Advice to candidates on the use of their work, which has formed part of solely or jointly authored publications, within a thesis submission

Background

The Graduate Board is aware of the importance of publication and wishes to encourage all students to publish their work and disseminate their results, either before or after submission of a thesis. The Board has considered the guidance which can be issued to candidates and supervisors upon the situations when the use of published work within a thesis (which has been carried out during the course of the candidature) is relevant and acceptable to the University. This guidance, outlined below, is intended to provide candidates with further information on identifying the contribution of others to the work contained within the thesis. This is especially important when chapters might have been based on jointly authored publications as the examiners will need to be able to clearly identify the work directly attributable to the candidate to determine whether there is a substantially original contribution by the student and whether this contribution is at the appropriate level to merit the award of the degree.

Advice to candidates

1. A collection of publications bound together is not an acceptable form of submission for a research degree thesis at the University of Leeds.

2. Where the student is the sole, lead, first or primary author on a publication the University will permit the use of the work contained within the publication which the student was directly responsible for authoring to form the basis for all or part of a chapter of the thesis. The candidate would not be expected to reproduce any aspect of a publication that was not his/her own written work or illustrations.

3. Candidates must bear in mind that it is not acceptable to simply include the work, as published, to form a chapter of a thesis. In all cases the work must be reformatted and rewritten to ensure integration with the hypotheses and central arguments of the thesis.

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1 For the purpose of this document, the term “publication” refers to work which has been submitted or accepted for publication, in addition to work which has been published
2 The term “lead” refers to the contribution of the student to the work, rather than the order in which the names of the authors appear on the publication
to ensure that it reads as a coherent whole. Instances of repetition should be removed as much as possible to ensure that the thesis is a coherent and readable piece of work.

4. Candidates are asked to bear in mind that journal articles can be very restrictive in terms of length and it is expected that, where appropriate, the thesis will include a more in depth discussion of methods, results etc than appeared in the original publication.

5. In all cases the thesis is expected to conform with the norms within the discipline for the structure of a thesis, presentation of research, methods, results etc and must also conform to the Regulations for the Format and Presentation of Theses for Research Degrees.

6. Where a student has used work from a solely or jointly authored publication to form part of a chapter of the thesis then s/he must also provide loose copies of the publications alongside the copies of the thesis submitted for examination, to assist the examiners. A copy of each publication must be provided for each examiner.

7. Where the student has contributed work to a multi-authored publication and their contribution is not significant the work should not be used to form part of a chapter of a thesis. Where the candidate has not directly authored the work the University would not expect the candidate to replicate any aspect of the publication.

Examination Entry Form

8. Where work, which has formed part of a solely or jointly authored publication, is to be included within a thesis (as outlined in 2 above), candidates must declare their intention to use this work on the appropriate section of the examination entry form. Candidates are required to:

(i) confirm their intention to include work already published as part of a solely or jointly authored publication (where they have been the lead or primary author);

(ii) confirm which chapters of the thesis will include work which has been published in solely or jointly authored publications with details of the publications (e.g. title, authors, publication etc.)

(iii) in the case of work from jointly authored publications candidates must provide an outline of their contribution to the paper and that of the other authors to the work. A signature of one of the other authors to the paper is required to confirm the
information supplied (in most cases this is the Supervisor). This will be copied and included with the paperwork sent to the examiners with the thesis.

Presentation of the thesis (where work from jointly authored publications will be included)

9. Where work which has formed part of jointly authored publications has been included in a thesis the contribution of the candidate and others should be explicitly stated in all relevant sections of the thesis. Examiners will need to be able to clearly identify the work directly attributable to the candidate to determine whether there is a substantially original contribution to the subject concerned and whether the student’s own contribution is at the appropriate level to merit the award of the degree.

10. To assist the examiners in this process, candidates must ensure that the following information is included within their thesis:

(i) the appropriate statement is presented on page 2 of their thesis as follows:

The candidate confirms that the work submitted is his/her own, except where work which has formed part of jointly authored publications has been included. The contribution of the candidate and the other authors to this work has been explicitly indicated below. The candidate confirms that appropriate credit has been given within the thesis where reference has been made to the work of others.

(ii) Page 2 of the thesis must then be used to explicitly outline:

a) the details of which chapters within the thesis have been based on work from jointly authored publications and/or manuscripts;
b) details of the jointly authored publications which have been used (e.g. title, names of authors, publication/submission details etc.);
c) details of the work contained within these publications which is directly attributable to the candidate;
d) details of the contributions of the other authors to the work (in the case of jointly authored publications)

Copyright Information

Students should gain permission from copyright owners for any substantial third party content included in their thesis. Insustantial amounts can be included under fair dealing for criticism and review, provided that it is correctly acknowledged and referenced. Text or images included in this way must be the subject of “criticism or review”, and not simply included to embellish the text. Further information is available on the Library website for fair dealing: http://library.leeds.ac.uk/info/138/copyright_and_licences/55/copyright-the Basics/4 and clearing copyright: http://library.leeds.ac.uk/info/138/copyright_and_licences/116/clearing copyright/1. Further information is also available in the Guidance on Ethesis Preparation, Copyright and Publication available at: http://www.leeds.ac.uk/rsa/thesessubmissionandexamination/students/ethesis/copyright.html

August 2013