



Guidance on Research Degrees By Publication

The University may award research degrees by published work (set out in [Regulation C10](#)) to individuals who have demonstrated a sustained record of academic publication.

Please note that a student registered on a Keele PhD by Research or Professional Doctorate at Keele shall not be allowed to transfer to the PhD by Publication.

The degrees to which a candidate may proceed under this Regulation are those of PhD (Doctor of Philosophy).

1 Standards Of Award

- 1.1 Candidates for the degree of PhD by Publication shall be required to meet the same standards of award as candidates for the PhD by supervision (See [Regulation C10](#)). The latest version of the Regulations is available on the University website and the [PGR Code of Practice](#) is always available on the Postgraduate Research webpages.
- 1.2 The PhD by Publication award is based on the submission of a critical overview and portfolio of evidence containing peer reviewed published work and other outputs.

2 Eligibility

- 2.1 In order to be eligible to submit for a degree by published work, a candidate must fulfil at least one of the following criteria:
 - be a graduate of this University of at least six years standing
 - hold a Masters Degree of this University of at least five years standing
 - be a graduate of any other University approved for this purpose of at least six years standing and have been a full-time member of the academic staff of this University for at least three years
 - be any other person associated with the work of the University whose qualifications are deemed by the Research Degrees Committee, on behalf of Senate, to be acceptable.

The University will normally only consider applications in relation to subjects for which it currently offers supervision for a research degree and where appropriate supervision is available.

3 Application Procedure (*Prima Facie* Case)

- 3.1 To apply for a PhD by Published Works a candidate must, in the first instance, submit the following to the Director of Planning and Academic Administration:
 - a) a statement of the intended award
 - b) a critical commentary, including a précis of the work to be submitted and a justification for the award, not exceeding 500 words
 - c) their c.v. including a full list of publications
 - d) a proposed title.

- 3.2 A student registered on a Keele PhD by research or Professional Doctorate programme at Keele shall not be allowed to transfer to the research degree by published works.
- 3.3 The Head of Planning and Admissions will consult with the appropriate Research Institute to confirm that there is a *prima facie* case that the application is appropriate and that appropriate supervision is available prior to arranging for the Research Degrees Committee to consider the application. The Research Degrees Committee may take additional advice from within the University or externally.
- 3.4 If the Research Degrees Committee determines that a *prima facie* case exists, the candidate will be required to make a submission within six calendar months of the notification of the decision of Research Degrees Committee.
- 3.5 There will be two external examiners for a PhD by Publication. The title and examiners will be approved following the same procedures as for PhDs by supervision and can be found in the [PGR Code of Practice](#).

4 Supervision

- 4.1 Candidates for a PhD by Publication will be provided with an appropriate supervisor by the Faculty Research Office/Research Institute. The supervisor will normally be an approved supervisor, preferably of mentor status.
- 4.2 The supervisor will:
- a) Guide the candidate in the selection of publications for inclusion in the submission
 - b) Guide the candidate as to whether further submissions are needed
 - c) Support and advise on the critical commentary
 - d) Provide guidance on the body of work to be submitted.

5 Submission

- 5.1 The candidate must submit to the Student Services Centre in the Tawney Building three copies of a portfolio which shall include the following:
- a) a title page setting out the candidate's name, approved title and award for which the submission is made
 - b) details of the candidate's qualifications
 - c) a critical commentary on the submission which comprises a review of the contribution the work makes to the academic field in question (not exceeding 10,000 words)
 - d) a list of the publications submitted in the order published
 - e) copies of all the relevant published material, appropriately ordered
 - f) a full statement on the extent of the contributions to all papers is required where there are multiple authors (where an academic is submitting work undertaken by a student particular attention must be paid to the students' element).
- 5.2 Guidance on what may be submitted:-
- a) Papers in peer reviewed journals
 - b) Books, or chapters in books
 - c) Patents
 - d) Monographs
 - e) Other published work

- f) The publications should normally have been published no more than 10 years prior to the first date of student registration
- g) Work “in press” can be considered as published where there is a Digital Object Identifier (DOI) or publishing contract
- h) Outputs to be included must not have been used in the submission for another higher research degree at this or any other University
- i) Electronic publications may be submitted but only with evidence that they will be publicly available for the foreseeable future in the current form and that they are of the appropriate quality for submission. Web links for the journal publishing the paper should be included in the critical commentary to ensure copyright requirements are covered
- j) The number of publications will depend on the academic discipline and type of publication, but the submission should normally comprise at least ten publications.

5.3 The critical commentary, which must be submitted with the publications should demonstrate the coherence of and rationale for the submitted work. It should be no longer than 10,000 words excluding the submitted works. As a minimum it should contain the following:

- a) =Autobiographical context for the portfolio of evidence
- b) Chronological description of the submission and the development of the work
- c) An evaluative description of the originality of each output
- d) Demonstration of the original and independent contribution to knowledge and a rationale to prove that the work submitted equates to PhD standard
- e) A critical review of the overall contribution to the research area which has been made by the body of work submitted for examination. This could include any published reviews of the submitted work
- f) A critical reflection on the candidate’s development as a researcher
- g) Conclusions and suggestions for future work.

5.4 The contents of the submission must be in the English language unless specific permission to the contrary has been granted by Research Degrees Committee.

5.5 The submission must be accompanied by the relevant examination fee (available on the Postgraduate Research webpages). The copies should be bound in comb binding where possible.

6 Examination

6.1 The examiners will examine the work submitted; write independent reports following the guidance in the [PGR Code of Practice](#), and a further joint report agreeing their recommendation to Research Degrees Committee. They will make a recommendation to Research Degrees Committee who, after consideration, shall make a recommendation to Senate.

6.2 An oral examination is required for all submissions.

6.3 Arrangements for the oral examination are made in the same was for a PhD by supervision.

6.4 Recommendations available to examiners of research degrees are:

- a) the student be awarded the degree for which he/she has made a submission; or

- b) the student be awarded the degree for which he/she has made a submission once revisions to the critical commentary have been made to the satisfaction of the examiner(s); or
- a) the student should be not awarded any degree nor be permitted to re-present the thesis, nor submit to any further examination.
- c) the examiners are unable to come to a joint recommendation and an additional examiner or examiners should be appointed whose decision shall resolve the matter.

6.5 Research Degrees Committee will communicate the outcome of the examination process to the candidate and any subsequent instructions prior to approval at Senate.

7 Appeals

7.1 Appeals can only be made following the outcome of the award and will follow the procedures laid out in Regulation 7.

8 Academic Misconduct

8.1 Any allegation of academic misconduct shall be dealt with in accordance with the following procedures. Academic misconduct is most likely to be, but is not exclusively, collusion, where a piece of work is prepared by more than one student, including work deriving from a piece of authorised collaborative group-work, and is presented in whole or in part for assessment as if it were the student's own work.

8.2 Any such investigation shall be carried out by a panel consisting of a senior member of the academic staff nominated by the Vice-Chancellor as chair, the Dean or his/her nominee from the Faculty in which the alleged offence has taken place and one other Dean or his/her nominee. If the alleged offence has taken place in the Dean's department, then the Dean shall nominate a senior member of the academic staff from another department in that Faculty to act on his/her behalf.