

PhD by Published Work

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This document explains the rules for applying for, undertaking and being assessed for a PhD earned through published work. It outlines eligibility, supervision, submission requirements, examination procedures and outcomes.

This document applies to staff, alumni and external applicants.

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PhD by Published Work

1 Introduction

- 1.1 The following University regulations apply to all higher degrees classified by the Research Degrees Committee as PhD by published work.
- 1.2 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.
- 1.3 The University Research Degrees Committee is the final arbiter of matters regarding the application and/or interpretation of the Regulations.
- 1.4 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.¹

2 Admission to the degree

- 2.1 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”.
- 2.2 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.
- 2.3 The Academic Unit to which the candidate is making the application will appoint a supervisor to advise on the submission, if the candidate so requests.

3 Graduates of the University of London

- 3.1 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.
- 3.2 Note: this is prescribed in Ordinance II.6.

4 Duration and mode of prescribed period of study

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

5 Maximum period resignation

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

¹ <https://www.hull.ac.uk/policies-and-information/quality-and-standards-framework>



6 Application for admission

A Prima Facie Stage

- 6.1 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.
- 6.2 Candidates must apply for a prima facie assessment of their submission using the online proforma² and enclose or upload up to three examples of published work.
- 6.3 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.

B Formal Application

- 6.4 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
- 6.5 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

7 Previous submission of a thesis for a higher degree

- 7.1 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.
- 7.2 The Research Degrees Committee is the final arbiter of whether a thesis is 'substantially different' in 6.1.

8 Previous submission of published work

- 8.1 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.
- 8.2 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.

9 Submission of joint work

- 9.1 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, which must be significant, and shall be assessed critically by the examiners.

² <https://shop.hull.ac.uk/product-catalogue/doctoral-college/doctoral-college/phd-by-published-works-application-and-preliminary-assessment-fee>



10 Supervision

- 10.1 A principal supervisor shall be appointed for each candidate.
- 10.2 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.
- 10.3 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.

11 Evidence of satisfactory academic progress

- 11.1 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).
- 11.2 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.

12 Suspension of study requested by a candidate

- 12.1 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.

13 Suspension of study on grounds of risk

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

14 Method of examination

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

15 Standards and criteria for the award

- 15.1 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.
- 15.2 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 breadth and substance equivalent to a PhD thesis in the candidate's discipline. Published work may include one research-based monograph, or a combination of a



minimum of six original articles and/or book chapters constituting separate publishable works on aspects of related topics. It is the case, however, that some applications will be from practitioners (for example, visual artists, curators, creative writers, architects, designers) and in these cases, the artefacts submitted as the basis of the application can include outputs other than conventional academic publications. They may, for example, include films, installations, novels, poetry, architectural models, musical recordings. All work must have been published in peer review journals traceable in ordinary catalogues of published works or by publishers who use the peer-review process.

- 15.3 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.
- 15.4 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 disciplinary norms and the specific nature of the candidate's contribution. The candidate should discuss what constitutes an appropriate body of work with their supervisors

16 Submission of the published work and exegesis

- 16.1 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 15,000 words should provide an introduction to your publications, demonstrating the coherence of the work and contextualising the published work within the discipline. The analysis should also outline the contribution the published work makes to the relevant field(s).
 - 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.
- 16.2 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.
- 16.3 A candidate shall give not less than three months' notice of the expected date of submission of the published works and exegesis.
- 16.4 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.



17 Appointment of examiners

- 17.1 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.
- 17.2 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
- 17.3 Examiners should hold a qualification higher than or equal to that being examined
- 17.4 The internal examiner shall not be one of the candidate's supervisors.
- 17.5 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.
- 17.6 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.
- 17.7 Examiners should have appropriate levels of expertise and experience in relation to the roles to be performed as part of the assessment.
- 17.8 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.
- 17.9 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.
- 17.10 Examiners must not have collaborated with the candidate in any previous research endeavours.
- 17.11 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.
- 17.12 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.
- 17.13 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.

18 Conduct of the oral examination

- 18.1 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.



19 Examiners' recommendations

19.1 The examiners must make one of the following recommendations:

- a. that the candidate be awarded the degree of Doctor of Philosophy.
- b. that the candidate be awarded the degree of Doctor of Philosophy subject to corrections being made to the supporting document to the satisfaction of the internal examiner within three months of the date of being informed of the decision of the examiners. The term corrections refer to typographical errors, occasional stylistic or grammatical flaws, corrections to references etc.
- c. that the candidate be awarded the degree of Doctor of Philosophy subject to amendments. The term amendments refer to certain changes of substance in a specific element or elements of the supporting document specified by the examiners. This shall not involve a revision of the whole thesis or of a major proportion of it. The changes must be made to the supporting document to the satisfaction of the internal examiner within six months of the date of being informed of the decision of the examiners.
- d. 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 within twelve months of the date of being informed of the decision of the examiners.
- e. that the published work and/or exegesis is not of the required standard and no award be made to the candidate

19.2 A candidate whose published work and/or exegesis is not of the required standard either at first or second attempt shall be entitled to receive a written statement from the examiners of the way in which the work falls short of the requirements to pass.

20 Resubmission

20.1 Where a candidate has been permitted to submit on one further occasion only a revised set of publications under Regulation 18.1d) 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.

21 Academic misconduct

21.1 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.

21.2 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.

22 Professional standards of conduct (Fitness to Practise)

22.1 For information regarding professional standards of conduct (fitness to practice) please refer to the University Regulations Governing the Investigation and Determination of Concerns about Fitness to Practice.



23 Notification of results and transcripts

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.