

## AWARD OF PHD BY PUBLICATION GUIDANCE NOTES

The award of Doctor of Philosophy (PhD) by Publication may be awarded by the University in recognition of a candidate's substantial contribution to knowledge and scholarship at the appropriate level. Applicants for the Award of PhD by Publication must be holders, of at least five years standing, of a first or higher degree awarded by a UK higher education institute or a recognised international degree (as recorded by UK NARIC<sup>1</sup>).

Evidence in support of an application shall take the form of a body of published work that in its substance and original contribution to knowledge is at least comparable with that undertaken by a higher degree student for the award of PhD.

### The QAA's Doctoral Degree Characteristics Guide

This guide provides a summary of UK doctoral degrees, highlighting similarities and differences between doctoral degrees. Published in September 2015, it summarises the PhD by Publication as follows:

Normally awarded on the basis of a thesis containing a series of peer-reviewed academic papers, books, cited works or other materials that have been placed in the public domain as articles that have been published, accepted for publication, exhibited or performed, accompanied by a substantial commentary linking the published work and outlining its coherence and significance, together with an oral examination at which the candidate defends his/her research.

The full guide can be found at:

<https://www.qaa.ac.uk/docs/qaa/quality-code/doctoral-degree-characteristics-15.pdf>

### Application and Registration

An applicant wishing to register for the award of PhD by Publication should submit an online application form (<http://www2.port.ac.uk/apply-online/>). The application requires:

- A curriculum vitae of the applicant and the names of two referees,
- The title for the proposed PhD
- A listing of the published work on which the application is based
- A statement of not more than 1,000 words, setting out the candidate's view of the nature and significance of the work submitted
- A statement of the extent of the candidate's contribution to any of the submitted work which involves joint authorship or other type of collaboration
- A statement as to which part(s) of the submission, if any, has been submitted for another academic award.

The application will be considered by the Student Recruitment office and academic contact with responsibility for research degree applications.

### Role of Supervisor

If the application is successful, the academic department and Faculty Research Degrees Committee will appoint a suitable supervisor. Their responsibilities include:

- Giving guidance on the selection, coherence and quality of the candidate's published work to be submitted for examination;
- Advice on the preparation of the supporting critical summary and review to accompany the submission;
- Guidance on the preparation for the oral examination;
- Nomination of examiners.

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<sup>1</sup> UK's National Recognition Information Centre (<http://ecctis.co.uk/naric/>)

## Submission

Between 6 months and 1 year from the registration date, the candidate will be expected to submit material for examination. The submission will include three bound copies of the following material:

- A 300 word abstract which summarises the contribution made by the submitted research;
- A supporting commentary of between 5,000 and 10,000 words;
- A declaration that the work has not been submitted for any other equivalent qualification;
- The set of publications or other material on which the submission is based in date order accompanied by a list of the publications or other material;
- A statement, which indicates clearly the candidate's contribution to, cited jointly authored publications.

## Submitted Publications and Commentary

Publications are defined as being in the public domain or accepted for publication (proof required). It is suggested that publications should be equivalent to that expected in a PhD; they should constitute a coherent programme of research, with a clear overarching theme, making a significant contribution to knowledge. The quality and impact of the publications will be more important than the number of publications, which will vary from one candidate to another in a given research area. Unrelated publications should be excluded from the submission. However, the supporting commentary could indicate where earlier papers/publications fit with the current state of knowledge.

The commentary should place the selected works in context indicating, for example, why they were selected and the nature of their academic impact, contribution to knowledge and/or methodologies used. It will be particularly important for candidates to establish the contribution to knowledge embodied in the submitted work and the extent to which the work shows independent thought and critical analysis. The commentary would normally include a discussion on the theoretical framework supporting the research that has been published and a reflective evaluation on the research methodologies applied, substantiating their rationale and critiquing their strengths and weaknesses. Additionally, where relevant, the candidate should identify their contribution to developing theory in the field. The impact of the work on professional practice should also be considered and discussed.

It will be a matter for the candidate and supervisor to judge the balance of single and joint authored papers. The summary should include a detailed account of the contribution by the candidate to research design, data collection, analysis and writing of the text where joint publications are cited. Candidates should also take care to address the need to submit quality peer reviewed publications. The QAA guide suggests these are peer-reviewed academic papers, books, citations or other materials that have been published or accepted for publications, exemplified by refereed journals, book or chapters with established publishers.

## Examiners

The Faculty Research Degrees Committee, following nomination by the supervisor on behalf of the Faculty Research Degrees Committee, will appoint three examiners. A form detailing the examiners will be submitted to the Research Degrees, Student Administrator Services (SAS), Department of Student Academic Administration (DSAA) ([researchdegrees@port.ac.uk](mailto:researchdegrees@port.ac.uk)).

The examination board will include two external examiners who are completely independent of the University, (at least one should have experience of examining at PhD level) and an internal examiner from the academic staff of the University.

## Guidance for Examiners

The role of the examiners is:

- To determine that the work submitted is substantially that of the candidate;
- To determine that the candidate has personally made a systematic study in the chosen topic and has demonstrated originality and the exercise of independent critical powers;
- To evaluate the quality of the candidate's published work, taking into account the publication and any peer review done at the time;
- To establish that the work submitted is comparable with that undertaken by a higher degree

student for the award of PhD;

- To assess the significant contribution to knowledge represented by the publications;
- To evaluate the research methodologies used and applied ;
- To place the publications within the time frame covered and facilities within which the publications were made;
- To assess the candidate's contribution to the cited joint-authored publications;
- To establish the candidates' knowledge within their own research area.

## **Examination**

The supervisor will liaise with the Research Degrees, SAS, DSAA, regarding the arrangements for the *viva voce* examination.

Prior to the *viva voce* examination the examiners will each submit a preliminary report confirming whether the *viva voce* may go ahead or a period of referral is recommended.

Following the *viva voce* examination the examiners may recommend one of the following:

- The candidate has satisfied the examiners as a candidate for the degree of PhD by Publication, and the examiners recommend that the degree of PhD by Publication be awarded;
- The candidate be granted the award of PhD by Publication, subject to minor amendments and corrections being made to the supporting commentary to the satisfaction of the any or all of the examiners (and in this case the time limit for the receipt of the satisfactorily amended or corrected commentary should be three months);
- The candidate be granted the award of PhD by Publication, subject to major amendments and corrections being made to the supporting commentary to the satisfaction of all of the examiners (and in this case the time limit for the receipt of the satisfactorily amended or corrected commentary should be six months);
- The candidate has not satisfied the examiners as a candidate for the degree of PhD by Publication. A report explaining why this recommendation is appropriate is required.

Following a successful *viva voce* when the award of PhD by Publication is awarded the candidate will be required to submit one pdf copy of the final approved submitted material to the Research Degrees, SAS, DSAA. A certificate will be issued and the final submission lodged with the University Library.

## **Presentation of the Final Submission**

The supporting summary is to be printed on one side of the paper.

Double or one-and-a-half spacing must be used in typescript except for indented quotations or footnotes where single spacing may be used.

Pages shall be numbered consecutively through the main text and bibliography including photographs and/or diagrams that are included as whole pages.

The title page shall give the following information:

- The full title of the PhD by Publication;
- The full name of the author;
- The award for which the degree is submitted in "partial fulfilment of its requirements for the award of the degree of Doctor of Philosophy by Publication of the University of Portsmouth";
- The month and year of submission.

## **Administrative Contact**

Research Degrees Team

Email: [researchdegrees@port.ac.uk](mailto:researchdegrees@port.ac.uk)

Telephone: 023 9284 7707