

Guidelines for including publications in a doctoral thesis

Reference: [Doctoral Regulations 7.3 Including published work in a thesis](#)

(b) “The thesis may include the candidate’s work that has been published or accepted for publication prior to the submission of the thesis for examination, provided that the research has been conducted under supervision during the period of enrolment. Except as provided for within an approved co-tutelle arrangement work submitted for another qualification, whether completed or not, at this or any other university may not be so included.”

1. Victoria University of Wellington does not offer a ‘thesis by publications’ option; it does, however, permit (and even encourage) candidates to publish their research while they are registered. The publications may be included in their thesis provided that the following conditions are satisfied.
2. The thesis must be an integrated and coherent work. Whatever published materials are included, the candidate must provide the thesis with appropriate additional materials to establish coherence and demonstrate integration. As a minimum, this will include an introductory chapter that clearly establishes the research question(s) and provides some framework for the published items and a concluding chapter that draws out the key and original contributions of the thesis as a whole. Other materials (such as a literature review or a methodology chapter) may be required by individual supervisors as appropriate to the discipline.
3. The publication must arise from original research conducted by the candidate while under supervision.
4. A candidate may only submit work for which he or she is the sole author or primary (lead) author and for which he or she has written at least 50% of the text. If the candidate is not the sole author, the contribution of other authors must be clearly described within the thesis.
5. Any item of published material may only be submitted by one doctoral candidate. Where two candidates wish to include the same published paper, they cannot include the paper itself. Each must extract the relevant parts of the paper and write such surrounding material as is needed to put the work in context. In this situation is likely to be more appropriate to rewrite the relevant material entirely, rather than including extracts verbatim.
6. Any previously published material must be appropriately and fully referenced, and a candidate must obtain permission from the publisher to include the work in his or her thesis. Confirmation of such permission must be provided by the candidate in the Thesis Submission for Examination form in Panoho. Most publishers allow for such use in their standard publication agreement, but candidates must check that this is the case.
7. Candidates are normally expected to present their thesis in a single format (as to margins, typeface, etc). Changes to published material to effect such consistency need not be noted. However, candidates may wish to revise previously published material to update information, to clarify an argument, or to provide additional data. Such changes must be drawn to the examiners’ attention. Some examiners do not appreciate having to read common material across multiple papers: candidates are advised to consider extracting common material to a stand-alone earlier chapter.
8. All aspects of the thesis can be examined, both in the written report and in the oral examination. Examiners may disagree with a candidate’s arguments or results, irrespective of whether the work has been published, and may require revision of such work for the thesis. The expectation that a candidate may be questioned on and be able to defend all aspects of the thesis extends equally to co-authored work.
9. If a thesis that includes significant published work does not include the mandatory introductory and concluding material as described in 2 above, the examiners may require that such additional material be provided, and may choose to re-examine the thesis as a result.