

1.0 PURPOSE

Assist PhD by research candidates to prepare an article-based thesis.

2.0 UNIVERSITI MALAYA GUIDELINES FOR THE PREPARATION OF RESEARCH REPORTS, DISSERTATIONS AND THESES (2021)

See the extract from Page 2 of the university guidelines on thesis content.

1.2 Article Style Format

Apart from the conventional style of writing, a research report/dissertation/thesis can also be presented in the chapters that are in the format of journal article (Table 1.2). The number of chapters to be included is at the discretion of the author, depending on the suitability of the chapters in answering the research questions.

This format is also applicable to candidates of Doctoral Degree by Research using **Concurrent or Prospective Publication**. The candidate submits a thesis/conspectus¹ which incorporates publications that may have multiple authors since registration. The candidate may also present a portfolio of interconnected, published research papers or articles encapsulated in a coherent thesis/conspectus, demonstrating overall an original contribution to knowledge. Such publications may include papers, chapters, monographs, books, scholarly editions of a text, technical reports, creative work in relevant areas, or other artefacts. The thesis (with the publications or equivalent works) must meet the criteria and outcomes established for a doctoral award and assessed through a *viva voce*.

The article style format should not be confused with the format for thesis by retrospective or prior publication. Similar to the conventional format, a research report/dissertation/thesis in the article style format should be written extensively to elucidate the different aspects of the research work in great details.

The main body of a research report/dissertation/thesis in the article style format should contain the following chapters:

(a) General Introduction

The General Introduction gives an overview of the research by outlining the objectives, novelty as well as the research questions addressed. This chapter should also explain the correlation among the articles/chapters.

(b) Literature Review

The Literature Review provides extensive background information on past studies and current knowledge pertaining to the research topic.

(c) Article 1, Article 2, Article 3 or more

Each article should address a specific research objective or a related topic of the study. Each article forms a separate chapter and must be written in a cohesive manner with a logical and coordinated progression from one article/chapter to the other. The article/chapter should consist of its own sections on Introduction, brief Literature Review, Methodology, Results, Discussion and Conclusion.

(d) Conclusion and Recommendation

The Conclusion chapter summarizes the findings in all articles and suggests the future direction for research.

The format specifications of the research report/dissertation/thesis must conform to the general research report /dissertation/thesis requirements as outlined in Chapter 2.

¹ A critical review which locates the artefact/s within a coherent theoretical framework and field/s of study.

See extracts from Pages 4 and 5 of the university guidelines on suggested thesis structure.

Table 1.2: The general structure that follows the article style format

<i>Preliminary</i>
<ul style="list-style-type: none">▪ Title Page▪ Original Literary Work Declaration▪ Abstract▪ <i>Abstrak</i>▪ Acknowledgements▪ Table of Contents▪ List of Figures▪ List of Tables▪ List of Symbols and Abbreviations▪ List of Appendices
<i>Main Body</i>
<ul style="list-style-type: none">▪ Chapter 1: General Introduction▪ Chapter 2: Literature Review▪ Chapter 3: Article 1*<ul style="list-style-type: none">3.1 Introduction3.2 Literature Review3.3 Methodology3.4 Results3.5 Discussion3.6 Conclusion▪ Chapter 4: Article 2*<ul style="list-style-type: none">4.1 Introduction4.2 Literature Review4.3 Methodology4.4 Results4.5 Discussion4.6 Conclusion▪ Chapter 5: Article 3*<ul style="list-style-type: none">5.1 Introduction5.2 Literature Review5.3 Methodology5.4 Results5.5 Discussion5.6 Conclusion▪ Chapter 6: Conclusion▪ References (A consolidated list of references for all chapters)

Note:

**Article is written with a specific title which normally refers to the research done*

Supplementary

- List of Publications and Papers Presented
- Appendices
- Co-authors Consent

3.0 FACULTY NOTES

3.1 *Process and expectations*

- The decision to opt for an article-based thesis must be jointly made by the candidate and supervisor(s) before the Candidature Defence.
- The candidate will go through the same candidature milestones (including Proposal Defence, Candidature Defence and Seminar) as a candidate writing a traditional thesis.
- The chapters of the thesis must form a coherent and integrated body of work which focuses on a single project or a set of related questions or propositions.
- The thesis must satisfy the criteria and outcomes established for a doctoral award through a thesis examination and a viva voce.
- The faculty authorities including panel members can advise against an article-based thesis at any point should the quality and extent of the candidate's contributions not meet the expected standard.

3.2 *Publication type:*

- The accepted publication types are journal articles and/or book chapters.
- They must be produced during the candidature period.
- The quartile/status of a journal or publisher must align with the university's PhD publication requirements.
- As a general rule, three (3) articles/book chapters are required, of which **at least two (2) must have been accepted for publication at the point of thesis submission.**
- More articles/book chapters can be included if they are necessary to strengthen the thesis.

3.3. *Presentation*

- The articles/book chapters when put together must form a coherent and integrated body of work which focuses on a project and/or a set of related propositions.
- A systematic/scoping review article may replace the required literature review chapter.
- An afterword may be included at the end of a thesis chapter to help readers connect ideas between different chapters.
- Included publications may contain repetitions but these are expected to be minimal.
- The length of each article/book chapter will generally reflect the discipline and/or publisher requirements.
- The total number of words of the thesis is between 50,000 and 80,000 words.

3.4 *Authorship of submitted or published articles/book chapters.*

- Each article/book chapter can have multiple authors.
- The candidate is usually the principal author and the supervisor must be the corresponding author.
- The candidate must make a major contribution to the conceptualisation, acquisition, analysis and interpretation of data for all submitted/published articles and/or book chapters.
- A statement on the candidate's specific contributions must be included as chapter/thesis endnotes.

Disclaimers:

- All requirements are subject to change and instructions issued by the Faculty and University from time to time.
- The Dean has the authority to make alterations, decisions and recommendations in any circumstance deemed appropriate or necessary.