

Thesis as a Series of Papers

Graduate Research School Seminar
Research Supervision Professional Development Program



THE UNIVERSITY OF
**WESTERN
AUSTRALIA**

FEB 2019

Background

- Changing nature of employment
 - Developing ‘workplace ready’ graduates – able to navigate changes in research direction, publication & collaborations
- Pressure to publish
 - Competition for postdoctoral positions
- No national / international agreement
 - Variation in thesis format rules & examination criteria
 - Variation in definition of Thesis as Series of Papers

Advantages

- Career progression
 - Track record of publication during candidature
- Thesis
 - “Write as you go” approach
 - Mentoring in publication
 - Peer review prior to examination
 - Potentially efficient thesis production

Suitability

Not all projects, students or disciplines are suited to thesis as a series of papers (TASP)

- Project may not divide up neatly into interconnected, publishable units
- Publication commitments – time, effort & compromise
- Examiner(s) may not be familiar with, or supportive of, thesis as a series of papers OR inclusion of published material within a thesis

Common Misconceptions

- Students can write a number of published papers, bind them together and submit the bound papers for examination
- Choosing to format a thesis 'traditionally' precludes students from publishing during candidature
- Students that indicate in their research proposal that they plan to submit their thesis as a series of papers are committed to this path
- Students who submit their thesis as a series of papers have a separate set of thesis and examination rules
- Students who submit theses as a series of papers are at higher risk of an adverse outcome

UWA Thesis Rules

<http://handbooks.uwa.edu.au/course-rules#id-69908>

- Thesis can be presented as a monograph or series of papers
- Thesis can include publications, manuscripts, unpublished work
- Work can be presented as published or reformatted
- Theses a series of papers must have an introduction and discussion
- Work included in thesis must have been substantially completed by the student during candidature
- Examination of the thesis is the examination of the student's work

















UWA Guidelines

<http://www.postgraduate.uwa.edu.au/students/thesis>

Graduate Research School
Current Students


[UWA Home](#) > [Graduate Research School](#) > [Current Students](#)

Welcome to our Current Students page, your one-stop shop for graduate research student information.

 Policies and rules >>	 Postgraduate forms >>	 Scholarships >>	 GRC contact list >>
 Induction >>	 Candidature >>	 Research proposal >>	 Annual report >>
 Researcher training framework >>	 Resources and training >>	 GRS events calendar >>	 Research internships >>
 GRS travel award >>	 Publication prizes >>	 Thesis >>	 Viva voce >>


Graduate Research School
Thesis

[UWA Home](#) > [Graduate Research School](#) > [Current Students](#) > [Thesis](#)



Thesis

You should start thinking about your thesis - your core idea or argument - at the very beginning of your project. Your written thesis must be your work, but you should seek advice from your supervisors about its structure and seek critical comment throughout your candidature.



Support

- » [Research your thesis](#) - Finding theses in your discipline and other disciplines
- » [Confidentiality and intellectual property](#) - Restricted access, confidential examination and intellectual property
- » [Editorial assistance](#) - Rules regarding editorial assistance for the preparation of theses
- » [Style and format](#) - Formatting requirements and advice
- » [Thesis as a series of papers](#) - Advice regarding this formatting option

Submission, examination and revisions

- » [Temporary binding](#) - Binding your thesis for examination
- » [Submitting for examination](#) - Step-by-step guide on how to submit your thesis for examination
- » [Writing a report on corrections](#) - How to write a report of thesis revisions before submission of final version
- » [Submission of final version](#) - Submission to the Graduate Research School for approval

» [Style and format](#) - Formatting requirements and advice

» [Thesis as a series of papers](#) - Formatting a thesis as a series of published papers or manuscripts

Support

Graduate Research School

Thesis as a series of papers

[UWA Home](#) > [Graduate Research School](#) > [Current Students](#) > [Thesis](#) > Thesis as a series of papers

Many candidates organise their thesis as a series of papers.

These may be papers that have been published, manuscripts that have been submitted for publication but not yet accepted, manuscripts that could be submitted, or any combination of these.

There are several advantages to organising a thesis in this way:

- » It resolves the conflict between preparing the thesis for examination and preparing papers for publication, because they amount to the same thing. You need not feel that when you are spending time on your papers you are running out of time to prepare your thesis.
- » It increases the probability that you will publish the work from your thesis. This is not only to your advantage, but also that of your supervisor(s) and the University.
- » If you have reviewers' comments on your papers before submitting your thesis, you can use this feedback to improve your thesis. This is not only good for the quality of your thesis but also for your confidence. By the time you submit the thesis for examination, at least part of it will have been subjected to the scrutiny of experts other than you and your supervisor(s).
- » Having part of the work published prior to examination establishes it as worthy of publication, which is one of the criteria for thesis examination. The larger the proportion that is published, the easier it is

FURTHER INFORMATION

 [Theses Series Papers \[PDF, 1.1 MB\]](#)
Updated 21 Sep 2016

Find more information about formatting your thesis as the [Thesis and Publication](#) seminar and [Thesis Structures](#) and [Thesis as a Series of Papers](#) workshops.

You can download the [seminar slides](#) and [workshop booklets](#) at any time.

If you have very specific questions, you can book an appointment to meet with a [Graduate Education Officer](#).

Graduate Research School

Workshops

[UWA Home](#) > [Graduate Research School](#) > [Current Students](#) > [Resources and training](#) > Workshops



GRS Workshops

The Graduate Education Officers offer a range of workshops, repeated throughout the year.

[Workshop dates and registration >>](#)

[Workshop Booklets >>](#)

1. Research Skills
2. Academic Writing
3. Communication Skills
4. NVivo and MS Word Software Support

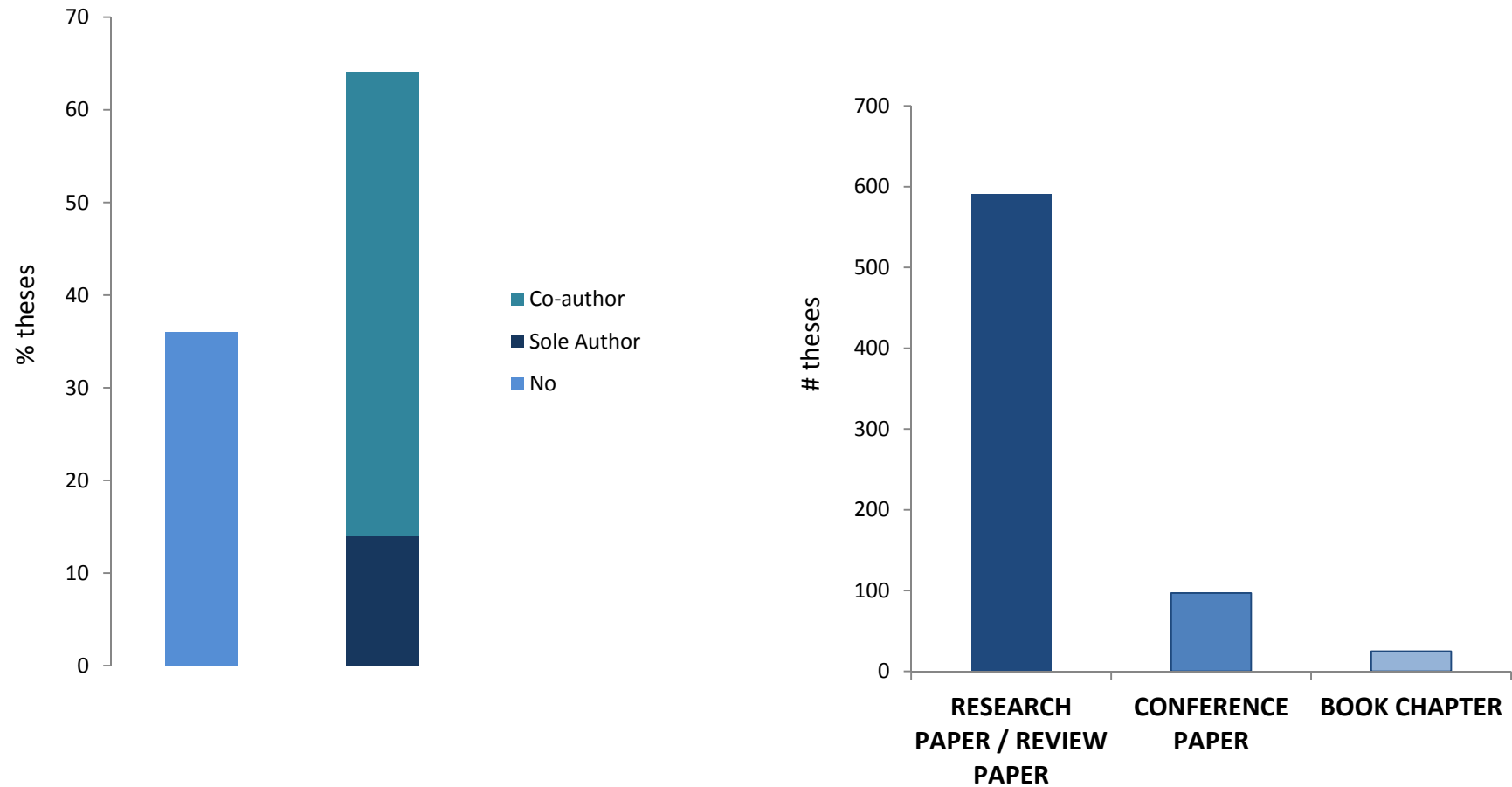
Examination Criteria

<http://www.postgraduate.uwa.edu.au/staff/forms#thesisexam>

SCORE CRITERIA FOR THE AWARD OF DOCTOR OF PHILOSOPHY - THESIS

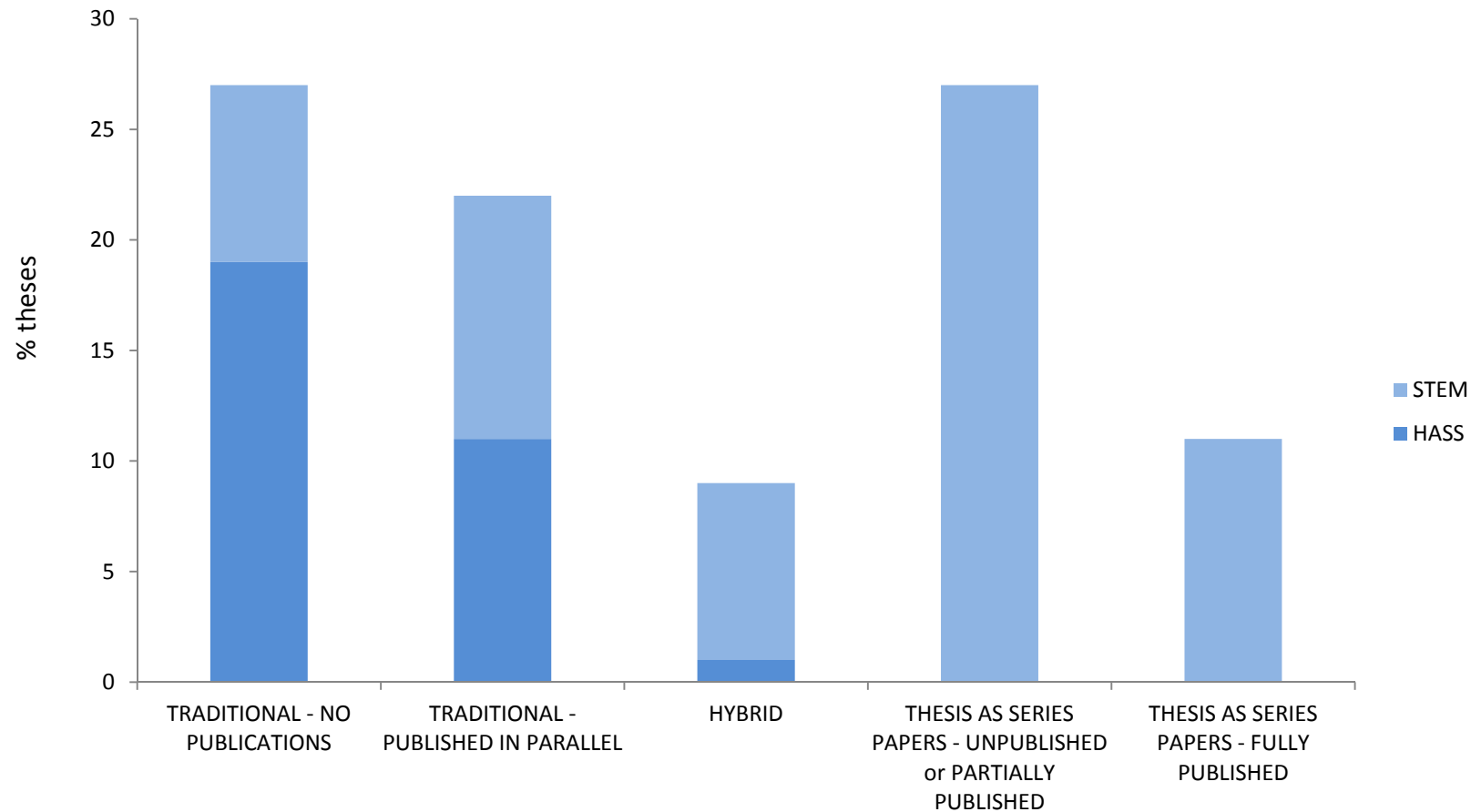
	The thesis as a whole is a substantial and original contribution to knowledge of the subject with which it deals.
	The student shows familiarity with, and understanding of, the relevant literature.
	The thesis provides a sufficiently comprehensive study of the topic.
	The techniques adopted are appropriate to the subject matter and are properly applied.
	The results are suitably set out, and accompanied by adequate exposition.
	The quality of English and general presentation are of a standard for publication.

Do students commonly include publications in their thesis and what type*?

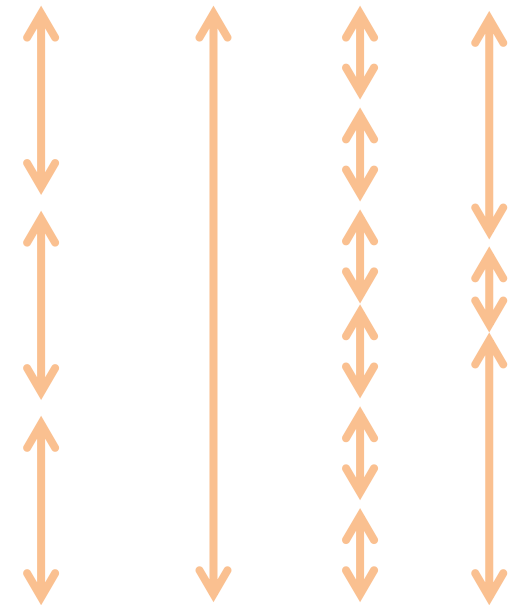
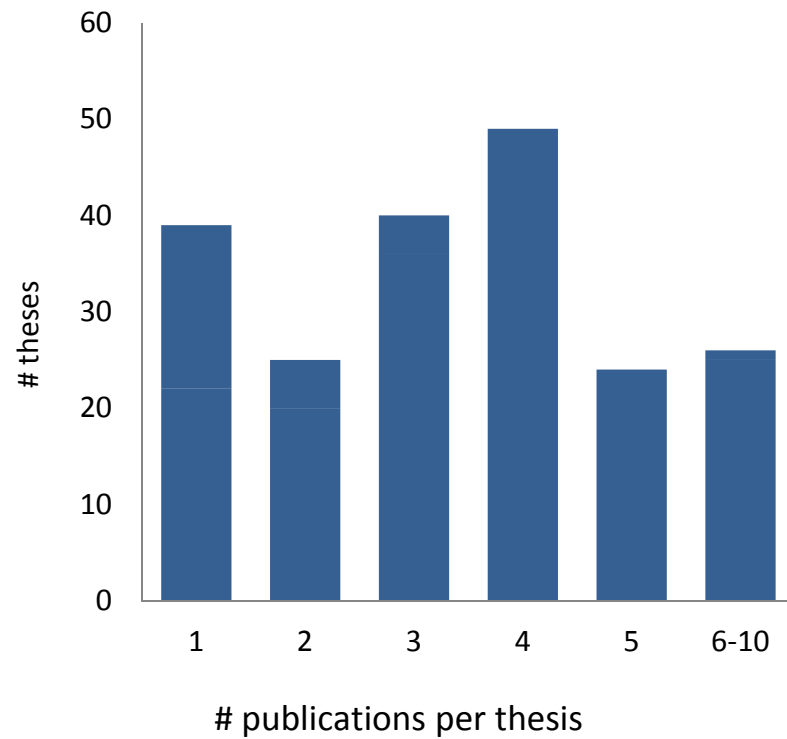


*2014-5 study of theses submitted for examination in 2012

How many theses are formatted as a Series of Papers?



How many publications are included?



Co-authorship

<http://www.postgraduate.uwa.edu.au/students/thesis/style#main>

- Majority of publications in theses are co-authored
- Students are encouraged to include only lead author publications
- Possible for 2 students to include the same co-authored publication in their theses - declarations of contribution should not overlap significantly
- Co-authors need to be aware that publication is incorporated in thesis and approve the student's declaration of contribution

Authorship declaration

<http://www.postgraduate.uwa.edu.au/students/thesis/style#main>

6. Authorship declaration


Your thesis needs to include a declaration page.

If your thesis includes published work or work prepared for future publication, you need to provide details of the work and where it appears in the thesis.

For published work with multiple authors, the contribution of the student must be stated to give permission for the paper to be included in the thesis. If co-authored, the student must sign a statement on behalf of the co-authors.

A proforma for the front pages of the UWA thesis is provided below. It covers sole author published work, sole author unpublished work or co-authored published work.

 [ThesisFront_NoPublications \[DOCX, 565.8 KB\]](#)
Updated 21 Sep 2016

 [ThesisFront_SoleAuthor \[DOCX, 568.3 KB\]](#)
Updated 21 Sep 2016

 [ThesisFront_CoAuthor \[DOCX, 569.1 KB\]](#)
Updated 24 Oct 2016

A template for those students who use LaTeX is also available [here](#).

AUTHORSHIP DECLARATION: CO-AUTHORED PUBLICATIONS

This thesis contains work that has been **published and/or prepared for publication**.

Details of the work: [insert text]
Location in thesis: [insert text]
Student contribution to work: [insert text]
Co-author signatures and dates: [insert signatures] [insert dates]

Details of the work: [insert text]
Location in thesis: [insert text]
Student contribution to work: [insert text]
Co-author signatures and dates: [insert signatures] [insert dates]

Student signature: [insert signature] Date: [insert date]
I, [insert name of coordinating supervisor] certify that the student statements regarding their contribution to each of the works listed above are correct
Coordinating supervisor signature: [insert signature] Date: [insert date]

Common questions

Can I reformat the publications?

Should I have consistent fonts, consecutive numbering of headings, titles, figures?

Can I add extra text to the publication?

Can I delete text from the publication?

Do I need a separate literature review and/or methodology/methods chapters?

- ~83% have a literature review chapter
- ~30% have a separate methods chapter
- ~18% add a preamble or introduction to each paper

Should I use a consistent referencing style?

Should I have a consolidated reference list?

- ~57% have a single consolidated reference list
- ~34% have reference lists at the end of each chapter
- ~9% do both

Workshop

Part of Thesis Writing workshop for students uses high quality theses with publications to explore variations in thesis format.

3. Examples of Thesis as Series of Papers



Explore the structure of the thesis using the examples provided.
Discuss the range of thesis formats.

Consider how the thesis examples provided are formatted according to the questions below. How will you address these questions in your thesis?

- ? How long is the introduction chapter?
- ? How long is the discussion chapter - & what is it called?
- ? How many chapters are there?
- ? How long is the thesis?

- ? Is there a separate literature review chapter?
- ? Is the literature review incorporated into the introduction?
- ? Is there a separate methods chapter?

- ? How many publications are included in the thesis?
- ? What types of publications are included? Conference paper, research article....
- ? What is the publication status of papers? Manuscript, submitted, in press, published, (?rejected)
- ? Is there one paper per chapter?

- ? Are the papers sole author or multi-author?
- ? Is the student's contribution clearly indicated in the thesis declaration?

- ? Have the publications been reformatted?
- ? Have the publications been adapted in any way – text added or deleted?
- ? Is there a preface to the papers, or linking text, or additional chapters that are not published?

- ? Is there a consistent referencing style?
- ? Is there a consolidated reference list
- ? What is included in the appendices?

Common problems

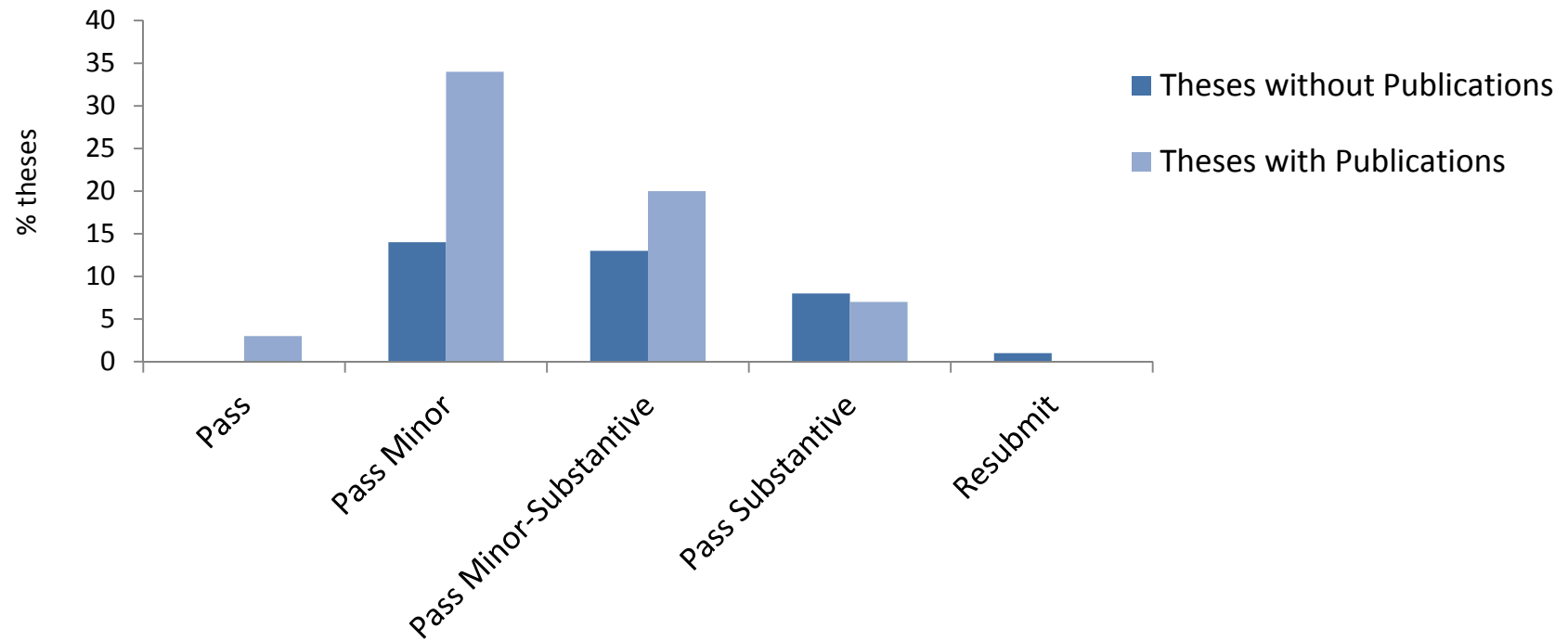
Examination

- Disjointed – inadequate linking of ‘research units’
- Incomplete – inadequate background, rationale, justification of methods, data not shown, discussion
- Repetitive – redundancy in introduction and/or methods

Copyright

- At submission of final version to UWA research repository – permission required to reproduce published papers in public version of thesis
- [Thesis can be embargoed for up to 1 year (and ongoing on a year by year basis) to protect students who wish to publish post completion but publisher views publically available thesis as pre-publication concern].

Examination



Further Information

UWA Handbook: HDR Rules

<http://handbooks.uwa.edu.au/course-rules#id-69908>

UWA Thesis Examination Forms & Guidelines <http://www.postgraduate.uwa.edu.au/students/forms#thesisexam>

UWA PhD and Masters Examination Criteria

http://www.postgraduate.uwa.edu.au/_data/assets/pdf_file/0014/23333/PhD-ERF.pdf

[http://www.postgraduate.uwa.edu.au/_data/assets/pdf_file/0011/1966646/Guidelines for Examiners Master.pdf](http://www.postgraduate.uwa.edu.au/_data/assets/pdf_file/0011/1966646/Guidelines_for_Examiners_Master.pdf)

UWA PhD and Masters Information provided to Examiners

[http://www.postgraduate.uwa.edu.au/_data/assets/pdf_file/0007/2950351/Guidelines Examiners PhD.pdf](http://www.postgraduate.uwa.edu.au/_data/assets/pdf_file/0007/2950351/Guidelines_Examiners_PhD.pdf)

[http://www.postgraduate.uwa.edu.au/_data/assets/pdf_file/0011/1966646/Guidelines for Examiners Master.pdf](http://www.postgraduate.uwa.edu.au/_data/assets/pdf_file/0011/1966646/Guidelines_for_Examiners_Master.pdf)

GRS Thesis advice

<http://www.postgraduate.uwa.edu.au/students/thesis>

UWA Library Copyright and Higher Degree Theses

http://guides.is.uwa.edu.au/HDRtheses_copyright

UWA Library Open Access Toolkit

<http://www.library.uwa.edu.au/research/open-access-toolkit>

Graduate Education Officer Contact details

<http://www.postgraduate.uwa.edu.au/students/resources/officers>

Frick, L. 2019. PhD by Publication – Panacea or Paralysis? African Education Review.

<https://www.tandfonline.com/doi/abs/10.1080/18146627.2017.1340802>