



Including Publications in Postgraduate Research Theses

Purpose of Guidance

To provide guidance on including publications within a thesis for students matriculated on a programme of doctoral study. It supports the Postgraduate Assessment Regulations for Research Degrees. This guidance does not relate to the PhD by Research Publications. There is no requirement in the assessment regulations for publications to be included in PhD thesis and this guidance is for students who choose to include publications as a part of their thesis.

Scope: Guidance is not Mandatory

Doctoral students (except those matriculated for PhD by Research Publications), postgraduate research supervisors and professional support staff involved in doctoral thesis submission.

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Document control

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Approving authority	Senate Academic Policy and Regulations Committee				
Consultation undertaken	Colleges via Task Group of Researcher Experience Committee				
Section responsible for guidance maintenance & review	Academic Services				
Related policies, procedures, guidelines & regulations	Postgraduate Assessment Regulations for Research Degrees Postgraduate Degree Regulations (www.drps.ed.ac.uk) Guidance on Signed Declaration in Thesis Thesis Format and Binding Guidance				
UK Quality Code	UK Quality Code Expectations and Core Principles				
Guidance superseded by this guidance	Previous versions of this guidance.				
Alternative format	If you require this document in an alternative format please email Academic.Services@ed.ac.uk				
Keywords	PhD thesis, publications in PhD, publications in thesis, journal articles in thesis, journal articles in PhD thesis				



Including Publications in Postgraduate Research Theses

- 1.1 The University acknowledges that publishing journal articles, in peer reviewed journals or similar, is increasingly important for PhD students, particularly for career development in some disciplines. The University also recognises the tension between the need to write a traditional monograph thesis in addition to publishing journal articles.
- 1.2 This guidance relates to students matriculated on a programme of doctoral study, producing a traditional thesis with publications included. It should not be confused with the PhD by Research Publications award for which there are separate regulations and guidance. PhD theses containing publications are subject to the University's degree and assessment regulations.
- 1.3 All PhD theses must form a coherent body of interrelated work that shows ability for critical analysis. Therefore it is important that a PhD thesis including publications must present a similar body of work to that expected in a monograph style thesis. Where publications are to be included, they should in effect form a thesis chapter with introductory and concluding text added to place the publication within the structure of the thesis (see example below). Assessment of the standard of the thesis will remain with the examiners thus ensuring that discipline specific standards are met.

Example of chapter structure:

- o Chapter X
- o Introduction
- o Published journal manuscript*
- o Conclusion

*published articles need not be reformatted and can be inserted, as they appear in the publication.

- 1.4 Published journal articles cannot be expected to be subject to correction. However, corrections the student may wish to make, or indicated by the thesis examiners, can be dealt with in the introduction or conclusion of the chapter containing the publication.
- 1.5 Articles included in the thesis which have been submitted for pre-publication (for example in pre-print servers such as bioRxiv, arXiv, SSRN etc) or for publication but which have not been published, or which are in proof, will be included in a format comparable to monograph thesis content. For example, text from unpublished or proof articles can be copied and pasted to match the format of the body of the thesis. The complete body of work submitted, including published articles should be equivalent to that expected of a monograph thesis and adhere to similar word lengths, as laid out within University regulations and local discipline specific guidance.



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- 1.6 It should be emphasised that while peer reviewing of publications is a good measure of progress, it does not guarantee success at examination.
- 1.7 Responsibility for the quality of the submitted thesis lies with the student and the assessment of the standard of the submitted thesis rests with the examiners. Examiners will assess the standard and appropriateness of papers and publications included within a thesis.
- 1.8 Articles may not be included in the thesis for which students do not retain copyright. As students are responsible for the quality of the submitted thesis, it is therefore also the student's responsibility to ensure that the thesis complies with copyright law and advice should be sought in relation to copyright implications. Open access papers with a Creative Commons licence can be included in a PhD thesis without the need to seek permission from the journal. Supervisors may be able to offer advice in relation to copyright matters.
- 1.9 Jointly or multiple-authored publications can be included but students must ensure appropriate permission is obtained and their contribution is clearly indicated. Supervisors will be able to advise on discipline-specific expectations. (See also the University's guidance on [Signed Declaration in a Research Thesis](#).)
- 1.10 The signed declaration in the thesis must include a statement that any included publications are the student's own work, except where indicated throughout the thesis and summarised and clearly identified on the declarations page of the thesis. (See also the University's guidance on [Signed Declaration in a Research Thesis](#).)
- 1.11 The inclusion of journal articles is also permissible for other postgraduate research degrees which are exit routes for the PhD, for example MPhil and MSc by Research.

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