



Guidelines for Higher Degree by Research Students Intending to Submit a Thesis which includes Publications

In recent years, the popularity of submitting theses for examination in publication or hybrid formats has increased. In parallel, the number of enquiries from examiners seeking clarity on the extent of students' contribution to papers has increased. Examiners require sufficient information to assess a student's contribution to the work presented in the thesis as opposed to the outputs of the research group.

If you are planning to submit in publication or hybrid format, it is important to realise that a lack of clarity regarding the nature of your contribution to publication(s) may adversely affect the duration and/or outcome of the examination.

The Statement of Authorship

To assist in providing clarity to examiners, the University has developed a Statement of Authorship template: <http://www.adelaide.edu.au/graduatecentre/forms/thesis/preparing-thesis-submission/>.

When properly completed, the Statement of Authorship provides examiners with the necessary information to assess your contribution to the thesis against the required standard for the degree.

As detailed in the University's Specifications for Thesis at: <http://calendar.adelaide.edu.au/agc>, the Statement of Authorship must preface all publications included in your thesis, irrespective of their publication status.

For presentation purposes, you may reproduce the Statement of Authorship in a format consistent with the rest of your thesis, however, it is important that ALL elements of the template are detailed including:

- The publication status of the paper (e.g. published, accepted for publication, submitted, or unpublished and unsubmitted work presented in manuscript style);
- Your percentage contribution to the publication;
- A detailed description of your contribution which addresses your:
 - contribution to the conception or design of the work; or the acquisition, analysis, or interpretation of data for the work; AND
 - specifies your contribution to drafting significant parts of the article or critically revising it so as to contribute to its interpretation; as per the required elements of authorship detailed in the Vancouver Protocol: <http://www.icmje.org/icmje-recommendations.pdf> and the University's Authorship Policy: <http://www.adelaide.edu.au/policies/3503/>
- Your declaration that all publications presented have arisen from work undertaken during your HDR candidature; and
- Certification from all co-authors to the effect that:
 - your stated contribution to the publication is accurate;
 - permission is granted for you to include the publication in your thesis; and
 - the sum of all co-author contributions is equal to 100% less your stated contribution

Multi-authored publications where you are the primary author

The University appreciates that in some disciplines where multi-authored papers are the norm, you can still be the primary author and make a percentage contribution of less than 50%. Furthermore, it is recognised that a significant research effort, involving many hours of planning, experimentation, methodology development, analysis and writing can be condensed into a relatively small contribution, in percentage terms, to a top-tier publication.

In such cases, to ensure that examiners can adequately assess whether you have met the criteria for the award of the degree, it is important not only to provide detailed Statements of Authorship that specify your contribution in both

quantitative and qualitative terms, but also to evidence this contribution. Evidence would typically include a description of the number of research hours contributed to the development of the publication and supporting statements which reveal to the examiner the linkage between your PhD research and the publication outcome.

Indeed, if you have contributed less than 50% to a number of multi-authored publications, careful consideration should be given to the format of the thesis selected for examination. It may be more appropriate for you to write a conventional thesis supplemented with copies of your publications in the Appendices.

Multi-authored publications where you are not the primary author

Whilst it is expected that you are the primary author on the substantial majority of publications included in your thesis, it is permissible for paper(s) where you are a co-author to be presented either in an Appendix or the main body of the thesis if this is deemed acceptable by your School. In such cases the publications must add to the narrative of the main research argument, such that the thesis overall represents a cohesive body of work that satisfies the requirements for the award of the degree; namely, in the case of the PhD, it:

- displays original and critical thought;
- Your percentage contribution to the publication;
- is a significant contribution to knowledge;
- relates the topic of research to the broader framework of the discipline(s) within which it falls;
- has been clearly, accurately and cogently written and is suitably illustrated and documented.

Quality assurance

Students are responsible for ensuring that the thesis submitted for examination complies with the Academic Program Rules for the degree and with the Specifications for Thesis.

Prior to sending a thesis to examiners, the University has an obligation to ensure that it is prima facie worthy of examination both in terms of its content and its technical presentation. In the case of publication and hybrid format theses, this is achieved in part through School review and certification and in part through checking by the Adelaide Graduate Centre to ensure that the necessary Statement(s) of Authorship preface each publication and include all required elements detailed in the Statement of Authorship template.

It is important to realise that if you attempt to submit in publication or hybrid formats without the relevant, properly completed Statement(s) of Authorship, the Graduate Centre will be unable to accept the submission.

www.adelaide.edu.au/graduatecentre

Further Information

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