

## Guidance on PhD by Publication/Portfolio

These guidelines outline details of the arrangements for the award of PhD by Publication/Portfolio and should be read in conjunction with [Regulation C10](#) and the University [Code of Practice on Postgraduate Research Degrees](#).

PhD by Publication/Portfolio offers an alternative to the standard PhD route. It provides individuals that have published work but have not completed a PhD with the opportunity to achieve academic recognition. This route may suit individuals who are (re)entering higher education mid-career, especially in practice-based disciplines; or individuals that may have considered a Professional Doctorate but rejected this option due to entry requirements/degree length/cost.

The PhD by Publication/Portfolio is based upon research already undertaken before registration that has led to a sustained record of academic publications or a body of publicly accessible creative outputs. Research training would normally have been completed prior to submission of the application and would be demonstrated and evaluated in retrospect, through research publications and outputs.

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

### The benefits of PhD by Publication/Portfolio

- Candidates can disseminate and impact on practice in real time
- Existing publications increase the chances of external funding
- Recognises and rewards research undertaken outside of the working environment

## 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.

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.

1.3 Candidates will be registered students while they're working on their critical commentary and during the assessment process. They will be recorded on the student records system (SCIMS) as PhD by Publication and will register as part time students.

## 2 Eligibility

2.1 In order to be eligible to submit for a degree by published work, a candidate must fulfil the following criteria:

- Hold at least an undergraduate (or higher) from a nationally recognised higher education provider from the UK or overseas, for at least six years or more  
And at least one of the following.
- Be a Keele University staff member beyond the probationary period of employment

- Be an honorary member of staff
- Be an external applicant who can demonstrate a record of publications/outputs of research of appropriate quantity and quality and who do not already hold a doctoral degree in the same or cognate discipline or area of research . It is not a formal requirement to have previous links/collaborations with Keele. However, if you do details will be requested upon application.

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.

In all instances, the final submission of the portfolio must:

- provide evidence of the attainment and application of research skills in the critical commentary and demonstrate a level of research equivalent to that of a traditional PhD student who has reached the beginning of the writing-up stage
- be collectively at least equal to the length or volume of a standard PhD thesis
- be publicly available and accessible to scholars or other interested persons. Where necessary, this can include publications which have been accepted for publication.

In the event of any issues arising regarding eligibility, the proposal should be referred initially to the University Research Degrees Committee (RDC). The Research Degrees Committee may take additional advice from within the University or externally in reaching a decision.

### **3 Application Procedure (*Prima Facie* Case)**

3.1 It is suggested that prospective applicants have an early discussion with the relevant School Postgraduate Research Lead and/or Supervisor prior to making a formal application. The discussion should include consideration of the substance of the work and the practicality of producing a coherent critical overview. Where the applicant is considering submitting co-authored work, the discussion should also consider whether the candidate can evidence a sufficiently substantial individual contribution to that collaborative work.

3.2 To apply for a PhD by Publication/Portfolio a candidate must, in the first instance, submit the following to the appropriate [Faculty Postgraduate Administrator](#):

- a statement of the intended award
- a critical commentary, including a précis of the work to be submitted and a justification for the award, not exceeding 500 words
- their c.v. including a full list of publications
- a reference
- evidence (certificates/transcripts) of previous qualifications
- a copy of their passport and visas (if applicable)
- a [pre-admission form](#)

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 Faculty Postgraduate Administrator will consult with the appropriate School Postgraduate

Research Lead to confirm that there is a *primaefacie* case that the application is appropriate, and that appropriate supervision is available prior to review by the University Research Degrees Committee and a formal offer being made.

3.4 If the University Research Degrees Committee determines that a *primaefacie* case exists, the candidate will be required to make a submission within 12 calendar months of the notification of the decision of the University Research Degrees Committee.

3.5 There will be two external examiners for a PhD by Publication. The title and examiners will be recommended by the supervisor and 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 a single, appropriate and approved supervisor by the Faculty. .

4.2 The supervisor will:

- Guide the candidate in the selection of publications and/or creative outputs for inclusion in the submission
- Support and advise on development of the critical commentary
- Provide guidance on the body of work to be submitted.

## 5 Submission

5.1 The candidate must electronically submit a portfolio to [submissions.pgr@keele.ac.uk](mailto:submissions.pgr@keele.ac.uk) which shall include the following:

- a title page setting out the candidate's name, approved title and award for which the submission is made; please make use of our Thesis Title Page Template
- a separate page detailing the candidate's qualifications
- a critical commentary on the submission which comprises a review of the contribution the work makes to the academic field in question (up to a maximum of 10,000 words)
- a list of the publications/outputs submitted in the order published
- copies of all the relevant published material, appropriately ordered
- 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).
- formatting as laid out in section 3.2 of the [PGR Examination Handbook](#)
- an accompanying Thesis Submission Form
- an accompanying Academic Honesty Declaration Form

Full guidance on the submission process and access to relevant forms and templates can be viewed [here](#).

5.2 Guidance on types of publications / outputs that may be submitted:-

- Papers in peer reviewed journals or presented to conferences and available in the published proceedings or otherwise published
- Books, or chapters in books (where the student can evidence sole or substantial contribution)

- Patents or patent applications
- Monographs
- Other published work, as set out in annex k of the REF Guidance on Research Outputs ([pg 102-113](#))
- Publications / outputs should form a significant contribution to knowledge or scholarship, which is of an acceptable national standing
- Outputs should normally have been published or made publicly available no more than 10 years prior to the first date of student registration
- Work “in press” can be considered as published where there is a Digital Object Identifier (DOI) or publishing contract
- Outputs to be included must not have been used in the submission for another higher research degree at this or any other University
- Electronic publications may be submitted but only with evidence that they will be publicly available for the foreseeable future in their 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
- The number of publications required for submission will depend on the academic discipline and type of publication, but as a general guide, submissions should normally comprise at least ten publications. In the case of monographs, a smaller amount would be considered
- Portfolio Submission requires a collection of evidence that documents and authenticates processes and outputs and could include, for example:
  - software programs
  - maps
  - multimedia packages
  - project outputs with feedback from the project sponsor
  - videoed conference presentations
  - Exhibitions or performances of which a permanent record has been made
- For all non-academic outputs, the criteria used to judge their merit will be determined by the discipline and appropriate professional bodies.

These lists are not exhaustive and other submissions may be considered by the University Research Degrees Committee.

### 5.3 Factors influencing adequacy of outputs

- Single or joint authored
- % contribution of joint papers
- Standing/Impact factor of journal
- Standing of the book
- Length of papers
- Number of research projects and contribution to each aspect of the research process
- Type of output e.g., empirical research, commentary, review or systematic review, theoretical piece
- Conferences: peer reviewed, invited or keynote paper.

5.4 The critical commentary, which must be submitted with the publications should demonstrate the coherence of and rationale for the submitted work. It should be up to a maximum of 10,000 words, excluding the submitted works. As a minimum it should contain the following:

- Autobiographical context for the portfolio of evidence
- Chronological description of the submission and the development of the work
- An evaluative description of the originality of each output
- Demonstration of the original and independent contribution to knowledge and a rationale to prove that the work submitted equates to PhD standard
- 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
- A critical reflection on the candidate's development as a researcher
- Conclusions and suggestions for future work.

5.5 The contents of the submission must be in the English language unless specific permission to The University Research Degrees Committee have granted the contrary.

5.4 The submission must be accompanied by a receipt showing payment of the relevant tuition fee or evidence of fee waiver if applicable (fee level information is available on the Postgraduate Research webpages, waivers must be agreed at application) and must include a PDF of the critical commentary including full bibliographic details of the publications.

## 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 The recommendations available to examiners differ from PhD by supervision in that the body of work (Portfolio) cannot be recommended for alterations and must be judged on a pass/fail basis

Outcomes that are available are:

- a) the student be awarded the degree for which they have made a submission; or
- b) the student be awarded the degree for which they have made a submission once revisions to the critical commentary have been made to the satisfaction of the examiner(s); or
- c) the student should be not awarded any degree nor be permitted to re-present the thesis, nor submit to any further examination; or
- d) 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 B6

## **8 Academic Misconduct**

8.1 Any allegation of academic misconduct shall be dealt with in accordance with the following procedures. Academic misconduct may be, but is not exclusively, plagiarism or collusion.

8.2 Any such investigation shall be referred in the first instance to the academic misconduct officer in the School and will follow the usual academic misconduct procedures.