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| PhD by published work | |
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# 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.

# ADMISSION AND ENROLMENT

# Admission to the degree

* 1. To be admitted to undertake the degree of Doctor of Philosophy by published work a candidate 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.
  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 candidate has been a member of staff for at least three years, and the degree, whether Bachelor or Master, was awarded by an institution approved for the purposes of these regulations by the Research Degrees Committee.
  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.

# Graduates of the University of London

* 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. Note: this is prescribed in Ordinance II.6.

# Application for admission

## Prima Facie Stage

* 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.
  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.
  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

* 1. Candidates whose prima facie application has been approved will be eligible to make a full application for the award of PhD by publication. They **must** apply in writing to the Chair of the Research Degrees Committee:

1. specifying the published work or works on which the application of the degree is to be based,
2. providing the declaration or declarations required under Regulation 4,
3. providing two soft 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,
4. including within the two soft bound copies, or in addition to any published books, a 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,
5. such further evidence as may be required under Regulation 6 in respect of joint work.
   1. 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

# Previous submission of a thesis for a higher degree

* 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.
  2. The Research Degrees Committee is the final arbiter of whether a thesis is ‘substantially different’ in 4.1.

# Previous submission of published work

* 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 Reg 3, to declare that the works in question have not previously been submitted for another qualification.
  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 Reg 3, declares that this is the case.

# Submission of joint work

* 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.

# ASSESSMENT

# Method of Examination

* 1. The candidate shall be examined by means of:

1. submitted published work bound with an appropriate supporting document,
2. an oral examination on the work submitted and on the general field of knowledge within which it falls.

# Standards and criteria for the award

* 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.
  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.
  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.
  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.

# Appointment of examiners

* 1. If, in the opinion of the Chair of the Research Degrees Committee, the published work or works submitted in accordance with Reg 3 constitute prima facie evidence for the award, one external examiner and one internal examiner shall be appointed by the Research Degrees Committee on the recommendation of the Head of the relevant academic unit.
  2. Where the formal application is submitted by a candidate who is a member of staff, other than research staff, of the University a second external examiner shall be appointed.

# Conduct of the oral examination

* 1. 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 certificate of the result of the oral examination.
  2. 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.

# Examiners’ Recommendations

* 1. The examiners **must** make one of the following recommendations:

1. that the candidate be awarded the degree of Doctor of Philosophy,
2. that the degree be not awarded, but the candidate be awarded, if the candidate so wishes, the appropriate Master’s degree,
3. 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.

# Resubmission

* 1. Where a candidate has been permitted to submit on one further occasion only a revised set of publications under Regulation 11.1c 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

# Academic Misconduct

* 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.
  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.

# Professional Standards of Conduct (Fitness to Practise)

* 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

# Notification of Results and Transcripts

* 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**

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| **Version** | **Author** | **Date approved** | **Relevant sections** |
| 1 07 | Lisa Tees, Quality Manager, Quality Support Service | Aug 2023, Housekeeping | Replaces Registry Services with Academic Services |
| 1 06 | Lisa Tees, Quality Manager, Quality Support Service | Nov 2021 | Migrated to new template |
| 1 06 | Lisa Tees, Quality Manager, Quality Support Service | Aug 2021, Housekeeping | * Regulations Governing the Investigation and Determination of Allegations of Professional Unsuitability and Professional Misconduct is replaced with University Regulations governing the Investigation and Determination of Concerns about Fitness to Practise (Reg 14). * Replaces Quality Governance with Quality Support Service. |
| 1 05 | Lisa Tees, Quality Manager, Quality Governance | Sept 2019, Housekeeping | * Replaces School with Academic Unit. * Replaces Learning, Teaching and Enhancement with Quality Governance. * Replaces Graduate School with Doctoral College. |
| 1 04 | Lisa Tees, Quality Manager, Learning, Enhancement and Academic Practice (LEAP) | July 2016, Housekeeping | * Replaces Unfair Means with Academic Misconduct. * Replaces Head of Department with Head of School. |
| 1 03 | Jane Iddon, Quality Manager, Learning, Enhancement and Academic Practice (LEAP) | June 2015, Senate | * Extends the options of examiners to request resubmission of a revised supporting document containing an overview of the publications as a coherent body of research (regulation 11c) |
| 1 02 | Jane Iddon, Quality Manager, Learning, Enhancement and Academic Practice (LEAP) | Nov 2014, Senate | * Expanded to include admission to those who are neither Hull graduates nor employees (reg. 1). * Addition of a Prima Facie application stage (reg. 3a-c). * Addition of books as well as articles as acceptable items for submission (reg. 3d). * Amends the submission requirements to reflect equivalence with the award of a PhD by Thesis (reg . 8b). * Expanded to include a wider range of creative outputs (reg. 8d). * Replaces references to Code of Practice: Scientific Misconduct with Code of Practice on: Research Misconduct (reg. 13). |
| 1 01 | Jane Iddon, Quality Manager, Learning, Enhancement and Academic Practice (LEAP) | Sept 2013, Housekeeping | * Replaces ‘admitted to’ with ‘awarded’ (reg. 2) * Revision of explanatory note (reg 8) to include a definition of originality. |
| 1 00 | Quality Officer | Aug 2011, Senate | New. Regulations govern those degrees classified by the Research Degrees Committee as PhD by published work. Chapter XII governs PhD’s by thesis. |