

PhD by published work

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PhD by published work

Introduction

The following University regulations apply to all higher degrees classified by the Research Degrees Committee as PhD by published work.

These regulations govern applications for admission to the above degree both by candidates who are members of staff of the University (whether teaching, research or other category) alumni of the University, or external applicants who are not Hull graduates.

The University Research Degrees Committee is the final arbiter of matters regarding the application and/or interpretation of the Regulations.

University regulations, codes of practice and other key documents referred to in this document are available on the [University of Hull Quality and Standards](#) webpage.

ADMISSION AND ENROLMENT

1. Admission to the degree

- 1.1 To be admitted to undertake the degree of Doctor of Philosophy by Published Work a candidates “must have been awarded the degree of Bachelors with First or Upper Second Class Honours (or equivalent) from either this University or another University at least seven years ago at the time of application, or the degree of Masters at least six years ago”
- 1.2 Where the candidate is a member of staff of the University, whether teaching, research or other category, admission shall be subject to the requirement that the degree, whether Bachelor or Master, was awarded by an institution approved for the purposes of these regulations by the Research Degrees Committee. In such cases, he candidate should have been a member of staff for at least three years. Any exceptions to this must be approved by the Chair of Research Degrees Committee or their delegate.
- 1.3 The Academic Unit to which the candidate is making the application will appoint a mentor to advise on the submission, if the candidate so requests.

2. Graduates of the University of London

- 2.1 A graduate of the University of London who has pursued a full-time programme of study extending over at least two academic years in the University College of Hull shall be deemed to be a graduate of the University of Hull for the purpose of regulation 1.
- 2.2 Note: this is prescribed in Ordinance II.6.

3. Duration and mode of prescribed period of study

- 3.1 The prescribed period of study is 12 months in total.
- 3.2 The mode of study is part-time, and can be undertaken on a distance learning basis.

4. Maximum period of registration

- 4.1 The maximum period of registration for all candidates on the PhD by Published Works is 2 years, which includes any finalisation or continuation periods.

5. Application for admission

Prima Facie Stage

- 5.1 Candidates applying for admission to the PhD degree under these regulations will be required to undergo a prima facie assessment of their work prior to formal admission. The purpose of this 'pre-admission' stage will be to make a preliminary judgement as to the quality and coherence of the body of scholarship to be submitted.
- 5.2 Candidates must apply for a prima facie assessment of their submission using the [online proforma](#) , and enclose or upload up to three examples of published work.
- 5.3 The prima facie assessment of their submission will be made in consultation with the Chair of the Research Degrees Committee, by two members of the Faculty with expertise in the relevant subject area.

Formal Application

- 5.4 Candidates whose prima facie application has been approved will be eligible to make a full application for the award of PhD by publication via the University's online application portal
- 5.5 All the work submitted shall be in English or in the form of a certified translation, apart from quotations, unless in a particular case the Research Degrees Committee has allowed the candidate to submit the works in another language

6. Previous submission of a thesis for a higher degree

- 6.1 A candidate shall not be eligible to apply for admission to the PhD degree under these Regulations if that person has submitted a thesis in candidature for a higher degree of this University which has not been approved for the degree, unless the content of the published work is substantially different from that of the unsuccessful thesis.
- 6.2 The Research Degrees Committee is the final arbiter of whether a thesis is 'substantially different' in 6.1.

7. Previous submission of published work

- 7.1 A candidate shall not submit a publication if it consists entirely of works submitted for a degree, diploma or other qualification at this or any other University, and shall be required, in making an application under regulation 3, to declare that the works in question have not previously been submitted for another qualification.
- 7.2 However, the candidate shall not be precluded from incorporating works which have been or are concurrently being so submitted or which are based upon works submitted for other qualifications provided that the candidate, in making the application under regulation 3, declares that this is the case.

8. Submission of joint work

- 8.1 If a candidate submits work published jointly with others, the candidate shall submit evidence as to the extent of the candidate's own contribution to these works and shall be assessed critically by the examiners.

SUPERVISION AND PROGRESS MONITORING

9. Supervision

- 9.1 A principal supervisor shall be appointed for each candidate.
- 9.2 Supervision of the candidate's exegesis shall be conducted in accordance with any Code of Practice approved by the Research Degrees Committee for the purpose.
- 9.3 Meetings with the supervisor shall be no less than six times per academic session. Before the candidate begins the prescribed period of study, the Academic Unit shall be satisfied that the candidate is able to adhere to this requirement and has adequate facilities to pursue the programme of study.

10. Evidence of satisfactory academic progress

- 10.1 A system for monitoring the progress of a candidate shall be in place in accordance with criteria prescribed by the Research Degrees Committee (See Code of Practice for PGR Students).
- 10.2 A candidate's prescribed period of study may be terminated on the grounds of unsatisfactory progress as measured against criteria established under 10.1 provided that this is carried out in accordance with the University Code of Practice Research Degrees: Termination of Candidature. The decision to terminate the prescribed period of study shall be made by the Chair of the Research Degrees Committee or their delegate on the recommendation of the Head of Academic Unit and relevant Graduate Research Director.

11. Suspension of study requested by a candidate

- 11.1 During the prescribed period of study as defined in regulation 3, a candidate may suspend their studies by making a written application using the approved application form to the Research Degrees Committee for periods not exceeding 12 months.

12. Suspension of study on grounds of risk

For Suspension of study on grounds of risk please see the Support for Study policy.

ASSESSMENT

13. Method of examination

- 13.1 The candidate shall be examined by means of:
 - a) submitted published work bound with an appropriate supporting document,
 - b) an oral examination on the work submitted and on the general field of knowledge within which it falls.

14. Standards and criteria for the award

- 14.1 To be eligible for the award of the PhD by published work under these Regulations a candidate must demonstrate that the work submitted makes a significant contribution to scholarship and reflects such further Standards and Criteria as are approved by the Research Degrees Committee from time to time.
- 14.2 The number of publications will depend on both the academic area and the type of publication included in the submission, but it is expected that the work should be in length and substance equivalent to a PhD thesis in the candidate's discipline- for example, a

minimum of one research-based monograph, or a combination of six original articles and/or book chapters constituting separate publishable works on aspects of related topics - and that these items have been published in peer review journals traceable in ordinary catalogues of published works.

- 14.3 For the purposes of these regulations a work shall normally be regarded as published only if it is traceable in ordinary catalogues of published works and only if copies of it are obtainable at the time of application, or were obtainable at some previous time, by members of the general public through normal trade channels. Memoranda and reports of Government Departments and equivalent documents are not eligible unless they have actually been published, however wide a circulation they may have had.
- 14.4 Where the title of PhD is awarded for a submission combining creative or practical work with a critical exegesis (for example in Creative Writing, Music or Theatre Performance, or Digital Technologies) details of the specific requirements for the submitted work and critical exegesis in terms of relative word-counts will vary by discipline. The specific requirements for individual named awards will be approved on application to the Research Degrees Committee.

15. Submission of the published work and exegesis

- 15.1 The candidate shall be responsible for ensuring that electronic copies of the following documents are received by the Doctoral College within 12 months of commencing the degree:
- a) The published work specified in the application
 - b) Any published book specified in the application
 - c) An exegesis or supporting document of up to 10,000 words contextualising the submission and explaining in an introduction and conclusion the importance of the contribution to scholarship of the published works
 - d) A declaration or declarations required under Regulation 5
 - e) Such further evidence as may be required under Regulation 6 in respect of joint work.
- 15.2 Submission shall be in such format as prescribed by the Research Degrees Committee. Following award of the degree the candidate shall submit an electronic copy of the thesis which shall be retained by, and be the property of, the University.
- 15.3 A candidate shall give not less than three months' notice of the expected date of submission of the published works and exegesis.
- 15.4 **In exceptional circumstances only** a candidate who is unable to submit the required documents within the 12 month period, can move into the finalisation (continuation) period, for which additional fees must be paid.

16. Appointment of examiners

- 16.1 The examination shall be conducted by one external examiner and one internal examiner, both appointed by the Research Degrees Committee on the recommendation of the Head of the relevant Academic Unit and a Graduate Research Director from the same area. Examination of the thesis shall normally take place within three months of the date of submission.
- 16.2 Examiners must be nominated following notice of the expected date of submission being received by the Doctoral College as per 15.3 above. Nominations must be received before

submission of the required documents. The Doctoral College will only accept nomination of examiners after the submission of the required documents in exceptional circumstances

- 16.3 Examiners should hold a qualification higher than or equal to that being examined
- 16.4 The internal examiner shall not be one of the candidate's supervisors.
- 16.5 The examination shall be chaired by a member of academic staff appointed by the Research Degrees Committee in accordance with the University code of practice governing the chairing of research degree by thesis viva voce examinations.
- 16.6 Where the candidate is a member of staff, whether temporary or permanent or has held a paid appointment or appointments at the University for a cumulative period of more than six months within the last five years, a second external examiner should also be appointed. The Chair of Research Degrees Committee is the final arbiter of the appointment of examiners.
- 16.7 Examiners should have appropriate levels of expertise and experience in relation to the roles to be performed as part of the assessment.
- 16.8 If a nominee for examiner is no longer employed in an academic role in a research institution, for example is retired or is an Emeritus Professor, the nomination must be able to evidence recent research work relevant to the subject area.
- 16.9 The external examiner should not be a former student of the University, member of staff, or person with Recognised Teacher Status, unless a period of no fewer than five years have elapsed.
- 16.10 Examiners must not have collaborated with the candidate in any previous research endeavours.
- 16.11 Examiners must not be collaborating significantly with the supervision team in any current scholarly activity. Any previous or current collaborations should be declared on the Nomination of Examiners Form.
- 16.12 The supervisors shall be entitled to attend the oral examination with the agreement of the examiners and the candidate, but not participate in the examination.
- 16.13 Each examiner shall make an independent report on the published works before the oral examination, shall be present at the oral examination, and shall sign a joint Recommendation of Examiners form to record the result of the oral examination.

17. Conduct of the oral examination

- 17.1 The examination shall be chaired by a member of academic staff appointed by the Research Degrees Committee in accordance with the University code of practice governing the chairing of research degree by thesis viva voce examinations.

18. Examiners' recommendations

- 18.1 The examiners must make one of the following recommendations:
 - a) that the candidate be awarded the degree of Doctor of Philosophy,
 - b) that the degree be not awarded, but the candidate be awarded, if the candidate so wishes, the appropriate Master's degree,
 - c) that the degree be not awarded but the candidate be permitted to submit on one occasion only a new/ revised set of publications, and/or a revised supporting document containing an overview of the publications as a coherent body of research.

19. Resubmission

- 19.1 Where a candidate has been permitted to submit on one further occasion only a revised set of publications under Regulation 18.1c the candidate shall be required to submit evidence of the additional contribution to existing knowledge over and above that material which was originally submitted for the degree.

ACADEMIC/PROFESSIONAL DISCIPLINE

20. Academic Misconduct

- 20.1 Allegations of academic misconduct, shall be subject to the Regulations for Academic Misconduct, and no penalty shall be imposed other than in accordance with the said Regulations.
- 20.2 Candidates shall also abide by the principles of good research practice as defined in the Code of Practice on Research Misconduct. Allegations of research misconduct shall be investigated in accordance with the said code.

21. Professional Standards of Conduct (Fitness to Practise)

- 21.1 For information regarding professional standards of conduct (fitness to practise) please refer to the University Regulations Governing the Investigation and Determination of Concerns about Fitness to Practise.

RESULTS AND AWARDS

22. Notification of results and transcripts

- 22.1 All candidates shall be entitled to an official transcript on completion of their period of enrolment at the University provided they are not in debt to the University for the payment of tuition fees.

Version Control

Version	Author	Date approved	Relevant sections
1 06	Lisa Tees	NA	Migrated to new template
1 07	Kirstie Skelton Clarke/ David Griffiths		<p>Introduction: Following text added '<i>University regulations, codes of practice and other key documents referred to in this document are available on the University of Hull Quality and Standards webpage</i>'.</p> <p>Regulation covering admission and enrolment renumbered.</p> <p>1.1 Replaced '<i>shall be either a graduate or an employee of this University, or a graduate of at least seven years' standing of another University. Where the candidate is a graduate of this University they should have been awarded the degree of Bachelor with First or Second Class Honours (or equivalent) of this University at least seven years previously or the degree of Master of this University at least six years previously</i>' with '<i>must have been awarded the degree of Bachelors with First or Upper Second Class Honours (or equivalent) from either this University or another University at least seven years ago at the time of application, or the degree of Masters at least six years ago</i>'.</p> <p>1.2 Following texts added '<i>the degree, whether Bachelor or Master, was awarded by an institution approved for the purposes of these regulations by the Research Degrees Committee. In such cases,</i>'. Replaced '<i>has</i>' with '<i>should have</i>'. Replaced '<i>and the degree, whether Bachelor or Master, was awarded by an institution approved for the purpose of these regulations by the Research Degrees Committee</i>' with '<i>Any exceptions to this must be approved by the Chair of Research Degrees Committee or their delegate</i>'.</p> <p>Section 3 covering Duration and mode of prescribed period by study and 3.1 and 3.2 new clauses added.</p>

		<p>Section 4 covering Maximum period registration and 4.1 new clause added.</p> <p>4.3 and 4.4 clauses removed and Section 5 covering application for admission renumbered.</p> <p>5.4 new clause added.</p> <p>Regulation covering Supervision and progress monitoring and 9.1 – 9.3 new clauses added.</p> <p>Section 10 covering Evidence of satisfactory academic progress and 10.1 – 10.2 new clauses added.</p> <p>Following texts removed <i>‘Academic Units may define specific criteria and procedures through which candidates will be required to demonstrate satisfactory progress throughout the prescribed period of study, provided that such criteria and process shall be provided to candidates in writing no later than the commencement of their prescribed period of study. Criteria and procedures shall be subject to the approval of the Research Degrees Committee’.</i></p> <p>Section 11 covering suspension of study requested by a candidate and 11.1 new clause added.</p> <p>Section 12 covering suspension of study on ground of risk added and 12.1 – 12.7 clauses removed. Following text added <i>‘For Suspension of study on grounds of risk please see the Support for Study policy’.</i></p> <p>Regulation covering assessment renumbered.</p> <p>Section 15 covering submission of the published work and exegesis and 15.1 – 15.4 new clauses added.</p> <p>Following texts removed <i>‘providing the declaration or declarations required under Regulation 4, providing two soft</i></p>
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			<p><i>bound copies of each of the published works specified in the application and two copies of a list of these works; or two copies of any published books to be included in the submission, including within the two soft bound copies, or in addition to any published books, a supporting document () contextualising the submission and explaining in an introduction and conclusion the importance of the contribution to scholarship of the published works such further evidence as may be required under Regulation 6 in respect of joint work.'</i></p> <p>10.1 – 10.2 clauses removed and section 16 covering appointment of examiners and 16.1 – 16.13 new clauses added.</p> <p>11.1 clause removed and Section 17 covering conduct of the oral examination renumbered.</p> <p>Section 18, section 19, and regulation covering academic/professional discipline renumbered.</p>