

ACADEMIC AWARD REGULATIONS

Regulations for the Award of the Doctor of Philosophy on the Basis of Published Work

Name of regulation :	Regulations for the Award of the Doctor of Philosophy on the Basis of Published Work
Purpose of regulation :	To describe the eligibility, application to and conferment of PhDs on the basis of already published work
Approval for this regulation given by :	Academic Board
Responsibility for its update :	Dean of Students and Academic Registrar
Regulation applies to :	Students who wish to register for the award of PhD on the basis of published work
Date of Approval :	29 June 2011
Proposed Date of Review :	May 2012

POLICY

Criteria for the Award of the Degree of PhD on the Basis of Published Work.

- 1 Staffordshire University (hereinafter referred to as 'the University') may award the degree of Doctor of Philosophy (PhD) on the basis of published work where the candidate has made an independent and original contribution to new knowledge through the discovery of new facts, demonstrated an understanding of research methods appropriate to the chosen field and has presented and defended a thesis by oral examination to the satisfaction of the examiners. The academic standards associated with the degree shall be comparable with those for the award by the University of the degree of PhD following approved programmes of supervised research.

ELIGIBILITY OF CANDIDATES

- 2 A candidate for the degree of PhD based on published work shall normally hold a first or second class honours degree of a UK University or of the former Council for National Academic Awards. An applicant holding other qualifications shall be considered on his/her merits by the University's Research Degrees Committee.

REGISTRATION AS A STUDENT OF THE UNIVERSITY

3 Enrolment and Registration

A candidate wishing to submit for the degree must first apply to the University via the Research Awards Team. The application will be considered by the appropriate School and if accepted the candidate must enrol as a student of the University. The candidate must register his/her research application with the University's Research Degrees Sub-Committee.

Fees

On enrolment the candidate will pay to the University the appropriate fee. Where the prospective candidate fails to establish a *prima facie* case (regulation 6 refers), an appropriate proportion of this fee will be refunded by the University.

Intellectual Property Rights and Confidentiality Agreement

Candidates for the degree of PhD on the basis of published work are not required to enter an intellectual property agreement or a confidentiality agreement with the University at the time of enrolment.

Academic Advisor

If the University's Research Degrees Committee approves the candidate's application they will appoint at least one Academic Advisor who will be a serving member of the University.

4 PUBLISHED WORKS

Definition

For the purpose of these regulations, 'published work' shall refer to papers, chapters, monographs, books, scholarly editions of a text, enduring records of creative work (which may be in any field including fine art, design, architecture, musical composition, dance or performance) or other original artefacts.

Authentication

For the purpose of these regulations, a work shall be regarded as published work only if it is traceable through ordinary catalogues, critical reviews, abstracts or citation indices and if copies are or have been available to the general public including, for example, public exhibitions with published catalogues and public performances with published programmes. As a consequence of this requirement, reports provided exclusively for the public or private sector may not be submitted unless they have been published and are available generally. Proofs of works not yet accepted for publication shall not be submitted.

Declaration Form

Candidates shall not submit material, which has been or is being submitted in respect of another research degree at this or any other University. Candidates will provide a statement to this effect when submitting their thesis.

Co-authors

In cases where any work submitted for the degree has been written in collaboration with other persons, the candidate shall submit a statement endorsed by the co-authors and/or the candidate's relevant manager(s), indicating the approximate intellectual and practical input by the candidate into each such work. This statement shall quantify the candidate's contribution to the formulation, execution, analysis and publication of the research and shall be countersigned by the candidate's co-authors and/or manager.

5 INITIAL SUBMISSION

In order to establish a *prima facie* case, the candidate shall initially submit to his/her Faculty/School's Research Degrees Committee documentation, which should include:

- i) a list of the published works on which the application is based;

and/or

a list of the cited creative works which are or have been in the public domain (e.g. public exhibitions with published catalogues) together with independent critical reviews of the work;

and/or

a list of the edited text(s) or collection of artefacts, which are or have been in the public domain, together with appropriate textual and explanatory annotations;

- ii) a summary, not normally exceeding 1000 words, of the contribution to knowledge represented by the published works establishing how the works constitute a coherent body of study;
- iii) a statement identifying where and when the research contributing to the published works was undertaken;
- iv) the declaration referred to in regulation 4;
- v) the statement referred to in regulation 4;

If the Faculty/School's Research Degrees Committee approves the initial submission the University's Research Degrees Committee must then consider it. The Faculty/School will forward the candidate's submission to the Secretary of the University's Research Degrees Committee.

6 PRIMA FACIE CASE

Assessors' Evaluation

Submitted documentation shall be evaluated on behalf of the University's Research Degrees Committee by at least two assessors with expertise in the candidate's field of research. Each assessor shall comment on the coherence, quality and quantity of the published works, their potential suitability for the award of the degree of PhD and the quality of the evidence for the candidate's contribution to multi-authored works. The University's Research Degrees Committee will select assessors.

Assessors' Reports

The University's Research Degrees Committee shall receive the assessors' reports and determine whether the candidate has established a *prima facie* case for the award.

Approval of the candidate's application

If the University's Research Degrees Committee confirms that a *prima facie* case for the award does exist, the candidate has 12 months from the date of approval to produce the final submission. The Committee will appoint at least one Academic Advisor for the candidate who will be a serving member of the University.

7 **EXAMINERS**

Initial Contact

The Academic Advisor, in consultation with appropriately qualified senior colleagues, shall identify at least two and not more than three potential examiners and make an initial approach to them appraising them of the subject of the candidate's published work and of the University's procedures of the appointment of examiners and conduct of examinations.

Number of Examiners

If a *prima facie* case is established, the University's Research Degrees Committee shall appoint one internal examiner and at least one external examiner and no more than two external examiners with appropriate expertise and experience.

Ineligibility

The University's Research Degrees Committee will not approve the appointment of the candidate's Academic Advisor or co-author(s) as an examiner.

Internal Examiners

An internal examiner shall be defined as an examiner who:

is a member of staff of the University (this includes all full-time, part-time, visiting or honorary staff).

University Staff as Research Degree Candidates

Where the candidate and the internal examiner are both on the permanent staff of the same establishment, two external examiners must be appointed.

External Examiners

An external examiner shall be defined as an examiner who is:

- i) independent of the University
- ii) independent of the candidate's current or any previous employer where all or part of the cited published work was carried out.

He or she shall not:

- i) have acted previously as an advisor to the candidate

- ii) be a member of staff of the University
- iii) be a member of staff of the candidate's current employer
- iv) be a member of staff of the candidate's previous employer, where all or part of the cited published work was carried out.

Former members of staff of the University or the candidate's current employer shall normally not be approved as external examiners until three years after the termination of such employment.

Approval of Examiners and Thesis Title

The title of the thesis declared by the candidate, together with the proposed examination arrangements shall be submitted to the University's Research Degrees Committee at least two months before the expected date of the examination. The examination may not take place until the examination arrangements have been approved by the University's Research Degrees Committee. In special circumstances the University's Research Degrees Committee may act independently of the Academic Advisor to appoint examiners and arrange the examination of the candidate. The approved title of the thesis may not be changed without the approval of the University's Research Degrees Committee.

Notification of Examiners' Appointment

When the University's Research Degrees Committee has approved the proposed examination arrangements, the Secretary of the Committee shall notify the candidate, Academic Advisor and the examiners of the approved arrangements. The candidate will also be informed by the Secretary of the University's Research Degrees Committee of the procedures to be followed for the submission of the thesis.

8 FULL SUBMISSION

Thesis Content

Following the establishment of a *prima facie* case, the candidate shall submit to the University via the Secretary of the University's Research Degrees Committee, one set of documentation (hereinafter referred to as the thesis) for each of the appointed examiners, each copy of which shall include:

- i) an abstract, not normally exceeding 300 words, providing a statement of the nature and scope of the work undertaken and the contribution made to the knowledge of the subject;
- ii) a critical appraisal, not normally exceeding 10,000 words, of the cited published works, which states the aims and provides a description of the research programme, an analysis of its component parts and a

synthesis of the works as a coherent study. The contribution of the original works to the advancement of the field of study shall be stated and an account given of its significance.

Where the candidate's own creative work has formed a significant part or the whole of the intellectual enquiry, the critical appraisal shall clearly set the creative work, including scholarly text(s), in its relevant theoretical, historical, critical or design context. It shall also state the aims and provide a description of the research programme, an analysis of its component parts and provide a synthesis of the works as a coherent study.

The contribution of the original work to the advancement of the field of study shall be stated and an account given of its significance;

- iii) authenticated evidence of scholarly activity in accordance with regulation 5. In the case of creative work, the representation may be in other than written form (for example video, photographic record, musical score, diagrammatic representation). The works shall be numbered and correspond exactly with the list cited in accordance with regulation 5. No additional works shall be included;
- iv) the statements and declarations referred to in regulation 5.

The critical appraisal shall be written in English unless the University's Research Degrees Committee has approved otherwise. Where the published works are in a language other than English, the University's Research Degrees Committee may require a certified translation to be provided at the candidate's expense.

Contents and Title Page

Each bound copy of the submission shall contain a contents page and a title page, which includes the following information:

- i) the approved title relating to the candidate's area of research;
- ii) the full name of the candidate;
- iii) the following statement:

"A thesis submitted in partial fulfilment of the requirements of Staffordshire University for the award of the degree of Doctor of Philosophy Based upon Published Work";
- iv) the month and year of submission.

Format

The following requirements shall be adhered to in the format of the submitted thesis:

- i) the thesis shall be presented in A4 format unless the University's Research Degrees Committee has approved a different format;
- ii) the thesis shall be presented on opaque white paper in double or single-sided format;
- iii) the margin at the left-hand binding edge of the page shall not be less than 40 mm; other margins shall not be less than 15 mm;
- iv) double or one-and-a-half spacing shall be used in the critical appraisal except for indented quotations or footnotes where single spacing may be used;
- v) pages shall be numbered consecutively through the critical appraisal and the copies of published, creative or scholarly works (excluding books);
- vi) the binding shall be of a fixed type so that no part of the contents can be removed or replaced. The front and rear boards shall be of sufficient rigidity to support the weight of the work when standing upright;
- vii) the outside front board shall bear, in at least 24 pt type, the title of the work, the name and initial(s) of the candidate, the qualification and the year of the submission. The same information, excluding the title of the work, shall be shown on the spine of the work.

Programme of Research

For the purposes of this award, the preparation of the thesis submitted by the candidate shall be deemed by the University to constitute an appropriate programme of supervised research.

Submission of Thesis

The candidate shall submit the copies of the thesis to the Secretary and shall be issued with a receipt of submission. Following the submission, the candidate shall not modify the submitted thesis prior to the examination. The timing of the submission of the copies of the thesis for examination shall be at the sole discretion of the candidate.

9 **ORAL EXAMINATION**

Preliminary Reports

Each appointed examiner shall independently consider the candidate's thesis and provide the Secretary of the University's Research Degrees Committee with a preliminary report and recommendation not less than five working days prior to the day identified for the oral examination. An oral examination must be held irrespective of the provisional recommendation of the examiners.

Arrangements for Examination

A member of the University's Research Degrees Committee shall chair the oral examination. A member of the Research Awards Team will liaise with the examiners, the Chair and the candidate to agree the date, time and venue for the oral examination. The examination must take place on one of the University's campuses. All parties will be notified in writing of the agreed arrangements.

Exchange of Preliminary Reports

Prior to the oral examination, the examiners and the candidate will receive from the Secretary copies of all preliminary reports and recommendations and will jointly consider any areas of concern to be evaluated during the examination.

Role of Academic Advisor

The Academic Advisor may attend the oral examination with the agreement of the candidate, but may not contribute to the discussion or the outcome of the examination.

Examiners' Responsibilities

The oral examination shall be concerned with the content of the thesis and any other matters the examiners deem to be relevant to the thesis. The examiners shall establish that the candidate has made a systematic study in a single field or a small number of related fields, has displayed originality and independent critical powers and has thereby carried out a coherent programme of work comparable with that required for a successful traditional PhD thesis on the basis of an approved programme of research in the field concerned. They shall also satisfy themselves on the candidate's contribution to multi-authored works.

Creative Works

In the case of a candidate whose own created artefact(s) forms a significant or total part of their published works, the examiners will be

required to assess the submitted documentation and, wherever possible, the artefact(s). To this end, the candidate shall, where possible, make available on the appointed day of the oral examination or earlier where appropriate, the cited artefact(s) so that the examiners can view and discuss it with the candidate as part of the oral examination process.

Examination Outcomes

Following the completion of the examination the examiners may recommend that:

- i) the Degree be awarded;
- ii) the Degree be awarded, subject to minor editorial corrections being made to the critical appraisal, which shall be completed by the candidate to the satisfaction of the internal and/or the external examiner;
- iii) the Degree not be awarded, but the candidate be permitted to submit a revised critical appraisal and/or a different selection of published material within a specified time period;
- iii) the Degree not be awarded.

Where the examiners are not in agreement, separate final reports and recommendations shall be submitted. If option ii is selected, the examiners shall, at the end of the examination, give the candidate guidance on the corrections to be made and shall agree the arrangements for the receipt and approval by them of the corrections. Candidates shall have one month from the date of the oral examination to complete the corrections and submit the required number of copies to the Secretary who will arrange for the thesis to be checked.

Notification of Candidate of Outcome of Examination

Examiners may indicate informally their recommendation on the result of the examination to the candidate but they shall make it clear that the decision rests with the University's Research Degrees Committee.

Final Decision on Examination

The University's Research Degrees Committee will consider the preliminary reports and final recommendations of the examiners. Where the examiners' recommendations are not unanimous, the University's Research Degrees Committee may:

- i) accept a majority decision;
- ii) require the appointment of an additional external examiner.

Appointment of Additional Examiner

Where an additional examiner is appointed under regulation 9 he or she shall prepare an independent preliminary report on the thesis and shall conduct a further oral examination normally within three months of the first examination. The additional examiner shall not be informed of the recommendations of the other examiners. The Academic Advisor may attend the examination with the agreement of the candidate, but may not contribute to any discussion or its outcome. On receipt of the preliminary report and final recommendation of the additional examiner, the University's Research Degrees Committee will consider the recommendations of all the examiners and take a final decision to award or not to award the Degree.

Failure

Where the examiners recommend that the Degree should not be awarded, they shall prepare an agreed statement of the reasons for their recommendation, which shall be forwarded to the candidate by the Secretary following its approval by the University's Research Degrees Committee.

Library Copy of Thesis

One hardbound copy of the final version of the thesis must be submitted to the Research Awards Team will then be lodged in the University Library.

10 CHEATING AND PLAGIARISM

Any investigation of allegations of cheating and plagiarism will follow the procedures set out in the University's Academic Award Regulations: Procedure for Dealing with Breaches of Assessment Regulations: Academic Dishonesty.

Where it is proven that a candidate for a research degree is guilty of plagiarism or has otherwise cheated and where this has resulted in the award of the degree of PhD by Published Work, the University reserves the right, as appropriate, either to withhold the award of the degree or to withdraw the degree.

11 RE-SUBMISSION

Candidates to whom the degree is not awarded may submit a new application, which will be subject to the requirements of regulation 5, at any time, provided that such an application contains additional published work relevant to the field of study.

**12 GROUNDS FOR THE REVIEW OF AN EXAMINATION DECISION
RELATING TO THE AWARD OF THE DEGREE OF PhD ON THE BASIS
OF PUBLISHED WORK**

Following an oral examination, a candidate may appeal against a decision taken by the University's Research Degrees Committee upon the recommendations made by examiners.

Any such appeal will be based on one or a combination of any of the following grounds:

- i) that there are circumstances affecting the candidate's performance of which the examiners had not been aware and could not reasonably have been made aware when their recommendation was made;
- ii) that there is evidence of procedural irregularity in the conduct of the examination (including administrative error) of such a nature as to cause doubt as to whether the result might have been different had there not been such an irregularity;
- iii) that there is reason to doubt the fairness or impartiality of the examiners or the adequacy of their assessment of the Candidate.

Candidates may not otherwise challenge the academic judgement of the examiners.

13 Disabled students

If, due to a disability, you need us to make adjustments in order that you can attend an interview or hearing, please let us know in advance and we will aim to meet your individual requirements. This could mean us relocating the hearing to a more accessible venue and/or making arrangements for a communicator or advocate to be present at the hearing. To enable us to do this, please ensure that you contact the Research Awards Team, Tel no. 01785 353846 or email l.c.eyre@staffs.ac.uk at least 7 working days before the date of the hearing.

Candidates should also consult the University's Code of Practice for Postgraduate Research Degrees.

Staffordshire University's commitment to equality and diversity means that this policy has been screened in relation to the use of gender-neutral language, jargon-free plain English, recognition of the needs of disabled people, promotion of the positive duty in relation to race and disability and avoidance of stereotypes. This document is available in alternative formats on request. If you think we can improve the fairness of this policy, please contact the individual who has responsibility for its update.