

These guidelines have been endorsed by the Research Degrees Committee and must be read in conjunction with the overarching university guidelines on Thesis by Publication.

PURPOSE:

Queensland University of Technology (QUT) permits the presentation of theses for the degree of Doctor of Philosophy (PhD) and Doctor of Education (EdD) in the format of published and/or submitted papers, where such papers have been published, accepted or submitted during the period of candidature. Doctoral Theses by Publication are subject to exactly the same examination criteria and standards as any other thesis, and examiners will be asked to address identical criteria when examining the two different types of theses.

However, as doctoral Thesis by Publication differs in format to traditional Thesis by Monograph and each faculty has specific eligibility criteria, candidates and supervisors are strongly advised to consult these guidelines when undertaking Doctoral Thesis by Publication within the Faculty of Education.

CRITERIA FOR PUBLISHED PAPERS AND/OR PAPERS UNDER REVIEW:

A doctoral Thesis by Publication *must include all of the standard thesis components* (see attached table), including an introduction, literature review, conceptual framework, methodology, results, discussion and conclusion, as well as lists of tables and figures, bibliography, acknowledgements, glossary, and a table of contents.

The *main* difference between a doctoral Thesis by Publication and a traditional Thesis by Monograph is that some of the main chapters (e.g., literature review, conceptual framework, methodology, results, discussion) in a Thesis by Publication may take the form of blind peer reviewed publications. The inclusion of short bridging chapters are also required to link these publications together.

The Faculty of Education (FoE) Doctoral Thesis by Publication requires a minimum of three (3) scholarly publications which will take the place of relevant chapters in what might be expected in a Thesis by Monograph submission (e.g., papers may take the place of literature review, conceptual framework, methodology, data analysis or results chapters). These papers must be closely related in terms of subject matter and form a cohesive research narrative.

To be eligible for inclusion, these three publications must be blind peer-reviewed journal articles ([HERDC C1](#)) in quality ([ERA listed](#)) academic journals. At least one of these three journal articles must be published, in press or accepted for publication by lodgement of the thesis for examination; the other two papers can be in revision (post-review) or undergoing a review process.

Additional publications may be included beyond this minimum of three journal articles. These additional publications must be either blind peer-reviewed journal articles ([HERDC C1](#)) in quality ([ERA listed](#)) academic journals or blind peer-reviewed chapters in high quality scholarly books ([HERDC B1](#)). **Note:** Only original publications produced during doctoral candidature and which are based on the candidate's doctoral project are eligible for inclusion.

Together, the included papers should form a coherent and integrated body of work engaging with one over-arching doctoral project or set of related questions or propositions. Each publication is part of a whole that together constitutes the doctoral thesis. The individual papers should not be seen as a separate component or appendix to the main work.

A consistent thread must be evident throughout the finished thesis. The candidate is therefore required to include:

- a critical introduction to the work;
- short connecting sections that link the “chapters” (in publication and in traditional thesis format); and
- a conclusion which synthesises the material as a whole.

Candidates should be aware that examiners will be asked to consider the coherence of the thesis as a whole, and the way in which each paper contributes to the overall thesis. Although a thesis by publication may contain some repetition, candidates are expected to minimise repetition where possible.

Note: The eligibility of proposed/included publications will be assessed and confirmed through the usual internal Faculty processes prior to lodgement of thesis for examination. These include: submission of Stage 2 proposal, confirmation of candidature, internal panel examination and final oral presentation. Guidance throughout will be provided by the doctoral supervisory team. Candidates are advised to select whether they will undertake Thesis by Publication or traditional Thesis by Monograph and to indicate this decision at submission of their Stage 2 proposal and/or no later than confirmation of candidature (12 months FTE). *The quality of output type (journal or book) is therefore not relevant to*

thesis examination and examiners are asked to judge the quality of academic work and scholarly expression as they would for a traditional thesis.

CO-AUTHORSHIP:

Publications submitted as part of the Doctoral Thesis by Publication can be either sole or co-authored. However, where papers are co-authored, the candidate must:

- be the lead author; and
- have contributed at least 50% to the publication.

Co-author contributions must be in accordance with [The Australian Code for the Responsible Conduct of Research](#) which abides by the principles outlined in the *Vancouver Protocol* (see Authorship, [QUT AIRS](#)).

To be eligible for co-authorship, each author must have made a significant contribution to all three stages in the development of the paper, including:

- (i) the conception and design of the project;
- (ii) analysis and interpretation of research data; and
- (iii) drafting significant parts of the paper or critically revising it so as to contribute to the interpretation.

Acquisition of funding, collection of data, or general supervision alone does not constitute authorship. Each author will need to submit a signed [Statement of Contribution of Co-Authors for Thesis by Published Papers](#) and disclose their percentage of contribution on submission of the thesis. Students are advised to manage these processes along the way, and to ensure adequate records are kept.

ADDITIONAL OR SUPPLEMENTARY MATERIAL:

Where journal publication word limits preclude inclusion of primary data and other supplementary material arising from the research, candidates are advised to include this information in the thesis, either as additional section(s) in the relevant chapter, or in an Appendix.

STYLE:

To maximise consistency, candidates are required to re-format already published articles to fit general thesis requirements including margins, line spacing, font style and pitch, and referencing style. Tables and figures should be renumbered. All references and notes must appear in the bibliography and notes sections at the end of the thesis, rather than at the end of the included articles (chapters).

REVISION:

As part of the examination process, an examiner may ask that any material in the thesis be revised before the degree is awarded. The fact that parts of the thesis have been published or accepted for publication is no obstacle to them being revised by the candidate at the request of an examiner. Such revisions may also be made to the manuscript being published, if not yet in final published form, or by additional text in the relevant chapter of the thesis.

RELATED INFORMATION:

- *QUT Code of Conduct for Research (including sections of Publication and dissemination of research findings and authorship)* - http://www.mopp.qut.edu.au/D/D_02_06.jsp
- *QUT Copyright Guide* - <http://www.tils.qut.edu.au/copyrightguide/>
- *QUT Statement of Contribution of Co-Authors for Thesis by Published Paper* - <https://wiki.qut.edu.au/download/attachments/122361541/Statement+of+Contribution.doc?version=4&modificationDate=1317012282000>
- *Research Students Centre wiki* - <https://wiki.qut.edu.au/display/pdpla/Research+Students+Centre+%28RSC%29>
- *MOPP* - <http://www.mopp.qut.edu.au/>
- *E-Prints* - <http://eprints.qut.edu.au/>

Thesis sections that are required for both Thesis by Monograph <u>and</u> Thesis by Publication	Specific details relevant to Thesis by Publication submissions
<p>1. Title page 2. Abstract/Keywords 3. Table of contents 4. List of figures 5. List of tables 6. List of abbreviations/glossary 7. Statement of original ownership 8. Acknowledgements</p>	<p>Three (3) of the chapters below can be substituted by a published and/or submitted blind peer-reviewed paper. Each paper should be preceded by evidence of acceptance or status in the review process and a <i>Statement of Contribution of Co-Authors for Thesis by Published Paper (if relevant)</i>. Blind peer-reviewed book chapters or additional journal articles can be added <u>once</u> the minimum of 3 journal articles has been achieved.</p>
<p>9. Introduction*</p> <ul style="list-style-type: none"> • Addressing research problem; • Significance/objectives of research; • Providing account of research progress 	<p>*A Doctoral Thesis by Publication must provide an <i>explanatory account</i> that explains the thesis schema and links the publications.</p>
<p>10. Literature review*</p> <ul style="list-style-type: none"> • Critical reviewing of relevant literature and other works; • Providing a conceptual framework for the published work; • Identifying knowledge gaps. 	<p>* May be substituted with a published literature review satisfying stated eligibility criteria.</p>
<p>11. Methods*</p> <ul style="list-style-type: none"> • Methodology; • Research design; • Participants; • Instruments; • Procedure and timeline; • Analysis; • Ethics and limitations. 	<p>* May be substituted with an appropriate publication satisfying stated eligibility criteria.</p>
<p>12. Results/Data analysis*</p> <ul style="list-style-type: none"> • Results relating to research questions (note: this section may include up to 3 chapters) 	<p>* May be substituted with an appropriate publication satisfying stated eligibility criteria.</p>
<p>13. Discussion*</p> <ul style="list-style-type: none"> • Synthesis of ideas and main features; • Significance of research findings; • Critical issues; • Problems encountered; • Future directions of research 	<p>* Discussion chapter/s may be substituted with one or more appropriate publications that pull together the thesis aims, methods and findings and which satisfy stated eligibility criteria.</p>
<p>14. Conclusion</p> <ul style="list-style-type: none"> • Final statement that sums up the thesis as a whole; • Reconnects to the introduction and research questions; • Presents broad general conclusions emerging from the discussion. 	<p>* May be substituted with an appropriate publication satisfying stated eligibility criteria.</p>
<p>15. Appendices 16. Bibliography</p>	