



Guidelines for Incorporating Publications into a Thesis

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Responsible Organisational Unit	Graduate Research Office

1 Executive Summary

A thesis containing peer reviewed research publications describing the research undertaken during candidature as a minor or major part encourages completion within the maximum degree period, adds value to the candidature experience, reinforces a curriculum vitae, enhances career prospects and improves the publication outputs and research ranking of the candidate and the University of Tasmania.

These Guidelines have been developed to assist higher degree by research (HDR) candidates and their supervisors with the preparation of a thesis that is formatted as a combination of research papers, book chapters or monographs that have been published prior to thesis submission, and research papers that are under review or prepared for submission.

The preparation and incorporation of publications, while commendable and encouraged, should not prevent submission of the thesis within the maximum degree period.

2 More information

For further information, contact the Graduate Research Office.

3 Guideline Provisions

3.1 Background

It is increasingly common for a candidate to publish or submit for publication aspects of their HDR findings during candidature. This has the important effect of subjecting the research to peer review prior to thesis examination; allowing the candidate to develop a working knowledge of disciplinary conventions and fostering an appreciation of the formal conventions for discourse within their discipline.

Some of the other advantages of using publications in a thesis are that:

- HDR candidates are advantaged in postdoctoral, academic and other professional job applications if they have published or prepared to publish during candidature.
- Candidates, especially part-time research candidates, benefit substantially from publishable papers and submissions to journals/conferences being built into their thesis milestone plan.
- A candidate's thesis benefits substantially from referees' as well as supervisors' comments on thesis papers in journal article format prior to submission of the thesis.
- Candidates have increased confidence in the quality of their research work as early career researchers following supervisor and external referee comments on peer-reviewed journal articles.
- Candidate's published research findings are available and contribute to their research communities at the earliest possible opportunity (rather than their research only being available under restricted access and delayed conditions in the University library after award of degree).

3.2 Key Principles

Peer reviewed research publications (submitted, in review or published) may comprise the lesser or greater part of a graduate research thesis.

Peer reviewed research publications include peer-reviewed journal articles, conference proceedings or book chapters (herein referred to as Publications) prepared during the candidature period and which directly relate to research undertaken during that HDR candidature.

Any Publications incorporated into a thesis or exegesis must constitute an essential part of a coherent and integral body of work rather than a separate component. Furthermore, the entire body of work should be focused on a coherent research project composing set of interrelated questions or propositions.

Examiners must be made aware that the University of Tasmania allows theses to be presented in different formats.

3.3 Authorship

The publications used in a thesis may be single (ie the candidate) or co-authored.

Where a co-authored paper is used, the independent contribution of the candidate must have been adequately demonstrated and the candidate must specify his/her specific contribution in the authorship statement (Please refer to the [Statement of Co-Authorship Template](#) for a template of the statement) for that paper, which is to be included in the thesis.

Where an included paper has multiple authors, the candidate would normally be expected to be the primary author (ie primarily responsible for the planning, execution and preparation of the work for publication). Primary authorship is one factor that will positively weight an examiner's assessment of the quality and extent of the candidate's contribution and whether it warrants the award of the degree based on the specified criteria. Where the candidate has included publications in journals that specify the listing of authors in alphabetical order, this should be clearly stated.

Reference should be made to University of Tasmania Authorship of Research Policy and to the Australian Code for the Responsible Conduct of Research (2018) with regard to authorship and authorship statements.

3.4 Publication Thesis Statement and Copyright issues

There are two possible approaches to inclusion of publications in a thesis.

1. Publications incorporated verbatim into the thesis as the publishers' pdf files. The candidate should seek the permission of the publishers to reproduce the publications in the thesis and check current copyright legislation with the University copyright officer. In the unlikely event that the publisher does not give permission for a particular article to be reproduced, an abridged version of the thesis may be lodged with the library from which the article has been removed and a statement directing the reader to the journal website to access same.
2. Publications included as word document (changed or unchanged from final published/accepted version). Again, the candidate should seek the permission of the publishers to reproduce the publications in the thesis.

If the publications are presented as typescript (ie Word format), at the beginning of each chapter which contains/comprises a publication, a statement such as 'Part (or all) of the research contained within this chapter has been published as Authors, Title of Paper, Journal, Vol (issue) page numbers, year', or appropriate citation format for a full conference publication or book chapter. If original pdf files are used, this is not required.

3.5 Length of thesis/number of papers

There are similar expectations regarding length for a thesis incorporating publication/s as for a conventional thesis in the relevant discipline. However, it is quite common for a thesis that is largely comprised of publications to sit at the lower end of the discipline word limit range due to the concise nature of the writing required for most publications.

As a general guideline, when the majority of a thesis is to be comprised of published papers, anywhere between three to eight papers (depending on the discipline) bracketed between a substantive general introduction chapter (that lays a coherent foundation for the research) and a general discussion and conclusion(s) chapter (that draws the findings together and provides a clear statement concerning the findings) would be considered acceptable, although this will ultimately be determined by the discipline. The candidate should include any supplementary material (data), that could not be included in the published work (eg method development) either into an expanded chapter or as an appendix (in the sciences, many journals have a 'supplementary material/data' facilities).

3.6 Format and Structure

A thesis that uses publications should include:

- a comprehensive, yet concise and critical introduction to the work. This should include sections that link the papers together (where published works are used chiefly as chapters and the connections not immediately obvious);
- a literature review (which may be in the format of a conventional literature review or narrative/systematic review article published or publishable by the candidate);
- a clear outline of the research methodology used;
- clear and detailed statements about authorship (including percent contribution of the candidate);
- a general discussion and conclusions chapter that synthesises the material and demonstrates that the research comprises a coherent whole; and
- if the candidate prefers and/or the discipline norm specifies, a single reference list/bibliography.

A clear statement should be provided that various chapters in the thesis have been published/accepted for publication in modified form in Journal x, Book y or Conference Proceedings z where appropriate.

Above all, candidates and supervisors must consider the coherence of the thesis as a whole, and the way in which each publication contributes to the overall work. It is the supervisors' responsibility to guide candidates through the process of correctly and sensibly structuring a thesis that is of high quality and complies with University of Tasmania requirements.

3.7 Preparation and Publication timelines

Candidates who want to ensure their work is published prior to the submission of their thesis should plan publications to be used well in advance, in consultation with their supervisors. Early discussions should include an analysis of the way information is disseminated within the disciplinary field. This will provide the candidate with a realistic impression of the length of time it takes an article to get published.

Candidates planning to attend a conference may need to write an abstract (or the paper) up to a year in advance of the conference. Candidates intending to write for a journal will need to account for the following in developing timelines, noting the large differences between disciplines. These timeframes may range from weeks to months, depending on the discipline.

- writing time,
- the submission time and acknowledgment from the journal editor (less than 24 hours to 3 or more weeks),
- the amount of time it takes the journal to review the article (~14 days to 8 months),
- the amount of time it takes to amend the paper in response to the reviewers (usually between 1 week-3 months),
- the final submission of the paper, and final publication (6 weeks to 18 months after the final accepted submission).

Candidates should work closely with their supervisors during these stages as supervisors can advise on the publication process for the discipline.

Candidates should not delay thesis submission due to the preparation of manuscripts or waiting for the paper(s) to be accepted for publication or published.

3.8 Exclusions

This Guideline only applies to Higher Degree by Research candidates. It does not apply to Doctors of Letters or Honorary Doctorates.

4 Glossary

Term/Acronym	Definition
Organisational Unit	College, Faculty, School, Centre, University Institute, other University Entity, Division, Section or University Business Enterprise.

- Maximum degree period:** In accordance with the Research Training Ordinance:
- *Doctor of Philosophy*: 4 years Full Time or equivalent Part Time.
 - *Professional Doctorate*: the maximum Degree Period as approved by Academic Senate and set out in the applicable the University course and unit handbook.
 - *Master Degree (Research)*: 2 years Full Time or equivalent Part Time.
 - *Joint/Cotutelle Doctoral Degree*: the maximum degree period as specified in the Candidate Agreement.
- Peer Review:** The process of subjecting scholarly work, research, or ideas to the scrutiny of others who are experts in the same field, before a paper describing this work is published in a journal.
- Publication:** A publication refers to a full paper in the form of a journal article, full length refereed conference paper, book chapter, publicly-available report, monographs, working paper, or non-traditional research output, whether published, in press, or in submission or any other discipline accepted format.
- Academic Unit:** Unless otherwise stated, in this Guideline, Academic Unit refers the University School, Centre or Institute in which the Candidate is enrolled.
- Thesis:** Using one or more media, a substantial and intellectually coherent product or product(s) such as a Thesis, dissertation and artefacts, or exegesis and portfolio of creative works and/or performance, for submission to external examination against international standards

5 Versioning

Previous Version	Version 1	Guidelines for Incorporating Publications into a Thesis; Approved December, 2018; by the Pro Vice-Chancellor (Research Training and Dean of Graduate Research, amended in December 2016 to incorporate Colleges and update titles.
Current Version	Version 2	Statement of Co-Authorship template removed with reference made to requisite template document.