benefit to you, your supervisor and the University.

Depending on your discipline, benefits of publishing during thesis candidature include:

- writing for publication provides a track record which will benefit a candidate opting for a career path in academia or research;
- experts in the field (who are external to the University) will referee the work and will be able to provide feedback to the candidate prior to final examination;
- having part of the work published prior to examination establishes it is worthy of publication, which is one of the criteria for thesis examination;
- preparing papers for publication may lead to additional opportunities to present your work at conferences.

If you do choose this method for preparation of your thesis, it is important to remember that each chapter forms an integral part, so your thesis must present as a complete and articulated piece of work. You should place each chapter in a logical order

strongly linking your chapters avoiding the mistake of allowing your thesis to become incoherent. To this end it is a requirement that the work contain a stand-alone introduction and conclusion.

In the interests of adequately linking chapters it is highly recommended that each new chapter is introduced with a foreword and include a conclusion which would establish links to previous chapters.

4. ISSUES TO CONSIDER

Should you wish to present in this format, listed below are the requirements that must be followed:

- The thesis must comply with the Research Degree Regulations and relevant Course Regulations.
- The thesis must reflect a sustained and cohesive theme, and framing or substantial linking of text is normally required in introducing the research and linking the chapter / papers / manuscripts.
- Abstracts cannot form part of the thesis.
- **A minimum of four (4) papers is normally required¹**. The maximum amount of papers to be included will be dependent on the overall objective of your thesis.
- Your thesis should demonstrate a substantial and original contribution to knowledge.
- Whilst it is acknowledged that papers may be co-authored in some cases, it is expected that the candidate be the sole author of most of the papers and the first author of any co-authored papers.
- Papers must be published with due recognition of the student as a research candidate at The University of Notre Dame Australia.
- Papers must appear in peer-reviewed journals recognised by the Excellence in Research in Australia and Higher Education Research Data Collection initiatives.

5. FORMAT

(a) Title Page

You should include:

- Title of your thesis in full
- Your name and degrees
- School to which you belong
- Discipline
- The University of Notre Dame Australia's name
- Year of submission

(b) Table of Contents

(c) Abstract

Here you should summarise the appropriate headings, aims, scope and conclusion of the thesis in no more than 150 words at the masters level or 350 words at the doctoral level.

(d) List of Publications Included as Part of this Thesis

- List all published work included with the full bibliographic citations in the order they appear in the thesis. If necessary include a statement that the publication is refereed and provide the evidence in an appendix.
- Provide a statement at one end to indicate that permission regarding copyright has been obtained from publishers where necessary.

¹ Deviation from the expectation of four papers requires DVC approval and needs to be planned early in the candidature.

- (e) Statement of Contribution by Others
Here you should clearly identify the nature and extent of the intellectual input by the candidate and co-authors. This statement must be signed by the student and the supervisor.

Also, a written statement from each of the co-authors must be provided. This should also be included as an appendix to the thesis.

- (f) Acknowledgements
Provide acknowledgements of any help given or work carried out by another person or organisation.
- (g) Introduction or Overview
You should establish a coherent and logical framework for the research, stating the problem, aims, objectives, design of the research project and provide a clear link on how the papers are linked.

This must be your own work – no joint authorship is permitted in this section.

- (h) Main Text
May follow a 'hybrid' format or be comprised of a series of papers.

Conclusion
Should establish a sense of completeness

This must be your own work – no joint authorship is permitted in this section.

- (i) Appendices
This should include:
- the Statement of Contribution by Others
 - permission obtained from publishers

- (j) Bibliography or References
Include here if they are not included in the text or as footnotes.

6. NOTES ON THE PREPARATION OF THE THESIS

6.1 LANGUAGE OF THE THESIS

The thesis is to be written in English. However, where the thesis is on a literature or a language subject, application may be made to the School Research Committee for permission to write the thesis in a language other than English.

Application to submit the thesis in a language other than English must be made no later than submission of the research proposal.

6.2 LENGTH OF THE THESIS

As different disciplines require different approaches to the reporting of results, it is not appropriate to be too prescriptive in establishing the required length of theses.

It is possible to place too much emphasis on the length of the work when the real issue is the quality of the work submitted for assessment. In some disciplines substantial data or results may be communicated by the use of formulae, charts, diagrams, tables or maps. In determining the appropriate length and form of communicating results, candidates should be guided by their supervisors and by the ordinary practice in the discipline. However, the maximum upper work limits for research theses submitted at The University of Notre Dame Australia are stipulated in the specific Course Regulations.

Candidates who have compelling reasons for exceeding the upper word limit may apply for permission to do so to the School Research Committee. Such an application should be in writing, setting out the reasons for the variation to the word limit and state the proposed length of the thesis. The application must be supported in writing by the student's supervisor.

6.3 CITATION OF REFERENCES

Proper citation of sources is essential when submitting a research thesis. Requirements vary considerably from discipline to discipline. The five most common formats adopted in academic writing are:

- the Name/Author Date system, also known as the Harvard System;
- the traditional footnoting system;
- the Vancouver Convention;
- the Modern Languages Association (MLA) style;
- the American Psychological Association (APA) style.

Even within disciplines there is some variation in the detail required by the leading scholarly journals. Accordingly, candidates must be guided by their supervisors in the appropriate style that they apply. Whichever format is adopted, it should be used consistently throughout the thesis although it is recognised that the inclusion of papers published in different journals can result in a variation of referencing styles being included. The bibliography may also be sub-divided according to the scholarly conventions in a particular discipline, but authors' surnames should be set out in alphabetical order.

Citation of electronic sources should follow the same principles as other texts – it should be comprehensive and should remain consistent throughout the work. When referring such sources, authors should be aware of the non-permanent nature of electronically stored data and exercise appropriate caution. Candidates are advised to retain a copy of such data and to record that fact in the work's reference list.

6.4 TYPING REQUIREMENTS

Typing of the thesis is the responsibility of the candidate. Good quality white bond paper of international A4 size should be used for all pages of your work with the following format:

- Print on one side of the paper only
- Left margin must be 4.0cm wide
- Right, top and bottom margins must be 2.5 cm wide (Note: trimming during binding will result in some shrinkage of these margins)
- Page numbers should appear at the bottom of each page
- Use a standard font such as Times Roman or Palatino in 12 point size
- 1.5 spacing should be used with paragraphs separated by one additional line

The exception to above would be with regard to use of reprints of published papers.

6.5 PRESENTING DIAGRAMS AND FIGURES

Diagrams and figures should be reproduced on A4 paper and bound in the appropriate place in the text.

If computer produced graphics are used, the quality and resolution must be equal to that obtained by photographic reproduction. Tables should be inserted in the appropriate place in the text, except that lengthy or bulky tables should appear as an appendix.

Things like diagrams, maps and tables exceeding A4 size, should be folded so as to read as a right hand page when opened.

6.6 BINDING REQUIREMENTS

There are two forms of binding – temporary binding for examination and permanent binding. A thesis that is presented in a loose-leaf binder of the spring-type or screw type is not acceptable.

- Temporary Binding For Examination: Copies of the thesis submitted for examination must be presented in temporary binding. Velo binding is suitable for this purpose.

Candidates are to refer to the course regulations for their degree to determine if there are any submission requirements specific to their degree.

In the case of a Master's thesis three copies are to be submitted for examination to the Dean of the School, and in the case of a doctoral thesis four copies are required.

- Permanent Binding: When the thesis is formally confirmed as passed, the candidate is responsible for ensuring that sufficient copies of the final work are available for permanent binding.

One bound copy and one electronic copy is placed in the University Library and one bound copy is provided for each supervisor of the candidate. The candidate may have bound personal copies if they wish.

The thesis must be sewn and bound with stiff covers covered with cloth. During binding, the edges should be trimmed. On the spine of the thesis, it should be given in gold lettering of suitable size, reading from top to bottom, the name of the candidate (initials and last name), the title of the thesis, abbreviated if necessary, and the year of submission.

6.7 SUBMISSION, CERTIFICATION AND AVAILABILITY OF THE THESIS

At the time of submission of the thesis for examination candidates are required to submit the following:

- an abstract;
- a signed statement to the effect that the thesis is the work of the student alone and has not been submitted previously, in whole or in part, in respect of any other academic award at this or any other University;
- a signed library release form;
- a signed 'Certification of final version of thesis' form.

The copy lodged in the University Library may be made available by the University to any person for consultation, provided that for a period of three years after the thesis is lodged the author may request that access to and copying of the thesis to be restricted. In exceptional circumstances the candidate may obtain the permission of the School Research Committee to restrict access to the thesis for a further period.

6.8 RESPONSIBILITIES RELATING TO ETHICS AND RESEARCH APPROVALS

Where research relates to human subjects it is likely that the candidate will need to consider the ethical implications of the research and obtain approval for the work from the University's Human Research Ethics Committee.

Candidates are referred to the Policy: Research Integrity and Policy: Ethics Approval for Research Involving Humans and the Information Booklet: Levels of Ethics Clearance.

7. COPYRIGHT

At the start of your candidature you should make yourself familiar with Copyright Laws if you intend to use any significant or important portion of work belonging to somebody else.

The Commonwealth Copyright Act (1968) provides the legislative framework for the copying and communication of print, electronic and audio-visual material. The basic rule is that you may not copy any significant or important portion of work belonging to somebody else without that person(s) permission.

Examples of where Copyright permission may be needed include:

- If you use information/data/media protected by Copyright (which includes material such as a Journal paper authored by a student)
- If you use a substantial part of another piece of work where you are not the author
- If the Copyright has expired
- If your use is controlled by the Copyright Owner

For the works that you may use, you are required to contact the copyright owner(s) seeking their permission. This should be planned ahead of time and you should keep careful records of any communication. If you want to make your thesis available in a digital format, it is recommended that you include this request when you are asking for the permission to include the copyright owner's material in your print thesis.

You are encouraged to seek further information on Copyright, your rights and responsibilities from the Copyright Coordinator in the University Library.

8. EXAMINATION

The overall aim is to provide the examiner with a full and coherent story of the research program without unnecessary repetition.

- The overview should provide an explanation of the submitted work and provide a description of the linkages between the works resulting in presenting the thesis as a coherent whole. You should identify the theme, placing the plan in the broader context of the field of study and identify the main contribution of the research of knowledge. Through the thesis, the candidate must present a substantial contribution to the knowledge or understanding of the field of study and to conceive, design and carry to completion independent research.
- The introduction and conclusion must establish a coherent and logical framework for research. The introduction should state the research question, the aims and overall objectives of the research, the design of the project and explain how the chapters are linked. This chapter must be the candidate's own work (no joint authorship). The conclusion should draw together the hypothesis into an articulated whole.