Guideline:

Thesis by Publication

Effective: 1 January 2020

Audience: Students and Staff

Policy Category: Academic
Policy Sub-category: Research

Key words:	Research, Research Degree, Thesis, Publication, HDR
Guideline Owner:	Pro Vice Chancellor, Research
Responsible Officer:	Directors, Research Offices (Fremantle/Broome and Sydney)
Review Date:	27 November 2022

Contents

1   PURPOSE

1.1   The purpose of the *Guideline: Thesis by Publication* ('Guideline') is to provide broad guidance on the preparation of a Higher Degree by Research (HDR) Student's Thesis by Publication at the University of Notre Dame Australia ('University'). Thesis by Publication is an option available to students enrolled in any Research Degree.

2   RELATED POLICIES AND PROCEDURES

This Guideline should be read in conjunction with the following:

2.1   *Regulations: Research Degree*
2.2   Program Regulations for the degree being studied
2.3   *Policy: Intellectual Property*
2.4   *Policy: Nomination of Examiners for a Research Degree*
2.5   *Guideline: Presentation and Submission of Research Theses*

3   ROLES AND RESPONSIBILITIES

3.1   The preparation and presentation of the thesis is the responsibility of the student.

3.2   The Principal Supervisor, in consultation with the student and the Supervisory Team, is responsible for assessing the examination readiness of the thesis. The Principal Supervisor advises the School Research Committee of the examination readiness of the thesis.

3.3   The Dean of the School (or delegate) is responsible for confirming the examination readiness of the thesis to the Research Office.

4   CONSIDERATIONS

4.1   The decision to pursue a Thesis by Publication must be made early in the candidacy. As each School and/or discipline may have different factors to take into account, the HDR Student should discuss all options with their supervisor before this decision is made.

4.2   Benefits of publishing during the candidature can include:

4.2.1   writing for publication provides a track record that can benefit an HDR Student opting for a career path in academia or research;

4.2.2   experts in the field will referee the work and will provide feedback as part of the peer review process prior to the final examination;

4.2.3   having part of the work published prior to examination establishes that it is worthy of publication, which is one of the criteria for thesis examination; and

4.2.4   preparing outputs for publication may lead to additional opportunities to publish further research, present at conferences and other networking opportunities.

5   REQUIREMENTS

5.1   Discipline Formats

5.1.1   In some cases, Schools have adopted guidelines for the format of theses generally and as appropriate to specific disciplines. Students should follow the format most

appropriate to their discipline and should consult their Dean of School and Supervisors to clarify the requirements and expectations specific to their School and discipline.

5.1.2 For Theses by Publication, the conventions set out in sections 5.2 to 5.6 should be observed. An HDR Student should request approval of the Research Office if the presentation of their Thesis by Publication departs significantly from these conventions. A statement from the student's supervisors should support such a request.

5.2 Number of Publications

5.2.1 There should be enough outputs to support the important research findings, presented in a logical and coherent way. Minimum requirements are:

5.2.1.1 For a Doctor of Philosophy, a minimum of four (4) outputs.

5.2.1.2 For a Professional Doctorate, a minimum of four (4) outputs.

5.2.1.3 For a Masters by Research, a minimum of two (2) outputs.

5.2.1.4 For a Masters of Philosophy, a minimum of one (1) output.

5.2.2 Where it is proposed to include less than the minimum number of outputs outlined in section 5.2.1, approval must be sought from the Pro Vice Chancellor, Research (PVC, R) and any such proposal should be planned early in the candidature. Requests to the PVC,R should include a statement by the student and Principal Supervisor justifying the rationale for including fewer outputs and should be sent to the Research Office.

5.3 Output Eligibility

5.3.1 Outputs comprising a Thesis by Publication must be published or accepted for publication during the tenure of the Research Degree, and not previously published prior to enrolment.

5.3.2 A footnote should be included at the beginning of any chapter that is an output explaining its status.

5.3.3 Outputs to be included in a Thesis by Publication should have been accepted for publication, or published in, peer-reviewed journals, during the tenure of the Research Degree and not previously published prior to enrolment, and be recognised by the *Excellence in Research for Australia* and *Higher Education Research Data Collection* frameworks, or in the case of creative works be published in a discipline appropriate peer-review manner (e.g. in a registered gallery, a corresponding research statement, and essays, etc.). If necessary, students may contact the Research Office for assistance in determining whether their intended journals fulfil this requirement.

5.3.4 The output included must be published with due recognition of the student as a research candidate at The University of Notre Dame Australia. Abstracts from outputs cannot form part of the thesis.

5.4 Co-Authors

5.4.1 While outputs may be co-authored, the HDR Students should usually be the first author of any co-authored outputs. Multi-authored outputs submitted in a Thesis by Publication must have had a substantial contribution made by the student.

5.4.2 A written statement from each co-author must be included as appendices to a Thesis by Publication. This statement should outline the contribution of each co-author to each output to which they contributed. The statement should be sufficiently detailed as to describe each author's contribution without obfuscation. Attachment 1 provides an example.

5.5 Copyright

5.5.1 Students should check the copyright status of their outputs. If the copyright is held by the publisher of the journal, then the student must obtain permission to re-use the

material from the publisher in their thesis for examination. If the copyright resides with the authors, or if permission has been obtained from a publisher, then the student must (also) obtain copyright permission from the co-authors in order to reproduce the material. Usually the copyright is assigned to the journal, therefore the candidate must take steps to avoid copyright infringement. Copyright laws may differ from country to country, therefore it is important to check with each publisher. This should be done at the time the output is accepted for publication.

5.5.2   Whether or not permission is obtained from the publisher to allow the student to include final published versions of outputs in the thesis for examination, the electronic version published online post-examination in the institutional repository (ResearchOnline) should only contain the post-print versions (i.e. final draft post-refereeing). If post-print versions are not available or articles are under embargo, then a citation should be included in the relevant sections in their stead. Please see the University Library's Copyright Guide for further information.

5.6   Presentation

5.6.1   Each chapter should be presented in a logical order with clear linkages so that the thesis as a whole forms a coherent and cohesive narrative and presents a complete and articulate piece of work. This is achieved by framing the publications through the introduction, conclusion, and statements linking the publications. Repetitive passages must be avoided and chapters must be organised into a logical sequence.

5.6.2   The thesis must contain a stand-alone introduction and conclusion.

5.6.2.1   The introduction should specify the research questions or questions covered by the thesis. The research should also be contextualised in the existing literature. Depending on the content of the outputs, it may be necessary to add text (perhaps even a full chapter) to appropriately cover the methodology and techniques used.

5.6.2.2   The conclusion should include an integrative discussion that ties the research together. This should avoid mere repetition of discussion points from the results chapters. The conclusion should explain the overall significance of the work and its contribution to knowledge, as well as any problems encountered, and future directions for research.

5.6.3   In the interests of adequately linking chapters, it is recommended that each new chapter is introduced with a forward and conclusion to establish links to previous chapters.

5.6.4   When creating a version of the thesis for publishing in the institutional repository (ResearchOnline), any signatures that have been included for examination purposes should be redacted for privacy reasons. For further advice concerning publishing online in the repository, please contact the University Library.

6   DEFINITIONS

6.1   For the purpose of this Guideline, the following definitions apply:

HDR Student has the same meaning as "Student" in the *Regulations: Research Degree*.

Output means journal articles, books, book chapters, conference papers, and other forms of written scholarly work that are subject to a process of peer review similar to that of refereed journals. It also includes non-traditional research outputs, such as creative works, that meet the *Excellence in Research for Australia* eligibility requirements.

Research Degree has the same meaning as in the *Regulations: Research Degree*.

Thesis by Publication means a substantial, original contribution to knowledge in the discipline that observes appropriate referencing conventions. A Thesis by Publication is not a different degree, rather, it is a thesis format that includes output that have been submitted for publication. The output should form a coherent and integrated body of work, which should focus on a single thesis project or set of related questions or proposition. A Thesis by Publication must include a critical introduction to the work, sections that link the outputs together, and a concluding section that synthesises the material as a whole.

Version	Date of approval	Approved by	Amendment
1	1 April 2011	Vice Chancellor	Effective date – new Guideline.
2	24 May 2017	Vice Chancellor	Modifications.
3	27 November 2019	Vice Chancellor	Reformatted to new Guideline template; inclusion of Roles and Responsibilities section; achieved alignment with rigorous standards in the sector.

7 ATTACHMENT 1 – EXAMPLE CO-AUTHOR STATEMENT

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 accurate.

(Full Name of Co-Author 1)   (Signature of Co-Author 1)   (Date)
(Full Name of Co-Author 2)   (Signature of Co-Author 2)   (Date)
(Full Name of Co-Author 3)   (Signature of Co-Author 3)   (Date)