

LTC17D169

Title: Changes to PhD by Publication Award Regulations from 2018/19
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Issue

In 2016/17 a number of improvements were made in connection with the degree of PhD by Publication (PhDP), incorporating it into the Instructions to Examiners, bringing related processes for the PhD by Publication into line with those for the PhD and revising the Award Regulations accordingly, as detailed in PGR17D032 brought to the 12 December 2017 PGR Executive. It was agreed at that meeting that a consultation paper would be made available to Graduate School Executives and their feedback used to inform recommendations for proposed changes to the PhD by Publication Regulations. This consultation paper is included as PGR17D077A. Further feedback was received from all Graduate School Executives and discussed at the PGR Executive on 17 April 2018.

Recommendations

LTC is asked to approve the following changes to Regulations, as recommended by PGR Executive.

Changes to Regulations

1. That the PhD by Publication Award Regulations should be revised as overleaf, including the following key changes:
 - a) Inclusion of other types of published work for Schools within the Faculty of Arts and Humanities, in line with that already allowed for professional practice routes within the Award Regulations for the Degree of Doctor of Philosophy.
 - b) Additional clarity regarding the extent of the published work where this is of a standard, written type, stating that the total length including a critical analysis of up to 15,000 words should be broadly comparable with that for a standard PhD (80,000 to 100,000 words). The critical analysis length has been changed from “10,000 to 20,000 words” to an upper limit of 15,000 words, to bring this in line with other research degree requirements which are expressed in terms of a single upper word length limit.
 - c) Replacement of the requirement for “more than seven years” research experience with “extensive”, in line with the Equality Act 2010 and to mitigate against any potential for indirect discrimination on grounds of age.
 - d) Clarification that only publications where the candidate has made a significant contribution will be considered.

Resource Implications

The changes should make the course more attractive to a wider range of applicants, potentially increasing fee income.

Risk Implications

There are typically 3-5 candidates who register on the PhD by Publication in each academic year. Issues relating to them tend therefore to be resolved on an individual basis. Nonetheless it is important to ensure that there is clarity on all issues related to the degree.

Equality and Diversity

Removing the restriction on number of years spent in a research setting before application should mitigate any potential for indirect discrimination on grounds of age. Clarity on the requirements for the degree should help all applicants and candidates.

Timing of decisions

This paper relates to items that are current in June 2018.

Further Information

Contact Vivien Easson (01603 591835, v.easson@uea.ac.uk) with any queries about this paper.

Regulations for the Degree of PhD by Publication

1 SCOPE OF THESE REGULATIONS

- 1.1 These regulations govern the awards of degrees of Doctor of Philosophy by Publication.
- 1.2 In these Regulations, unless explicitly stated otherwise, Head of School may be taken to refer also to the Chair of NBI Graduate School Executive for candidates based in the Norwich Bioscience Institutes. The Head of School's nominee shall normally be the School Director of Postgraduate Research, and there may also be a nominated Institute Director of Postgraduate Research for candidates based in the John Innes Centre, Quadram Institute Bioscience, The Sainsbury Laboratory or the Earlham Institute.

2 GENERAL PRECONDITIONS TO AN AWARD

- 2.1 A candidate for the degree of Doctor of Philosophy by Publication must be a graduate of this University or another approved university or possess some other qualifications approved by the University.
- 2.2 A candidate must, after consultation with a teacher in the University, submit to the appropriate Head of School (or nominee):

- (1) ~~evidence of published work of a type and nature which is consistent with the award of the Degree of Doctor of Philosophy. The published work must be timely and current as determined by academic judgement.~~

~~As well as standard academic or creative publications, for Schools in the Faculty of Arts and Humanities, 'published work' may include performance, exhibition, installation, media of various kinds as defined in the Award Regulations for the Degree of Doctor of Philosophy for the relevant Professional Practice option, provided that it is made available in an appropriate digital or other recorded format.~~

~~evidence of published work of a type and nature which is consistent with the award of a degree at this level.~~

~~Where written publications are being submitted as evidence, the total word length of publications when combined with the critical analysis (15,000 words) should be broadly comparable to that of a submission for the degree of Doctor of Philosophy, which is typically between 80,000 and 100,000 words. The quality of the journals within which publications have been published will be assessed as part of the application procedure.~~

- (2) evidence of adequate industry and application of ~~an extent characteristic of more than seven years'~~ extensive active research effort in the candidate's field.
- (3) the name of the teacher in the University who has been consulted.
- (4) where any work to be submitted for the award has been carried out in collaboration with others, a statement of the extent of the contribution by others.

Only work where the candidate has made a significant contribution will be appropriate for consideration.

- 2.3 Before being admitted to the degree of Doctor of Philosophy by Publication, the candidate must:
- (1) Be approved by the appropriate Head of School (or nominee) as a candidate for the degree;
 - (2) Engage in advanced study under the direction of teachers in the University appointed by the Head of School (or nominee) as the candidate's supervisory team;
 - (3) Undertake research in a field of study approved by the Head of School (or nominee);
 - (4) Satisfactorily present the results of the research and study in the published work submitted and critical analysis, and pass such oral and other examinations as may be prescribed by these Regulations.

3 DURATION OF COURSE

- 3.1 The period of study shall normally be six months, extendable at the discretion of the Head of School (or nominee) to a maximum of twelve months. This shall be by part-time study at 0.5FTE.

4 PROGRESS

- 4.1 The supervisory team shall also report to the Head of School (or nominee) at any time when the candidate appears not to be making satisfactory progress, is otherwise not fulfilling the conditions that have been laid down or appears unlikely to reach the standard of the degree.

5 SUBMISSION OF PUBLICATIONS AND CRITICAL ANALYSIS

- 5.1 In the submitted material and examination the candidate is required to show distinct ability to conduct original investigations, to test ideas whether the candidate's own or those of others and to understand the relationship of the theme of the investigations to a wider field of knowledge. The submitted material should show evidence of adequate industry and application. The candidate is expected to take due account of previously published work on the subject, to show distinct ability in conducting original investigations and in testing ideas whether the candidate's own or those of others. The candidate is also expected to show understanding of the relationships of the special theme to a wider field of knowledge. The submitted material should represent a significant and coherent contribution to the development of understanding, for example, through the discovery of new knowledge, the connection of previously unrelated facts, or the development of a new theory or the revision of older views.

Examiners shall take into account that the substance and significance of the submitted material should provide evidence of adequate industry and application of an extent characteristic of more than seven years' active research effort in the candidate's field.

5.2 During the period of study a candidate shall prepare, with the guidance of the supervisory team, the following material:

- (1) A list of the publications on which the assessment for the degree is to be based;
- (2) In cases where multi-authored works are included in the submission, evidence (preferably in the form of written confirmation by at least one co-author per published work) of the candidate's own original contribution to the work in respect of:
 - (a) design of the investigation
 - (b) conduct of the research
 - (c) analysis of the outcome
 - (d) preparation of the work for publication;
- (3) A critical analysis of the work submitted (~~between 10,000 and 20,000 words~~ no longer than 15,000 words in length covering the development of the candidate's submitted work and its contribution to the field in general).

5.3 A candidate who wishes to make a submission shall apply to the Head of Postgraduate Research Service (or nominee). The material listed in Regulation 5.1 must be submitted, along with the published work to be assessed, by the end of the period of study. In exceptional circumstances the Academic Director of Research Degree Programmes may extend the period within which the submission must be presented on the recommendation of the Head of School (or nominee) concerned.

6 APPOINTMENT OF EXAMINERS

6.1 The Head of School (or nominee) shall recommend for approval by the Faculty Associate Dean of Postgraduate Research the names of two examiners, one of whom shall be an external examiner. This recommendation shall normally be made not later than three months before the expected date of the submission of the material listed in Regulation 5.

7 EXAMINATION

7.1 A candidate shall be examined orally on the submitted material and on subjects relevant to it. The examination shall normally be held within three months of the date of submission of the material. Exceptions to this shall require approval by the Academic Director of Research Degree Programmes.

7.2 Prior to the oral examination of the thesis the examiners shall each prepare independent preliminary reports regarding the candidate's performance.

7.3 In exceptional circumstances the Academic Director of Research Degree Programmes may, on sufficient grounds submitted by the candidate and/or their supervisory team, with the agreement of the examiners and on the recommendation

of the Head of School (or nominee), waive the requirement for the oral examination or agree to its replacement by an alternative form of assessment.

7.4 In order to recommend the award of the degree, the examiners must be satisfied that the submitted material:

(1) Illustrates a coherent programme of research undertaken by the candidate;

and (2) Represents a significant contribution to understanding.

Candidates for the degree of PhD by Publication shall be required to meet the same standards for award as candidates for the PhD by supervision.

7.5 The examiners having examined the candidate shall send their joint final report and recommendation to the Head of School (or nominee) concerned. If the examiners do not agree upon their recommendation or if for any other reason the Head of School (or nominee) needs a further opinion, they shall recommend to the Senate the appointment of an additional external examiner who shall conduct a further examination of the candidate.

7.6 The Head of School (or nominee) having considered the final report and recommendation of the examiners shall then proceed in one of the following ways:

(1) If the published work, critical analysis and performance in the oral examination are of sufficient merit, they shall recommend that the candidate be approved for the award of the degree of Doctor of Philosophy by Publication;

(2) If the published work and performance in the oral examination are of sufficient merit, but that minor corrections are required to the critical analysis, they shall recommend that the candidate be approved for the award of the degree of Doctor of Philosophy by Publication, subject to completion of minor corrections to the critical analysis within three months;

(3) If the critical analysis is not of sufficient merit for the degree of Doctor of Philosophy by Publication but there is reasonable expectation that the critical analysis, if revised, could reach the standard required for the degree, the Head of School (or nominee) shall recommend that the candidate be asked to submit a revised critical analysis. A candidate who submits a revised critical analysis shall do so within six months and may be required to undergo further oral examination. A candidate shall not be allowed to submit a revised critical analysis on more than one occasion;

(4) If the criteria for the award as set out in Regulation 7.4 above are not yet met but there is a reasonable expectation that they may be fulfilled if further publication(s) are achieved within twenty-four months, the Head of School (or nominee) shall recommend that the candidate be permitted an opportunity to make a revised submission;

A candidate who makes a revised submission shall do so within a period proposed by the examiners (not to exceed twenty-four months) and may be required to undergo further oral examination. A candidate shall not be allowed to make a revised submission on more than one occasion;

(5) If the published work, critical analysis and performance in the oral examination are not of sufficient merit and there is no reasonable expectation that the

submission could meet the requirements for the award within 24 months from the date of assessment, they shall recommend that no degree be awarded and that no reassessment be offered.

- 7.7 In all cases the recommendations of the Head of School (or nominee) shall be laid before the Head of the Postgraduate Research Service or their nominee, who shall ensure that appropriate action is taken on behalf of the Senate.

8 FINAL SUBMISSION OF THESIS

- 8.1 The candidate shall submit two copies of all material required to be assessed under these regulations, in accordance with rules approved by the Senate.
- 8.2 If the candidate is approved for the award of the degree, the Head of Postgraduate Research Service (or nominee) shall deposit one copy of the submitted material in the University Library where it can be available for consultation. The second copy of the submission shall be deposited with the School of Studies concerned. The Head of the School (or nominee), at the request of the candidate, may determine that all or part of the submitted material shall, for a period of up to three years specified by the Head of School (or nominee), be available only to those who have the candidate's written permission to consult it.

9 MODIFICATIONS FOR CATEGORY A CANDIDATES, INCLUDING STAFF CANDIDATES

- 9.1 Candidates for the degree of Doctor of Philosophy by Publication will be designated as Category A (including faculty of Schools and such other candidates as Senate shall determine) or Category B. Candidates in Category B shall proceed to the degree of Doctor of Philosophy by Publication in accordance with Regulations 1 to 8 above. Category A candidates shall be permitted to proceed to the degree of Doctor of Philosophy by Publication in accordance with Regulations 1 to 8, subject to the following modifications.
- 9.2 In the case of Category A candidates references to the Head of School (or nominee) in Regulations 2 (General Preconditions to an Award), 3 (Duration of Course) and 7 (Examination) shall be interpreted as references to the Academic Director of Research Degree Programmes, or to their nominee if they have a conflict of interest. Thus the examination of any Category A candidate for the degree of Doctor of Philosophy by Publication shall be conducted exclusively by external examiners appointed by the Senate on the recommendation of the Academic Director of Research Degree Programmes.
- 9.3 In the case of Category A candidates, references to the Faculty Associate Dean of Postgraduate Research in Regulation 6 (Appointment of Examiners) shall be interpreted as references to Academic Director of Research Degree Programmes, or to their nominee if they have a conflict of interest.
- 9.4 The Academic Director of Research Degree Programmes shall be advised of any application from any Category A candidate to continue the period of study as a candidate for the degree after ceasing to be a member of staff.