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| Deputy Vice-Chancellor’s Office  Postgraduate Office |



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| Including Publications in a Thesis – Guidelines for Students |

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The inclusion of already-published work, and/or work submitted for publication, within a PhD thesis is encouraged where appropriate. Such works must have been prepared during the student’s enrolment in the PhD.

Students must discuss with their supervisors the inclusion of publications within their thesis and the appropriate format in which to do so. Practices differ across academic disciplines and it is important to obtain advice from experts within the relevant discipline. Individual disciplines are encouraged to develop and promulgate their own practices.

Regardless of discipline, however, when publications are included in a PhD thesis the following conditions must be met:

* **The thesis document** **must be an** **integrated and coherent body of work**.
  + To meet this requirement it may be necessary to alter the format of publications for inclusion in a thesis
  + Normally the publications will be preceded by a general introduction; be linked by short bridging sections; and be concluded by a general set of overall conclusions.
  + If material that is included in publications (but not the publications themselves) is included in the thesis it is essential to state this – either by providing the appropriate reference to one’s own work or by including a statement at the beginning of the thesis *– e.g., “Material covered in Chapter 4 has previously been published in Johnston, L. (2002). Behavioral mimicry and stigmatization. Social Cognition, 20,18-34.”*
* **Research that has been published, or accepted for publication, does not guarantee a pass in a doctoral degree when included in a thesis.** Examiners will judge a candidate’s research on its quality and original contribution to the literature. The thesis must stand on its own merits and will be assessed as a single document. Examiners may require changes to any part of the thesis whether that material has been previously published or not.
* A statement must be included at the beginning of the thesis which details those publications that have been included in the thesis.
  + Where the included publications are co-authored the contribution of the student submitting the thesis for examination must be detailed by completing the co-authorship form. Again, practices differ between disciplines – seek advice from your supervisors.
* All aspects of the publications are examinable and can be discussed at the oral examination, even where they were primarily the work of co-authors.
* For example, if a co-author conducted the analyses in a thesis the student must still be able to answer questions regarding those analyses.
  + Students can be examined on any material contained within the submitted thesis, including appendices.
* It is the student’s responsibility to ensure that any published work (or parts thereof) in the thesis conforms to the copyright provisions of the publisher and that any guidelines with regard to self citation are followed. If copyright is held by a journal publisher the candidate must obtain written permission to include the published work in the thesis. Evidence of permission obtained must be included in the thesis as an appendix. Some publishers will not permit the inclusion of the published version in a thesis but may permit the use of the author’s manuscript version, following peer review (often referred to as the post print).
* In some cases students may have authored publications during their PhD tenure that do not fit into the coherent body of their thesis. Since this work was carried out during the PhD candidature, however, it may be appropriate that such publications be provided as appendices to the thesis in order to complete the record of the student’s accomplishment during the PhD.