



## Preparation and Submission of Master by Research and Doctoral Theses for Examination

<b>Policy Hierarchy link</b>	<a href="#">University Conditions for the Award and Examination of PhD theses</a>		
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<b>Superseded Documents</b>	Preparation and Submission of Master by Research and Doctoral Theses for Examination, 5 October 2004 (AB04/131)		
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Candidates are required to give two months notice, in writing, of the expected date on which the thesis will be submitted.

1. Every candidate for the degree of Master by research is required to submit 3 paper copies of the thesis for examination. Every candidate for the degree of Doctor of Philosophy is required to submit 4 paper copies of the thesis for examination. These copies may be submitted in temporary binding, preferably spiral bound format, such that the thesis can be forwarded to examiners without the possibility of disarrangement. Theses stapled or presented in ringbinder folders will not be accepted. At the completion of the examination and prior to graduation, every candidate who has satisfied requirements for the award of the degree will submit a final bound paper copy and a digital copy for deposit and preservation in the University Library [see 13]. Students are also required to submit a final bound copy of the thesis to their supervisor and/or Head of School.

Where examiners have previously agreed to examine a digital copy of the thesis, the candidate may, with the approval of the supervisor, submit a combination of paper and digital copies as appropriate.

Students enrolled in research degrees at the College of Fine Arts or the Australian Defence Force Academy are required to give notice of intention to submit to the Student Centre at the College or Academy. Students enrolled in research degrees at Kensington are required to give notice of intention to submit to the Graduate Research School. The paper copies of the thesis are to be submitted to the Graduate Research School.

2. All copies shall contain in the preliminary pages, preceding the Table of Contents, an Abstract of not more than 350 words which shall indicate the problem investigated, the procedures followed, the general results obtained and the major conclusions reached, but shall not contain any illustrative matter.
3. All copies will include the following statement:

### Originality Statement

'I hereby declare that this submission is my own work and to the best of my knowledge it contains no materials previously published or written by another person, or substantial proportions of material which have been accepted for the award of any other degree or diploma at UNSW or any other educational institution, except where due acknowledgment is made in the thesis. Any contribution made to the research by others, with whom I have worked at UNSW or elsewhere, is explicitly acknowledged in the thesis. I also declare that the intellectual content of this thesis is the product of my own work,

except to the extent that assistance from others in the project's design and conception or in style, presentation and linguistic expression is acknowledged.'

4. The following statements will be agreed to during the digital submission process and will be included in the Library deposit copy.

**(a) Copyright Statement**

'I hereby grant to the University of New South Wales or its agents the right to archive and to make available my thesis or dissertation in whole or part in the University libraries in all forms of media, now or hereafter known, subject to the provisions of the Copyright Act 1968. I retain all proprietary rights, such as patent rights. I also retain the right to use in future works (such as articles or books) all or part of this thesis or dissertation. I also authorise University Microfilms to use the abstract of my thesis in Dissertations Abstract International (this is applicable to doctoral theses only). I have either used no substantial portions of copyright material in my thesis or I have obtained permission to use copyright material; where permission has not been granted I have applied/will apply for a partial restriction of the digital copy of my thesis or dissertation.'

**(b) Authenticity Statement**

'I certify that the Library deposit digital copy is a direct equivalent of the final officially approved version of my thesis. No emendation of content has occurred and if there are any minor variations in formatting, they are the result of the conversion to digital format.'

5. All copies shall contain a title page showing the title, author's name, degree and year of submission.
6. All copies shall be in either 1.5 or double-spaced typescript. Font size shall be not less than 11-point (10-point for footnotes) in a legible font and printed using a high quality laser printer or equivalent.
7. For paper copies, the size of the paper shall be International Standards Organisation paper size A4 (297 mm x 210mm). The paper used shall be of good quality and sufficiently opaque for normal reading. Faded, dirty or faint copies will not be accepted. A page may be printed on both sides as long as this does not interfere with the readability of the thesis. Pages shall be numbered consecutively. The margins on each sheet shall be not less than 40 mm on the left-hand side, 20 mm on the right-hand, 30 mm at the top and 20 mm at the bottom.
8. Diagrams, charts and tables should be presented in the text where possible. Large diagrams or charts may be folded and included in the text and arranged so as to open out. Visual records submitted in a text-based thesis may also be included. Other material submitted with the thesis must be marked with the candidate's name so that it can be linked readily with the thesis. All additional material submitted with the paper copies shall be digitised, where possible, and submitted as an attachment to the digital Library deposit copy.
9. Where the work presented for examination contains artefacts, such as a film, sculpture or painting, which remain the possession of the candidate, a full visual documentary record of the work shall be submitted in an appropriate format. All the work presented in the exhibition of work must be fully catalogued. The catalogue must contain visual documentation of work in progress; overall views of the final presentation and of each individual piece showing the entire work. For three-dimensional work, slides or other visual media, several views of the work are required. The visual documentary record shall be digitised, where possible, and submitted as an attachment to the digital Library deposit copy.
10. Where the work contains large-scale drawings these may be presented separately only with the supervisor's permission. They shall be of International Standards Organisation paper size A1 (841 mm x 594 mm) and shall have a margin of at least 40 mm on the left-

hand side to permit binding. They shall be bound together on the left-hand side and shall have a clear sheet of drawing paper on top and underneath. On the top sheet shall be printed the words 'The University of New South Wales ..... of .... Degree' and the title of the thesis, and underneath that, the year of submission. On the bottom right-hand corner shall be printed the name of the candidate. Drawings and graphics may be originals on cartridge paper or black and white prints. Where they are computer generated, they must be printed using a high resolution laser printer or equivalent. They should be suitably coloured where appropriate and extra work may be added in ink to original drawings. The drawings shall be digitised, where possible, and submitted as an attachment to the digital Library deposit copy.

11. Where part of the thesis contains work which the candidate has had accepted for publication, or published, details of all publications must be clearly stated.
12. A candidate may submit a doctoral thesis in the format of a series of publications, with an Introduction/Literature Review Chapter and a Conclusions/Recommendations Chapter as specified in the document '[Submission of a Doctoral Thesis as a Series of Publications](#)'.

### 13. LIBRARY DEPOSIT COPIES:

One paper bound copy and one digital copy of every thesis, which has satisfied University requirements for the award of the degree, must be deposited in the University Library at the conclusion of the examination and prior to the candidate being awarded the degree. The digital copy shall be submitted to the Library in an approved format. Details of the approved format is available at the Library website.

<http://info.library.unsw.edu.au/osd/services/adthesis.html>. Candidates are encouraged to submit the thesis electronically via PDF but other digital submissions are acceptable. The Library paper deposit copy shall be bound by in accordance with the requirements given below and will be printed on acid free permanent paper, which will ensure preservation of the thesis for a minimum of 300 years. The Library deposit paper copy is to be bound in boards covered with buckram and shall be lettered on the spine as follows:

- (a) at the bottom and across – UNSW; or if the volume is too thin for this - UNSW may be printed vertically
- (b) 70 mm from the bottom and across, with the degree and year of submission of the thesis, for example – PhD 2004
- (c) evenly spaced between the degree and year and the top of the spine, the name of the candidate, initials first and then the surname, reading upwards in one line.

No further lettering or any decoration is required on the spine or anywhere on the binding. In the binding of theses which include mounted photographs, folded graphs, etc., leaves at the spine shall be packed to ensure even thickness of the volume. All loose material shall be inserted in a pocket in the back inside cover of the volume binding or bound into a dummy volume of the same dimensions and the same lettering as the text volume.

## SUBMISSION OF A DOCTORAL THESIS AS A SERIES OF PUBLICATIONS

In exceptional cases, and on approval by the Faculty Higher Degree Committee, a candidate for the degree of Doctor of Philosophy may submit a thesis for examination that contains one or more published works of which the candidate is the sole or joint author provided the following conditions are satisfied:

- i. A candidate may only include a published work in the thesis if the research and publication of the work occurred during the course of candidature for the degree.
- ii. The thesis must contain an Introductory/Literature Review Chapter that 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.
- iii. The thesis must contain a Conclusions/Recommendations Chapter that summarises the overall conclusions of all of the published work and articulates clearly the new contribution to knowledge in the discipline and the specific topic of the dissertation.
- iv. All Chapters except the Introduction/Literature Review and Conclusion/Recommendations chapters must be work that has been either published, accepted for publication or submitted for publication in peer-reviewed journals or conference papers at the time the thesis is submitted.
- v. For publications for which the candidate is not the sole author, as specified in the Originality Statement which must be included in the submitted thesis, due acknowledgement must be made in the thesis to the contributions of others to the research, including the writing of the publications. The format of this acknowledgement may be presented at the start of each Chapter or as a Preface to the thesis.
- vi. The thesis must be presented in such a way that the examiners can assess the requirements of the University, including whether in the opinion of the examiner the thesis is a substantially original contribution to the knowledge of the subject concerned, the thesis affords evidence of originality by the discovery of new facts, the thesis affords evidence of originality by the exercising of independent critical ability, and the thesis is satisfactory as regard to literary presentation.

### Format of the thesis

- i. The journal publications must be produced in high quality format and may be included in the format provided by the publisher, or may be presented in an alternate format from the original submitted files.'
- ii. It is the responsibility of the student to obtain permission to reproduce copyright material where that right has not already been granted as part of the publication process by the copyright holder.
- iii. A specific declaration regarding each publication must be included as an appendix or at the start of each Chapter.

### Approval Process

- i. Submission of a thesis by publication is approved by the Faculty Higher Degree Committee on the recommendation of the supervisor and Head of School, that this format would not disadvantage the candidature in terms of permitting examiners to identify the contribution of the candidate to the published work and taking into account the research completed in the degree and the depth of analysis and interpretation presented in the publications.
- ii. The supervisor of a candidate intending to submit a thesis in the format of publications, and the Head of School, must submit appropriate documentation for consideration of the Higher Degree Committee, six months before the intended submission date.
- iii. The Higher Degree Committee will take into account discipline specific issues related to publications in the field, including authorship order, the number of co-authors, and the number of publications and may set specific conditions appropriate to the discipline. The Higher Degree Committee may request from the candidate additional supporting documentation.
- iv. Subject to approval of the Faculty Higher Degree Committee, the candidate must indicate that the format of the thesis will be a series of publications when lodging the Intention to Submit Thesis Form three months prior to submission of the thesis.

## Appendix A: History

Version	Authorised by	Approval Date	Effective Date	Sections modified
1.0	Academic Board (AB04/131)	5 October 2004	5 October 2004	
2.0	Academic Board (AB08/09)	5 February 2008	5 February 2008	Full review and new attachment (pg.4).

Archived Document