

### THESIS REQUIREMENTS FOR HDR EXAMINATION SUBMISSIONS

#### Doctor of Philosophy (PhD) Thesis

- 1.2 A PhD thesis:
  - a. must make a distinct and significant contribution to knowledge or understanding in the area of the research and/or to the application of knowledge to the analysis of problems in the study area; and
  - b. must afford evidence of originality shown by the discovery of new knowledge and/or by the exercise of independent critical thinking.
- 1.3 The PhD thesis should demonstrate:
  - a. the candidate's ability to conceive, execute and prepare to publication standard a scholarly piece of research on advanced theory or practice in a field of study covered by the research;
  - b. the candidate's thorough understanding of the state of knowledge in the field of enquiry and the relationship of the research to the broader aspects of the field of study; and
  - c. the candidate's technical capacity in the field of research.
- 1.4 A PhD thesis will be assessed in examination using the following criteria:
  - a. makes a distinct and significant contribution to knowledge or understanding in the area with which it deals and/or to the application of knowledge to the analysis of problems in the study area;
  - b. affords evidence of originality shown either by the discovery of new knowledge or by the exercise of independent critical thinking;
  - c. contains a substantial amount of material suitable for publication; and
  - d. is well ordered and satisfactory in its literary presentation.

#### Doctor of Philosophy (PhD) Thesis Incorporating Creative Production

- 1.5 In some PhD courses, the product of the research is in a form other than a thesis, such as a creative work.
- 1.6 When the research product is likely to involve an installation, exhibition or performance, examination arrangements should be fully resolved when the project is approved. These matters should be discussed and clarified at the time of admission, to ensure that the project is appropriate for the degree and that resource implications (such as the cost of bringing examiners to Canberra) are understood and accepted by the Faculty and the candidate
- 1.7 The following principles apply with regard to the PhD thesis incorporating creative production:

- a. the creative component must be prepared during the period of candidature;
  - b. where a creative thesis is produced, the candidate will also provide an exegetical component of at least 30,000 words that operates in a symbiotic relationship with the creative work;
  - c. the exegesis and creative work may be integrated; and
  - d. the academic rigour of the exegesis is critical to determining whether the thesis meets the requirements of the research degree.
- 1.8 At the PhD level, in accordance with University policy, candidates will give evidence of an original contribution to knowledge and/or practice.
- 1.9 A PhD thesis incorporating creative production will be assessed in examination using the following criteria:
- a. makes a distinct and significant contribution to knowledge or understanding in the area with which it deals and/or to the application of knowledge to the analysis of problems in the study area;
  - b. affords evidence of originality shown either by the discovery of new knowledge or by the exercise of independent critical and creative thinking;
  - c. contains a substantial amount of material suitable for publication and/or exhibition;
  - d. demonstrates that the creative and exegetical components are in a symbiotic relationship, in so far as the theory informs practice and vice versa; and
  - e. is well ordered and satisfactory in its presentation.

#### Professional Doctorate by Research Thesis

- 1.10 The results of research in a Professional Doctorate by Research course shall be presented as a thesis or its equivalent in another medium.
- 1.11 If the results of the creative professional work or research are presented in a medium other than a thesis, the candidate shall also provide an exegesis which:
- a. explains the contextual and theoretical underpinning of the creative work; and
  - b. analyses its content and/or offers reflection on its relevance in professional practice.
- 1.12 The following principles apply to the structural and content requirements of a Professional Doctorate thesis or its equivalent in another medium:
- a. it must demonstrate a knowledge and understanding of its area of investigation comparable to a PhD;
  - b. it must afford evidence of originality shown by creative work, either the discovery of new knowledge or the application of independent critical thinking to an existing body of knowledge; and
  - c. It is expected to make a distinct contribution to the improvement of professional

practice or policy.

- 1.13 The Professional Doctorate thesis should demonstrate:
- a. the candidate's ability to conceive, execute and prepare to publication standard a scholarly piece of research on advanced theory or practice in a field of study covered by the research;
  - b. the candidate's thorough understanding of the state of knowledge in the field of enquiry and the relationship of the research to the broader aspects of the field of study; and
  - c. the candidate's technical capacity in the field of research.
- 1.14 A Professional Doctorate by Research thesis will be assessed in examination using the following criteria:
- a. makes a distinct and significant contribution to knowledge or understanding in the area with which it deals and/or to the application of knowledge to the analysis of problems in the study area;
  - b. affords evidence of originality shown either by the discovery of new knowledge or by the exercise of independent critical thinking;
  - c. contains a substantial amount of material suitable for publication; and
  - d. is well ordered and satisfactory in its literary presentation.

#### Masters by Research Thesis

- 1.15 The results of the research in a Masters by Research course are presented as a thesis or its equivalent in another medium.
- 1.16 The Masters by Research thesis should demonstrate that the candidate is conversant with well-known and well-tried techniques of research and has the ability to make logical and considered judgements. The level of competence displayed should be adequate for applied research or for the more routine types of pure research.
- 1.17 A Masters by Research degree thesis will be assessed in examination using the following criteria:
- a. displays a sound knowledge of the field of the thesis including recent contributions to that field,
  - b. demonstrates analytical and critical evaluation skills of a high order,
  - c. includes a substantial critical review of the field,
  - d. includes an original contribution in the form of a contribution to knowledge or a new presentation of existing knowledge,
  - e. contains material suitable for publication either in its own right or in part, and
  - f. is well-ordered and satisfactory in its literary presentation.

### Masters by Research Thesis Incorporating Creative Production

- 1.18 In some masters courses, the product of the research is in a form other than written text, such as a creative work.
- 1.19 When the research product is likely to involve an installation, exhibition or performance, examination arrangements should be fully resolved when the project is approved. These matters should be discussed and clarified at the time of admission, to ensure that the project is appropriate for the degree and that resource implications (such as the cost of bringing examiners to Canberra) are understood and accepted by the Faculty and the candidate.
- 1.20 A Masters by Research thesis may incorporate creative production where this is appropriate within the terms of the project. The following principles apply:
- a. the creative component must be prepared during the period of candidature;
  - b. where a creative thesis is produced, the candidate will also provide an exegetical component of at least 10,000 words that operates in a symbiotic relationship with the creative work;
  - c. the exegesis and creative work may be integrated; and
  - d. the academic rigour of the exegesis is critical to determining whether the thesis meets the requirements of the research degree.
- 1.21 At the masters level, the creative thesis is expected to show evidence that the candidate is fluent in creative practice and in the theoretical discourse of the area. The creative component will:
- a. demonstrate a sophisticated and innovative approach to the medium; and
  - b. demonstrate strong technical and professional qualities.
- 1.22 The exegesis will:
- a. provide a theoretical foundation which complements and grounds the creative work; and
  - b. analyse, critically annotate, and/or reflect on the creative component.
- 1.23 A Masters by Research thesis incorporating creative production will be assessed in examination using the following criteria:
- a. displays a sound knowledge of the field of the thesis including recent contributions to that field;
  - b. demonstrates analytical and creative skills of a high order;
  - c. includes an original contribution in the form of a contribution to knowledge and creative practice, or a new presentation of existing knowledge;
  - d. contains material suitable for publication or exhibition either in its own right or in part;
  - e. demonstrates that the creative and exegetical components are in a symbiotic relationship, in so far as the theory informs practice and vice versa; and

- f. is well ordered and satisfactory in its presentation.

#### SUBMITTING A THESIS BY PUBLISHED WORKS

- 1.24 The following guidance refers to the submission of a thesis including works published during the period of candidature by a candidate enrolled in a Higher Degree by Research course at the University of Canberra. It does not apply to a member of staff of the University completing the Doctor of Philosophy by Prior Publication course.
- 1.25 The thesis including published works does not lead to a different degree, but refers to a thesis format characterised by the incorporation of one or more publications, or presented as a series of publications.
- 1.26 A thesis can include published papers, manuscripts submitted for publication but not yet accepted; manuscripts ready for submission; or 'traditional' chapters.

#### Guidelines for submission

- 1.27 A thesis including published works can have as few as one publication or consist of a series of publications linked together through an introduction and conclusion. The following guidelines apply:
- Papers must have been published or accepted for publication by a reputable, high profile journal requiring full peer review of contributions. Refereed conference papers, scholarly monographs, book chapters, or chapters in a scholarly monograph can also be included.
  - Papers must have been published while enrolled in the relevant degree.
  - Manuscripts that have been rejected by a journal and have not been reworked for submission must not be included.
  - The thesis as a whole must draw together the research outlined in the publications into a coherent body of work. This is generally done in the introductory and conclusions chapters, which must be included.
  - The introductory chapter critically places the published works in the context of the appropriate field of study and provides an overview of the thesis topic as a whole clarifying:
    - a. the need for the research;
    - b. how the publications are linked to create a cohesive argument;
    - c. the contribution of the thesis as a whole.
  - The conclusion chapter summarises the work and the contribution of the research as a whole.
- 1.28 Co-authored publications can be included in the submission. The candidate is expected to be the lead author for the majority of articles included. To evidence to contribution of the candidates, co-authors must complete a written statement indicating the contribution of each author. The Declaration of Co-Authored Publication Chapter form provides the

- format for this acknowledgement. A form needs to be included for each publication either at the start of a chapter or as a preface to the thesis.
- 1.29 Specific guidelines, addressing disciplinary requirements, can be developed by Faculty/Research Institute to complement this set of guidelines.
- 1.30 Materials presented for examination in a thesis by published works need to meet the same overall requirements as in a traditional thesis.
- 1.31 A thesis including publications will be examined as a conventional thesis with the only difference that examiners cannot recommend changes to already published materials.
- 1.32 Candidates are expected to understand copyright transfer agreements they may have signed with publishers of papers included and to complete the Retention and Use of Thesis by the University form, which needs to be included in the final thesis, accordingly.

#### FORMATTING REQUIREMENTS FOR THESES

- 1.33 Theses are important documents, and their format must reflect this importance through a high standard of typography, visual presentation, permanence and convenience of handling and storage.
- 1.34 The criteria below refer principally to typescript materials. Candidates seeking to use other means of communicating their work should consult their supervisory panel and the Associate Dean Research of their Faculty or Director of their Research Institute<sup>1</sup>.
- 1.35 The University accepts submission of both electronic (pdf) copy or hard copy theses for the purposes of examination.
- 1.36 The theses format preference of the examiners (hard copy or soft copy) is to be communicated to the candidate by the Primary Supervisor prior to submission.
- 1.37 The following format applies:
- A4 page size. If diagrams, maps, tables and similar presentations do not fit readily on this sheet size, ISO B4 may be used.
  - Preferably a serif font such as Times New Roman size 12 with footnotes in size 9.
  - Line spacing 1.5 or double, with the exception of quotations, footnotes and bibliographies, which may be single spaced. Candidates may determine the spacing appropriate to appendices.
  - All four margins 2.5cm
  - All pages must be numbered, and the main body of the thesis must be consecutively numbered throughout. Preliminary pages (for example, the title

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<sup>1</sup> Where a typescript thesis is accompanied by supplementary non-typescript or non-print material such as three dimensional objects, sound/video recordings, paintings, maps, plans, etc., the supplementary material will need to be reproduced in a form suitable for storage and retrieval purposes and must be suitably packaged. Photographic representation, photo reduction, microforms, etc. should be used where appropriate. Candidates should seek the advice of their supervisory panel in all such cases.

page, statement of originality, table of contents and abstract) that precede the main text should be numbered with lower case roman numerals beginning with one (i).

- 1.38 Electronic submission of the thesis for examination must be PDF format (discounting non-typescript materials)
- 1.39 Hard copies of the thesis submitted for examination also require that:
- the thesis is submitted single sided.
  - the thesis will be presented for examination in a soft cover, securely bound in such a way that it will lie flat when opened (e.g. spiral binding). Presentation in a loose leaf binder is not acceptable. Arranging and paying for the binding of the thesis is the responsibility of the candidate.
- 1.40 When a thesis is presented in a form substantially different from normal, it is the responsibility of the candidate to ensure that it is suitably and securely packaged.

#### Thesis Format for Submission for Examination

- 1.41 The title page should identify the work as a thesis submitted for the [name of degree] of the University of Canberra, the candidate's name, the full title of the thesis and the month and year of submission.
- 1.42 The second page should contain an abstract of the work, usually in the order of 250-500 words.
- The wording contained in Form B (Certificate of Authorship of Thesis), must be bound into the thesis copies, preferably as the third page and signed by both the candidate and the Primary Supervisor.
  - The work should have a table of contents at the beginning and a list of references used at the end.
  - An acknowledgment of assistance and advice received should be included in the prefatory comments.
  - Calculation of thesis length may exclude footnotes, bibliography, tables and appendices, etc. Footnotes should not be unnecessarily long, and appendices should be limited to material necessary to support the main argument of the thesis.
  - Any publications, papers or work (or summaries of such), or creative research products, for which advanced standing was granted, should be identified by reference or by inclusion in the thesis as appendices.
  - Advice on bibliographical standards may be given by the supervisory panel or the Faculty or Research Institute responsible for the course of study. It is essential that a thesis provides accurate and consistent acknowledgment of sources.
  - The University seeks simplicity and directness of writing style, and expects a high standard of proofreading and editing from the candidate of spelling, grammar,

sentence structure and consistent forms of referencing to be evident in work submitted for examination.

#### Formatting requirements for approved theses

- 1.43 At the completion of the examination process the candidate will submit one double-sided hardbound copy and an electronic copy of the final thesis to the HDR Support team for University records. Candidates are also expected to give bound copies of the final thesis to their supervisors.
- 1.44 The formatting requirements for the hardbound thesis are as follows:
- All main headings must be on facing pages (odd numbered pages). This includes Title page, Contents page, Certificate of Authorship, Abstract, Chapter titles and Appendices.
  - Include a blank page in-between any consecutive main heading pages or at the end of a chapter, if the following chapter begins on an even numbered page. All blank pages must be numbered.
  - Page 1 must start at the beginning of Chapter 1. Please number all previous pages with Roman numerals.
  - The Title page of the thesis must include the approval date of course completion (not that date the thesis was submitted for examination).
  - The wording contained in the Certificate of Authorship of Thesis form (or the form itself) must be bound into the thesis, preferably as the third page, and signed by the author of the thesis and the supervisor.
  - The bound thesis is to be lettered on the spine with the title (suitably abbreviated if necessary) followed by the initials of the candidate's given names then surname in full and year thesis submitted. The lettering should run lengthwise from the top.
- 1.45 The electronic version of the final thesis must be submitted to the HDR Support team in pdf format.
- 1.46 The University of Canberra has created a research repository with the aim of preserving and disseminating scholarly material. The candidate's thesis will be included on the repository once the final copy has been submitted (unless the thesis is subject to an embargo). Candidates need to submit the Form C (Retention and Use of the Thesis by the University) to authorise the Library to add the thesis to the repository.
- 1.47 Candidates are also advised to refer to any specific formatting requirements of their Faculty or Research Institute.

#### EDITING OF THESES BY PROFESSIONAL EDITORS

- 1.48 Professional editors need to be clear about the extent and nature of help they offer in the editing of research students' theses and dissertations. Academic supervisors of research students also need to be clear about the role of the professional editor as well as their



own editorial role. This policy has been developed primarily to give guidance to professional editors. It also provides a guide for academic supervisors. This document has been developed with close attention to the Australian Standards for Editing Practice (ASEP)<sup>2</sup>. Academic supervisors are encouraged to become familiar with this very useful publication.

### Proof-reading and editing of research theses

- 1.49 It is expected that the academic supervisors of higher degree by research students will provide editorial advice to their students relating to matters of substance and structure; language (including matters of clarity, voice and tone, grammar, spelling and punctuation, specialised and foreign material); and use of illustrations and tables. They may also assist with copyediting and proofreading. This type of advice is covered in Standards C ('Substance and structure'), D ('Language and illustrations') and E ('Completeness and consistency') of the ASEP.
- 1.50 Students may use a professional editor in preparing their thesis for submission, but they should discuss this with their principal supervisor and provide the editor with a copy of this policy before they commence work. Professional editorial intervention should be restricted to copyediting and proofreading. This type of advice is covered in Standards D and E of ASEP. In relation to matters of substance and structure (Standard C), the professional editor may draw attention to problems, but should not provide solutions. Examples may be offered in order to guide the student in resolving problems.
- 1.51 Material for editing or proofreading should be submitted in electronic or hard copy. If the thesis is to be edited electronically, the editor and student need to agree on the process by which the student will check each suggested change before accepting it. For example, it is preferable that text marked up electronically is returned to the student in PDF format. The editor should keep on file all marked-up versions of the work.
- 1.52 When a thesis has had the benefit of professional editorial advice, of any form, the name of the editor and a brief description of the service rendered, in terms of Australian Standards for Editing Practice, should be printed as part of the list of acknowledgements or other prefatory matter.

See the Institute of Professional Editors Limited (IPEd)'s pages on Editing research theses ([http://iped-editors.org/About\\_editing/Editing\\_theses.aspx](http://iped-editors.org/About_editing/Editing_theses.aspx)) which include:

- *Engaging an editor* (for research students): [http://iped-editors.org/About\\_editing/Editing\\_theses/FAQ\\_students.aspx](http://iped-editors.org/About_editing/Editing_theses/FAQ_students.aspx)
- When your student engages an editor: [http://iped-editors.org/About\\_editing/Editing\\_theses/FAQ\\_research\\_supervisors.aspx](http://iped-editors.org/About_editing/Editing_theses/FAQ_research_supervisors.aspx)
- Editing academic theses (for editors): [http://iped-editors.org/About\\_editing/Editing\\_theses.aspx](http://iped-editors.org/About_editing/Editing_theses.aspx)

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<sup>2</sup> The Australian standards for editing practice is available on the following website: [http://iped-editors.org/About\\_editing/Editing\\_standards.aspx](http://iped-editors.org/About_editing/Editing_standards.aspx)