

Guidelines on Submitting a Thesis Incorporating Publications

Deliberately, these guidelines are not prescriptive in defining how publications can be included in a thesis, as it is recognised that this may depend on the discipline and specific issues concerning an individual thesis. It is also recognised that this can lead to some confusion for candidates as to what they can and cannot do. The notes below are designed as a guide to this route, but candidates are urged to discuss their plans with their supervisory team, and to contact the Research Degrees Examinations team if clarification is required.

1) What it is and what it is not

Thesis Incorporating Publications (TIP) is an alternative but equivalent route of submission, which candidates should discuss with their supervisors at an early stage of their study. It is not available for the DClinPsy or other Specialist Doctorates.

A TIP is **not** the same as thesis *by* publication, a format that is common in continental Europe and consists of several publications being bound into a single volume. A thesis incorporating publications is a variant of the traditional UK thesis, and the purpose is to allow candidates to include work they have published without having to rewrite it to the traditional thesis format.

The allowance of a TIP by King's College London will be included in the guidance to make potential examiners aware of this style of thesis prior to agreeing to examine. The examiners will have no ability to request a rewrite in a standard thesis format after the oral examination. However, examiners will be made aware that inclusion of a peer reviewed published paper does not diminish their examination rights in terms of requesting additional information added to that particular thesis chapter if they feel the publication insufficiently explains the data or if it would benefit from more or different analyses. These changes will

be incorporated in 'supplementary material' form, rather than a complete rewrite of the chapter in traditional form or changes made to the published paper via the journal.

2) Which candidates is it suitable for?

Experience suggests that this pathway is appropriate to candidates whose work will be published in one or more research papers. Please refer to paragraph R12.7 – R12.13 of the Academic Regulations for Research Degrees for further information.

If there are any doubts about whether submitting by this route is the appropriate option for the discipline of study, or whether the candidate will have any publications available in time, the candidate should submit a thesis by the traditional route.

3) When should this pathway be indicated?

Candidates must select the TIP option when submitting the RD1 form but are advised to discuss this with their supervisor(s)/thesis committee at an earlier stage. Candidates will not be permitted to change to the TIP pathway at any stage after submission of the RD1 form.

4) Which publications can be included?

Candidates able to produce/submit a TIP to the rigorous standard required to meet the existing criteria and regulations for a Kings' College London degree, may, with the support of their supervisor, submit a thesis which:

- a) includes at least one paper published in a peer reviewed publication or (if the article is accepted but not yet published) which is presented in the final, accepted form with appropriate reference numbers (normally a DOI number) from the relevant publication. The paper should be bound into the thesis as a pdf version of that presented in the publication, without breaking publishers copyright. Some journals only allow the pre-publication version of the manuscript to be used, others a copy of the 'Author's Accepted Manuscript' version, i.e. the final draft of the paper, after peer-review but before the publisher's typesetting has been applied. The candidate and supervisor are responsible for checking these requirements. The publications should follow the page numbering requirements of the whole thesis, regardless of the numbering of the (pre)publication version. A book chapter (which must have been peer reviewed) may be

considered an article and must be appropriately referenced with confirmation of (pending) publication;

- b) has a focussed theme of research presented in a full and comprehensive volume of work to a substantive standard at least equivalent to that expected of a King's College London research degree;
- c) must reach a standard equivalent to that presented by the traditional route and meet all other standard criteria including period of study and word count.

5) Can work published before the start of a research degree be included?

Publications produced before registration cannot be used. The normal regulations apply to research, i.e. that the majority of the work (but not necessarily all) must be done after registration.

6) If a student transfers to King's from another institution, can they include work published whilst studying elsewhere?

Candidates who have transferred partway through a research degree to King's College London from another institution may include work that was published whilst at the other institution, providing it was part of the same project. Publications produced before registration cannot be used.

7) What if a manuscript has not been accepted at the point of submitting the RD1 form?

On the RD1 form, a box must be ticked to confirm that a TIP will be submitted for examination. If, at the point of completing the RD1 form, the candidate has no papers accepted for publication but is highly likely to have at least one in the next 4-6 months prior to submission, they could still tick the box. If the papers are not accepted prior to submission, the burden will be upon the candidate to rewrite them as traditional thesis chapters and they will have to add a note of this to the examiners.

8) Can rejected publications be included?

No. Any papers contained within the TIP must at least have been accepted for publication at the point of submitting the RD1 form. Any included papers that have not met this criterion must be withdrawn from the thesis and the data written up as a conventional chapter before the thesis is submitted for examination.

9) Is the publication itself a standalone chapter or should additional material be included?

The following points concern the other components of the chapter in which the publication is embedded:

- a) The introduction section of research papers is often brief and does not provide sufficient analysis of relevant literature. In addition to the publication, the relevant chapter, therefore, may need to be prefaced by an appropriate introduction (if not covered by the general introduction). The publication may also need extensions to methods and results sections (including all on-line material) followed by a conclusion section which fully contextualises and integrates the publication into the rest of the thesis, if necessary. Candidates are encouraged to discuss how best to do this with their supervisors.
- b) Methods in publications are often much briefer than would be expected in a thesis, and therefore it may be necessary to provide these in a detailed form.
- c) Preliminary data and background data which are related to the publication but were not published should also be included in the relevant chapter. Supplementary data from the publications must be included in the thesis, contiguous with the publication.
- d) References from the publication should also be incorporated into the full thesis bibliography.
- e) The publications should follow the page numbering requirements of the whole thesis.
- f) There must be an explicit account of the contribution of each co-author to the publication, which should preface the publication where it is included.

10) Can this route be followed where a candidate is one of several authors on a paper?

The candidate will in most cases be the lead author of incorporated papers. It is acknowledged that different disciplines allow for different interpretation of lead authors of articles and thus standards applied to ensure that the candidate was the lead author of a paper should be those which apply within the relevant discipline. Where two candidates are **co-first** authors on a paper based on a larger project, both candidates may include the paper in their thesis. It is possible to include publications in which the candidate is responsible for (for example) a newly developed method, which is described in the paper for the first time but the candidate cannot be (co)first author (e.g. in large collaborative projects where it is common for the principal investigator to be the first author). In this case, however, it might be better for the candidate to re-write the piece of work in traditional chapter format focussing on just the developed method and refer to published paper as required. Candidates are encouraged to discuss how best to do this with their supervisors. There must be an explicit account of the contribution of each co-author to the publication, which should preface the publication where it is included

11) How should the thesis be presented?

The inclusion of publications in lieu of traditional chapters does not exempt a candidate from meeting the published guidelines and regulations on writing and presenting a thesis. Candidates must ensure that they read and comply with the regulations and guidance available from the university.

12) What is the minimum number of articles that can be included?

One.

13) What is the maximum number of articles that can be included?

This is at the candidate's discretion. However, as explained above, a TIP must not simply be a series of papers bound together.

14) **Which Regulations govern a thesis incorporating publications?**

Please refer to paragraph R12.7 – R12.13 of the Academic Regulations for Research Degrees.

15) **Is there any guidance concerning copyright?**

Please refer to information available from Library Services

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