



## **Guidelines on presentation of publications within a PGR thesis**

### Introduction

- 1 All UoL PGR candidates, where permitted via the relevant ordinance, have the option to incorporate published materials into their research degree thesis. This guidance applies to all candidates who wish to present any portion of their thesis using published work in place of a standard format chapter (or chapters).
- 2 Incorporating publications into a thesis is not the same as a research degree by prior publication.
- 3 Candidates who wish to include publications in their thesis are advised to consult their supervisory team at an early stage in their studies to determine whether the proposed format is appropriate to their research degree project and discipline area. Alternative presentation formats are not expected to be compatible with all PGR projects or disciplines and it is the responsibility of the candidate to seek appropriate guidance from their supervisors prior to making a decision. If a candidate elects to incorporate publications into their thesis, no formal approval beyond agreement with their supervisors is required.
- 4 Presentation of a thesis which incorporates publications does not alter the candidate's intended qualification aim; it is simply an alternative route to achieving a traditional research degree (e.g. MPhil, PhD).
- 5 Candidates electing to submit a thesis which incorporates publications are not required to re-enrol for an alternative degree award.
- 6 If there is any doubt about whether including publications in the thesis is appropriate for the candidate's project or discipline area the thesis should be presented in standard format.

### What can be included?

- 7 Acceptable publication types include journal articles, book chapters and books. For the purpose of this guidance, published materials are defined as work that has been published or accepted for publication. Candidates wishing to include materials that are intended for publication, but that are not yet published must do so in line with the presentation guidelines set out in [Appendix 7 of the PGR Code of Practice](#) (Policy on Submission of a Research Degree Thesis for Examination) and [Annexe 1 to Appendix 7](#) (Guidelines for Formatting and Presentation of a PGR Thesis to UoL for Examination).
- 8 Published materials must be submitted to high quality, reputable, peer reviewed outlets for publication. Candidates are advised to seek guidance from their supervisors on suitable outlets prior to submitting materials for publication.

**POSTGRADUATE RESEARCH CODE OF PRACTICE -Appendix 7- Annexe 2 Guidelines on presentation of publications within a PGR thesis**

- 9 Only material produced by the candidate during their period of registration for the appropriate UoL research degree may be incorporated into the thesis.
- 10 It is expected that normally the candidate will be the primary author of the majority of the papers submitted.
- 11 Each publication that is incorporated into the thesis must be accompanied by a corresponding declaration which outlines the candidate's specific contribution to it. Jointly authored material must be accompanied by a declaration from each co-author giving their permission for the paper to appear in the candidate's thesis.
- 12 The decision to incorporate publications into the thesis is at the discretion of the candidate. Any delays or complications arising as a result of the candidate's decision to present published materials in their thesis do not constitute grounds for suspension, extension or appeal.
- 13 The quality of the publications incorporated into the thesis must be of the appropriate doctoral level standard, consistent with the requirements associated with the candidate's degree award.
- 14 It is the candidate's responsibility to obtain permission from the appropriate rights-holder to present published material in their thesis. Further information is available here: [https://libguides.liverpool.ac.uk/ld.php?content\\_id=16389938](https://libguides.liverpool.ac.uk/ld.php?content_id=16389938)

How is it requested?

- 15 Candidates wishing to incorporate publications into their thesis must discuss the feasibility of employing this presentation format with their supervisors at an early stage in their studies and ensure that their intentions are clearly recorded as part of the formal record of supervisory meetings.
- 16 When a candidate formally expresses a preference to submit a thesis that incorporates publications they are under no obligation to pursue this route. However, any later decision to revert to a standard format thesis will not constitute grounds for suspension, extension or appeal.
- 17 Candidates must confirm whether their thesis includes published material via their intention to submit form.

Format of the thesis

- 18 There must be a conventional 'introduction' chapter that carefully explains and justifies the background and rationale for the approach taken.
- 19 At the discretion of the candidate and supervisors, appropriate written chapters on areas insufficiently covered by the publications (e.g. a more fulsome review of literature or methods chapter) may also be included to provide sufficient depth and coherence.

- 20 The thesis must contain a 'conclusion' chapter that integrates the strands presented in the earlier chapters/ papers.
- 21 Each publication must be called a chapter and have an introductory section that explains how it links to preceding and following chapters. The publication(s) must provide a logical sequence of arguments that can be incorporated into an integrated whole. The thesis must not simply comprise a series of unconnected papers and chapters.
- 22 It is at the discretion of the candidate and their supervisors, guided by practice within the appropriate academic discipline and any UoL Department/ Institute specific guidance to determine the appropriate number of publications to include in the thesis.
- 23 Pagination of published material must be revised to ensure consistency throughout the thesis.
- 24 Published material must be re-formatted in accordance with the formatting guidelines given in [Annexe 1 of the PGR Policy on Submission of a Research Degree Thesis for Examination](#) (Guidelines for Formatting and Presentation of a PGR Thesis to UoL for Examination). It is not acceptable to integrate a published article in its original published format into the thesis.
- 25 Candidates employing this thesis presentation format are not exempt from following the standard thesis presentation guidelines or from observing the maximum permitted thesis word count as set out in the UoL PGR Code of Practice and the programme ordinances.

### Examination

- 26 The Primary supervisor must ensure that the Examiners are familiar with/ accepting of the selected presentation format.
- 27 Upon despatch of the thesis Examiners should be reminded that it includes published works. The Examiners will be provided with the relevant guidance in relation to the thesis format by the Research Degree Administration Team (SAS).
- 28 The examination criterion for all theses is the same, regardless of their presentation format. Publications included in the thesis are subject to the same level of scrutiny by Examiners as unpublished material. During the examination candidates must be prepared to respond to queries that cover the full breadth of thesis content, including publications.
- 29 Inclusion of published material in the thesis does not guarantee success in the examination.
- 30 The Examiners are not permitted to request a re-write of published material into a different format following the *viva* examination; however, they may request inclusion of additional information as an addendum.