



Doctor of Philosophy by Published Work 2016/2017

(To be read in conjunction with the Research Degrees Regulations)

Basis for the Award of the Degree of Doctor of Philosophy by Published Work

University of Lincoln Staff

1. A member of staff of the University shall be eligible to be considered as a candidate for the degree of Doctor of Philosophy on the basis of the submission of published work provided they have:
 - (i) held an appointment in the University for a continuous period of at least one year at the time of submission and have proven evidence of publications;
 - (ii) the study and research carried out by the candidate must have formed a significant contribution to the published work.
2. The staff funding application process shall be in accordance with the University's Programme of Study Funding Scheme. Staff should apply for funding when they have amassed the necessary published work.
3. Staff funding applications shall be considered by the relevant Panel with support from the relevant Head of College and a decision shall be made on the basis of available budget and priorities and whether the application meets the admissions criteria bearing in mind the criteria normally applicable to examinations for the degree of Doctor of Philosophy, whether by thesis or on the basis of published work (see section 2.1 of the Research Degree Regulations).

Non-Staff Applications

4. Non-staff applications for the degree of PhD by Published Work shall be considered in accordance with section 10.

Submission for the Degree of Doctor of Philosophy on the Basis of Published Work

5. The published work submitted should be broadly comparable to a PhD thesis in the same discipline, so that it is evidently the result of a sustained level of recent research activity normally in a single field of study to which it makes an original contribution. The submission of published work shall be accompanied by a commentary which establishes, in a way that can be assessed by oral examination, that the published work constitutes a coherent body of work and that the candidate fulfils all other requirements for the conferment of the degree of PhD.
6. The submission shall consist of a collection of published material including papers, chapters, monographs or books. The publication of papers shall normally have taken place in refereed journals, or other journals held in high standing by academics working in the relevant field. Books, monographs, and chapters in books shall normally have been published by established publishing houses that apply a peer review process or other recognised publishing media which are acceptable to the relevant College. The publications submitted shall normally relate to work undertaken during a minimum period of three years.

7. Work shall only be regarded as published if at the time of submission copies of the work are generally obtainable through normal sources, such as publishing houses, bookshops and academic libraries. Proofs of papers not yet published but accepted for publication are acceptable. However, reports or other documents prepared for organisations such as private companies, government departments or charities or for internal University purposes are not acceptable unless they have been published widely outside the organisation for which they were prepared.
8. The candidate shall submit:
 - (i) a list of the published works submitted;
 - (ii) an accompanying commentary concerning the work submitted and setting out the proposed basis for the award of the degree and placing the work in its wider context. The commentary shall be up to 15,000 words in length and constitute a critical review stating: the aims and nature of the research, wider disciplinary perspectives, the inter-relationship between the material published and the main contribution and/or addition to knowledge of the works, and offering a critical appraisal of the work from a micro and macro perspective, to be undertaken to demonstrate that the candidate has subjected their work to scrutiny and review at the individual publication level and also within the wider boundaries of the specific discipline, so as to evidence the works as embedding a coherent programme of research, achieving a depth of scholarship and originality comparable to that required for the award of PhD by thesis.
9. In the case of joint publications included in a candidate's submission, the candidate must indicate clearly in the list of published works submitted the percentage share of the work attributable to the candidate. The candidate will be required to obtain, before submission of each form, signatures from each co-author and collaborator certifying the candidate's share of the work concerned.
10. When sufficient publications have been amassed, the candidate should apply for their programme of study. Staff candidates should apply for funding in accordance with section 3. Upon enrolment the candidate will be provided with an academic supervisor and given a maximum of twelve months registration from being notified that there is a *prima facie* case to submit three hardbound copies of their submission as per section 7 above. Candidates shall be expected to provide a draft of their commentary to their academic supervisor by the half way point of registration. Extensions and interruptions of studies will only be considered in exceptional circumstances. Withdrawal from the programme after registration may result in sponsored candidates being liable for any tuition fees paid on their behalf.

Examination for the Degree of Doctor of Philosophy on the Basis of Published Work

11. The candidate's submission shall be examined by two External Examiners and one Internal Examiner. The Examiners shall be nominated in accordance with section 12 of the Research Degrees Regulations. An Independent Chair shall be appointed in accordance with section 11.6 of the Research Degrees Regulations.
12. The examination will take place in accordance with section 13 of the Research Degrees Regulations. In addition, the External Examiners should take into consideration the extent, merit and quality of the work submitted. With regard to the extent of the work, the Examiners should satisfy themselves that the candidate's work shows evidence of adequate industry and application. With regard to the merit of the work, the candidate is expected to show distinct ability in conducting original investigations and in testing ideas, whether the candidate's own or others'.

Fee

13. On registration a non-staff candidate will pay the requisite fee. Staff candidates not supported through the central funding process described under section 3 will also be required to pay the requisite fee.

Public Presentation

14. In association with the examining process, a candidate may be encouraged to give a presentation of the work embodied in the submission in the form of a public lecture or seminar. Such a presentation shall not, however, form part of the formal examination and shall not contribute to the Examiners' decision on the candidate's performance.

Role of Internal Staff during the Examination

15. The academic supervisor may, at the request of the candidate, be present at (but will make no contribution to) the oral examination. In all cases the academic supervisor should be available to be consulted by the Examiners on the occasion of the oral examination. The academic supervisor shall have the right to confer with the examiners following the examination, and to be given an oral report on its outcome.
16. There should normally be no contact between the candidate and the Examiners before the oral examination to avoid any perception of bias or collusion.

Recommendations Open to the Examiners

17. Following the first submission and examination of a candidate, the Examiners may make recommendations in line with section 13.3 of the Research Degree Regulations.

Guidelines concerning the Submission of Published Work for the Degree of Doctor of Philosophy

18. Arts, Humanities and Social Sciences
 - a) Publications selected for submission by a candidate should demonstrate progressive development or coherence in research activity.
 - b) The amount of research activity should be equivalent to that expected from a three year full-time PhD.
 - c) Candidates would normally be expected to submit at least five articles in refereed journals or the equivalent in books, monographs, works of art, performances and chapters in books or any combination of these types of publication. Papers must have been published in established, refereed journals, in chapters in edited books or, when appropriate, may be in a professional journal held in high standing by academics and senior practitioners working in the field. The significance of artworks and performances must be demonstrated by the standing of the exhibition venue, the nature of the commissioning process or the level of critical appraisal of the work.
 - d) Each paper should demonstrate incremental steps in research and the development of the research ideas.

- e) All items must have been published within a minimum of three years.
- f) Where the publications submitted have been jointly authored with external parties, a form will be submitted detailing the contribution of the candidate to each. The number of publications should be increased pro-rata if jointly authored publications are submitted.
- h) The commentary should set out the proposed basis for the award of the degree, placing the work in its wider context, particularly drawing out linkages between the different pieces of work. It should demonstrate the required development or coherence in the work across the period covered by the publications and should incorporate a critical appraisal and discussion of the corpus.

19. Science and Engineering

- a) The submission should normally comprise at least five original articles in peer reviewed journals and should represent a significant contribution to knowledge in the candidate's field.
- b) Where the publications submitted have been jointly authored with external parties, additional information must be submitted detailing the contribution of the candidate to each. The number of publications should be increased pro-rata if jointly authored publications are submitted.
- c) The accompanying commentary should summarise the relevant literature, set the work carried out in its wider context, include a critical appraisal of what has been achieved and provide ideas for future work.