

Guidelines for Thesis by Publication and Hybrid Thesis

Higher Degree by Research Students

These Guidelines should be considered in conjunction with Higher Degree by Research Policies and Procedures. These documents are available on the [Compliance, Legislation and Policy website](#).

1.0 Thesis by Publication and Hybrid Thesis

- 1.1 A Thesis by Publication consists of a series of peer reviewed published journal papers, an introductory statement, a thematic discussion or conclusion that clearly explains the major contributions to scholarship made by the candidate and also sets out the limitations of the study and scope for future research and a reference list. It may also have appendices.
- 1.2 A Hybrid Thesis typically consists of peer reviewed published or 'in-press' journal papers and some supporting chapters. A Hybrid Thesis will normally have at least one substantive chapter that explains the contribution of each paper and a second supporting chapter which makes clear the overall contribution of the thesis. A chapter that summarises the methodology and methods will normally be included. A thematic discussion or conclusion that clearly explains the major contributions to scholarship made by the candidate and also sets out the limitations of the study and scope for future research should also be included. A Hybrid Thesis may include a paper that has been accepted for publication and is classified as 'in press' at the time the thesis is submitted for examination.
- 1.3 A Thesis by Publication or a Hybrid Thesis should not include any paper classified as 'in review' or 'in preparation' in the main body of the thesis. Material that is not published or 'in press' can be included as a chapter within a Hybrid Thesis. Care should be taken to ensure that this material is not presented as having been peer reviewed.
- 1.4 A Thesis by Publication or a Hybrid Thesis should not usually* include a conference paper in the main body of the thesis. *It is recognised that some specific research areas support the inclusion of high-level, peer-reviewed, published conference papers in the Thesis.
- 1.5 A decision on the format of a thesis should be made early in candidacy and with advice from the candidate's Thesis Committee. Delay in publication of papers is not a satisfactory reason for extension of candidature.
- 1.6 The thesis, irrespective of thesis format, 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 carry to completion independent research. For a Doctoral candidate, the thesis should clearly convey how new knowledge was uncovered either by the discovery of new facts, the formulation of theories or the innovative re-interpretation of known data and established ideas.
- 1.7 Co-authored papers with other academics (not other HDR candidates) are permitted to be included in a thesis but the candidate must indicate their contribution and provide a statement of their contribution in line with the requirements of the *Guidelines for the Attribution of Research Outputs in the HDR Thesis*.

2.0 Format of Thesis by Publication

- 2.1 A Thesis by Publication will be presented according to the requirements as set out in the Higher Degree by Research (HDR) Thesis Examination Procedures.
- 2.2 A Thesis by Publication will include:
 - 2.2.1 A list of papers included in the thesis, clearly setting out any co-authored work. This list should appear in the front matter of the thesis, after the acknowledgements and before the contents page.
 - 2.2.2 An explanatory statement, that must be entirely the candidate's own work (that is, no joint authorship). This chapter (or series of chapters) must 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. It should include a full explanatory overview to link the separate papers and to place them in the context of an established body of knowledge including a literature review, description of the research and significant contributions. If detailed data and descriptions of methods are not otherwise given, they should be included as part of the explanatory statement.

- 2.2.3 The published papers forming the thesis are included after the explanatory statement (or chapters)
- 2.2.4 A thematic discussion or conclusion that clearly explains the major contributions to scholarship made by the candidate and also sets out the limitations of the study and scope for future research.
- 2.2.5 A list of the references cited in the thesis.
- 2.2.6 Appendices may be added to include any other published papers, data or methodological details that do not directly form part of the thesis.
- 2.2.7 Any required attribution statements signed by co-authors.

2.3 The number of papers included in the thesis will be sufficient for the body of work to constitute a substantial and original contribution to knowledge. As a general guide the suggested minimum number is 4 or 5 substantial papers, of which the candidate is the sole or first author. Where the candidate is not first author or there are a number of co-authors, a greater number of papers may be required to constitute a sufficient body of work by the student.

2.4 Any published paper of which the candidate is a joint author may only be included in the thesis provided the work done by the candidate is clearly identified in an attribution statement (see: *Guidelines for the Attribution of Research Outputs in the HDR Thesis*).

2.5 A statement must be included in the front matter of the thesis to indicate that permission regarding copyright has been obtained from publishers, where necessary. For example, the statement may say "I have obtained 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)

3.0 Format of Hybrid Thesis

3.1 Thesis by publication will be presented according to the requirements as set out in the Higher Degree by Research (HDR) Thesis Examination Procedures.

3.2 A Hybrid Thesis thesis will include:

- 3.2.1 A list of published or in-press papers included in the thesis, clearly setting out any co-authored work. This should appear in the front matter of the thesis, after the acknowledgements and before the contents page.
- 3.2.2 An introductory chapter, or series of chapters, that must be entirely the candidate's own work (that is, no joint authorship). This chapter, or series of chapters, must 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. It should include a full explanatory overview to link the separate papers and to place them in the context of an established body of knowledge including a literature review, description of the research and significant contributions.
- 3.2.3 If detailed data and descriptions of the methodology and methods are not given in the papers to be included, they need to be included as a Methodology chapter.
- 3.2.4 Additional chapters as required.
- 3.2.5 The published or in-press papers forming part of the thesis.
- 3.2.6 A thematic discussion or conclusion that clearly explains the major contributions to scholarship made by the candidate and also sets out the limitations of the study and scope for future research.
- 3.2.7 A list of the references cited in the thesis.
- 3.2.8 Appendices may be added to include any other published papers, data or methodological details that do not directly form part of the thesis.
- 3.2.9 Any required attribution statements signed by co-authors.

3.3 Any published paper of which the candidate is a joint author may only be included in the thesis provided the work done by the candidate is clearly identified in an attribution statement (see: *Guidelines for the Attribution of Research Outputs in the HDR Thesis*).

3.4 A statement must be included in the front matter of the thesis to indicate that permission regarding copyright has been obtained from publishers, where necessary. For example, the statement may say '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)'.

4.0 Copyright

4.1 The candidate's thesis that is being submitted for examination may have copyright material within the thesis. These works must all be appropriately referenced and authorship attributed. The final thesis (after corrections and the conferral of the award) may differ from what is then publically available and the candidate needs to be aware of the obligations of copyright.

4.2 The candidate must check with each Publisher whether or not there are any restrictions regarding copyright, format and style before the inclusion of the paper in the thesis. 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. This should be done at the time the paper is accepted for publication.

5.0 Funding Source Acknowledgement

5.1 HDR students supported by the Australian Government Research Training Program (RTP) are required to acknowledge this support in all research publications that come from the HDR research. An example acknowledgement statement would be, 'This research is supported by an Australian Government Research Training Program (RTP) Scholarship'.

RELATED DOCUMENTS/LINKS/FORMS

[Curtin University Act 1966 \(WA\)](#)

[Rule No. 10 made pursuant to Statute No. 12 – Enrolment: Degree of Doctor by Research](#)

[Rule No. 11 made pursuant to Statute No. 12 – Enrolment: Degree of Master by Research](#)

[TEQSA Higher Education Standards Framework](#)

[Higher Education Standards Framework \(Threshold Standards\) 2015](#)

[Education Services for Overseas Students \(ESOS\) Act](#)

[Competition and Consumer Act 2010](#)

[Course Approval and Quality Manual](#)

[Universities Australia Principles for Respectful Supervisory Relationships](#)

[Guidelines for the Attribution of Research Outputs in the HDR Thesis](#)

[Guidelines for Thesis Preparation](#)

[Guidelines for Creative Production Thesis](#)