POLICY

Policy Title: Postgraduate Research: Thesis with Publication
Policy Owner: Dean, Graduate Research School
Keywords: 1) postgraduate 2) research 3) HDR 4) thesis 5) publication
Policy Code: PL036 (ac063)

1. INTENT

The intent of this policy is to specify the formal requirements of a thesis submitted in a format amenable to publication. All other criteria for candidature are the same as for a traditional thesis.

2. ORGANISATIONAL SCOPE

Higher Degree by Research Candidates
Research Candidate Supervisors

3. DEFINITIONS

<table>
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<tr>
<th>TERM</th>
<th>DEFINITION</th>
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<tr>
<td>Thesis</td>
<td>Material to be submitted by a Candidate for assessment in respect of the research part of a course</td>
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<td>Higher Degree by Research (HDR) candidate</td>
<td>A person who is enrolled as a Higher Degree by Research student and whose body of research work is incomplete or still under examination</td>
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<tr>
<td>Publication</td>
<td>Refers to traditional and non-traditional forms of research dissemination available in the public domain, including but not limited to, published</td>
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4. POLICY CONTENT

4.1 A thesis with publication shall conform to the Edith Cowan University (Admission, Enrolment and Academic Progress) Rule 52 and Confirmation of Candidature Rule 34, plus the following:

4.1.1 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.

4.1.2 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 chapter.

4.1.3 If detailed data and descriptions of methods are not otherwise given, they will be included as appendices.

4.1.4 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.

4.1.5 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. A Publication Plan must be developed as part of the research proposal that outlines the proposed publications and peer-review process, which are relevant to the project and of a standard acceptable to the specific discipline.

4.1.6 The Candidate must avoid copyright infringements, and confirm with each publisher whether or not there are any restrictions regarding copyright, format and style before inclusion of the publication in the thesis.

4.1.7 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.

4.1.8 The Thesis with Publication Guidelines will apply to this policy.
5. ACCOUNTABILITIES AND RESPONSIBILITIES

In relation to this policy, the following positions are responsible for the following

Policy Owner

The Policy Owner Dean, Graduate Research School has overall responsibility for the content of this policy and its operation in ECU.

Research Students and Supervisors are required to comply with the content of this policy and to seek guidance in the event of uncertainty as to its application.

6. RELATED DOCUMENTS:

6.1 The policy is supported by the following Guidelines:

- Thesis with Publication Guidelines

6.1 Other documents which are relevant to the operation of this policy are as follows:

- University Admission, Enrolment and Academic Progression Rules.
- Policy AC087 Submission and Retention of Higher Degree by Research Theses.

7. CONTACT INFORMATION

For queries relating to this document please contact:

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<thead>
<tr>
<th>Policy Owner</th>
<th>Dean, Graduate Research School</th>
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<tr>
<td>All Enquiries Contact</td>
<td>Research Training Advisor</td>
</tr>
<tr>
<td>Telephone</td>
<td>08 6304 2875</td>
</tr>
<tr>
<td>Email address</td>
<td><a href="mailto:n.ayers@ecu.edu.au">n.ayers@ecu.edu.au</a></td>
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8. APPROVAL HISTORY

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<th>Policy Approved by</th>
<th>Vice-Chancellor</th>
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<tr>
<td>Date Policy First Approved</td>
<td>December, 2006 (AB90/06)</td>
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THESIS WITH PUBLICATION GUIDELINES

These guidelines should be read in conjunction with Policy ac063 Postgraduate Research: Thesis With Publication and the University’s Admission, Enrolment and Academic Progress rules. These documents are available from the Governance Services website.

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.

1. Why should HDR candidates be encouraged to prepare a thesis with publication?

1.1 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.

1.2 The peer review process provides the opportunity to receive expert feedback before submitting the thesis for examination and may also improve writing skills.

1.3 Publication during candidature, or shortly after, enables strategic and timely dissemination of research findings and potential research impact.

1.4 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.

1.5 Preparing publications can lead to additional networking opportunities, for example presenting the research at conferences, which can enhance future career opportunities.

1.6 Encourages industry professionals to undertake academic research.

1.7 Encourages significant new knowledge to be captured and conceptualised in a different format.

1.8 Strengthens links with industry and community.

2. Issues to be considered carefully by candidates and supervisors

2.1 The decision to present a Thesis with Publication should be made early in candidature and with advice from the Candidate’s supervisory panel.

2.2 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.

2.3 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 (see 4.7 and 4.8).

2.4 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.

2.5 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 Candidates' work; Candidate contribution must be a minimum of 50%.
3. Suggested Format of Thesis with Publication
Candidates should follow the general presentation guidelines indicated in Policy AC087 Submission and Retention of Higher Degree by Research Theses.

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.
I also grant permission for the Library at Edith Cowan University to make duplicate copies of my thesis as required.

3.3 Abstract of no more than 500 words.

3.4 Acknowledgements by the Candidate of help given or work carried out by any other person or organisation.

3.5 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 6.1).

3.6 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 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 4.9).

3.7 Table of Contents

3.8 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. Candidates can present this overview as a single chapter at the beginning of the thesis (called the “Critical Review”), or as one chapter at the beginning of the thesis (called the “General Introdution”) plus a chapter at the end of the thesis (called the “General Discussion”). Possible sections to the critical overview are outlined in 4.1-4.5.

3.9 Publications/thesis chapters. The publications should usually all be formatted the same and embedded as chapters within the thesis (see 5.1). The full bibliographic citation of the publication should be stated on the first page, with a Summary Statement (see section 4.6) if required.

3.10 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.

3.11 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.

3.12 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

4.1 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. The research Candidate should uncover new knowledge either by the discovery of new facts, the formulation of theories or the innovative re-interpretation of known data and established ideas. Candidates can present this overview as a single chapter at the beginning of the thesis (Critical Review), or as one chapter at the beginning of the thesis (General Introduction) plus a chapter at the end of the thesis (General Discussion). Possible sections to the Critical Review are outlined in 4.2-4.5. The format selected should present the thesis argument in a coherent way so the thesis is established as a substantial and significant body of work, without unnecessary repetition. The Critical Review as a whole or as sections may also be published.

4.2 The General Introduction outlines the context of the thesis and establishes a coherent and logical framework for the research. It should state the research problem/question, the specific aims and overall objectives of the research, the design of the research project and explain how the publications are linked. This is important to provide continuity for the reader. The General Introduction must be entirely the Candidate's own work (no joint authorship). It should demonstrate original and independent critique of other research relevant in the field of study and place the Candidate's research in the context of current knowledge. The General Introduction should provide a thematic overview to integrate the individual publications/chapters.

4.3 If the publications include a comprehensive coverage of the relevant literature, then a short section within the General Introduction that overviews (and references) key ideas from the literature will suffice. If the publications provide a more limited or disjointed literature review (perhaps because of journal page limits), then a more substantial literature review will be required in the thesis and may form a separate section of the critical review. The Literature Review should contain a clear statement of the significance of the project aims, a critical review of relevant literature and identify gaps in the knowledge.

4.4 If the publications contain detailed data and a full description of methods/approaches used, then an overview of the research design may be provided as part of the General Introduction. Sometimes the full methodology may not appear in the included publications. If extensive details are missing from the publications, these may be included as a separate chapter or as appendices. For some disciplines, the Research Design or a Methodology chapter may also be published.

4.5 The General Discussion must integrate the significant findings of the thesis and relate these to the specific aims and research questions, identify the limitations of the research and highlight the research impact and future directions. This section should demonstrate the contemporary relevance of each publication and indicate how they make an original contribution to knowledge. The General Discussion should demonstrate the cohesiveness of the publications and thesis as a whole. These should be critically appraised to meet the criteria of originality, rigour and significance. This section must be entirely the Candidate's own work (no joint authorship).

4.6 Coherence. The thesis must have an integrated conceptual framework. The overall aim is to provide the examiner with a full and coherent story of the research program without unnecessary repetition. The thesis should not appear disjointed and the argument should flow logically throughout the entire thesis. 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.

The order of chapters should be chosen carefully. 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. Avoid unnecessary dissection of data sets so that the analysis as a whole is still apparent. While some studies will naturally form a series of discrete experiments, other studies (particularly qualitative research) often consist of one large dataset that needs to be analysed as a whole. In this case, publications from the thesis may consist of a critique of methodology and explanation of innovative practices, an empirical/experimental paper, and a critical review or discussion paper.

4.7 Publications. All publications included in the thesis must be based on research undertaken during the period of enrolment. Publications prepared/researched prior to enrolment in the Higher Degree by Research may not be included. ‘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.

4.8 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. There is no set number of publications; as a general guide most Masters theses have two or more, and PhD theses have three or more significant chapters capable of resulting in publication. It is expected that the publications are the result of research that is substantially the Candidate’s own work, albeit under the supervision of a supervisory panel. The Candidate should be first author with a contribution of at least 50% to each publication. The quality of the publications is also important, for example, high impact journals are preferred over low impact journals. Decisions regarding the number and quality of publications should be justified as part of the Publication Plan.

4.9 Any publication of which the Candidate is a joint author may only be included in the thesis provided the Candidate’s work is clearly identified. At the time of thesis submission, the Candidate must provide the Research Students Scholarship Committee with a written statement from each co-author attesting to the Candidate’s contribution to a joint publication included as part of the thesis. The thesis should have a section at the front titled “Statement of Contribution by Others” (see 3.6). The Candidate must be able to demonstrate in the thesis their ability to undertake independent research.

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)
5. Style
5.1 The thesis formatting should be uniform and have an overall professional appearance. The publications should all be formatted the same (including referencing style) and be embedded as chapters within the thesis, to help provide a coherent format to the thesis (see section 4.6). Chapters already published can be presented in the thesis as PDF proofs in the appendix.

6. Copyright
6.1 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.

6.2 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.

7. Rules

A Candidate undertaking a Thesis with Publication shall conform to the University Rules and policies relevant to higher degree by research candidates.