

PhD on the Basis of Published Work Policy and Procedures Handbook

The University's Regulations for Study contains the high level regulations for University Degree Programmes and can be found with all the other Policy and Procedure Handbooks at:

<https://www.brookes.ac.uk/regulations/>

All Research Degree Policy and Procedure Handbooks and Documents can also be found at:

<https://www.brookes.ac.uk/students/research-degrees-team/current-students/regulations/>

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1. Introduction

- 1.1 The University shall award the degree of Doctor of Philosophy (PhD) on the basis of published work to registered candidates whose submitted work forms a coherent programme of research, demonstrates the use of appropriate research methodology, and makes an original and sufficient contribution to the present state of knowledge in a particular field to the satisfaction of the examiners. The work submitted should reflect the same academic standards as those which operate for a traditional PhD based upon an approved programme of supervised research.
- 1.2 The degree of PhD on the basis of published work is intended for candidates who have not had the opportunity to study for a research degree immediately after graduation but who have, nevertheless, developed their research skills to a doctoral level and have published extensively. These may include individuals who enter higher education in mid-career, especially in practice-based disciplines, and those following research careers in industry.

- 1.3 Candidates undertaking this degree must always refer to the Research Degree Policy and Procedures Handbook for full details about the generic stages of the programme, such as submission and examination etc.

2. Eligibility and entry requirements

- 2.1 Applicants must have had a significant, existing prior association with Oxford Brookes University. If this is not the case, the Department or Faculty may develop a real association with a potential applicant over a period of at least 2 years, before an application for a place on the programme may be considered. The candidate's association must be significant and could be one of the following: a former member of staff or student; an Associate undertaking regular teaching on Brookes' programmes; be a member of staff at an external company or institution and directly engaged in an existing relationship or collaboration; or working with the University to enhance the student experience, e.g. through accepting student placements for Oxford Brookes students.
- 2.2 Applicants shall normally have a first or upper second class honours degree from a UK academic institution or a qualification which is regarded by the University as equivalent to such an honours degree.
- 2.3 In exceptional cases, applicants holding qualifications other than those in paragraph 2.2 shall be considered. Such applicants shall be considered on their individual merit and the University shall look for evidence of the applicant's ability and background knowledge in relation to the research. Professional experience, publications, written reports or other appropriate evidence of accomplishment shall be taken into consideration.
- 2.4 Applicants shall normally have at least five years relevant experience at postgraduate level.
- 2.5 As applicants will need to have a Director of Studies appointed who has experience in their particular field, applicants' research will need to be in an area which falls within the scope of the University's current research activities.
- 2.6 All candidates applying for a place on the programme must submit their application via the on-line application system.

3. Published work

- 3.1 Publications submitted for the degree shall normally consist of articles, chapters, monographs, books, research reports or other published work. The publications submitted must have been peer reviewed as appropriate for the discipline. The Research Degrees Committee may approve the submission of work in other media formats. Where the submission involves creative work, the status of the commissioning body and the subsequent critical reviews will be taken into account as indicators of the standing of the work.
- 3.2 The work shall constitute a coherent programme of research, demonstrate the use of appropriate research methodology, and make an original contribution to the present state of knowledge.
- 3.3 There is no set number of items of published work for the submission, however, one volume, publication or book will not normally be accepted. The body of work to be submitted should represent an equivalent amount to that contained in a traditional PhD thesis in the appropriate discipline in terms of both quality and standards and should demonstrate the individuals progress and the development of their work over a period of time, through the publications submitted. Where the submission involves creative work, the nature and content of the submission shall meet the requirements of Section 6 of the Research Degree Policy and Procedures Handbook.
- 3.4 All the work submitted must be in the public domain prior to a candidate applying for a place on the programme. Manuscripts of works not yet accepted for publication or works in press are ineligible for submission. Any work not in the public domain, such as confidential research reports, are ineligible for submission.

- 3.5 If the submission for PhD by Published Work includes 'grey literature' such as officially commissioned reports and analyses, as part of, or comprising, the full submission of publications for this degree, the candidate must clearly evidence how the publications have attracted an equivalent academic peer review to the accepted model that was applied to academic publications.

In addition when writing the Critical Appraisal, the candidate must make a very clear case for submitting this work, so that the examiners are able to understand how this type of material can be considered as part of an academic submission for PhD by Published Work.

- 3.6 The work submitted must be in English. Where work has originally been published in a language other than English, a translation must be provided.
- 3.7 The work submitted may have been published at any time during the candidate's research career prior to the date of applying for a place on the programme, but the items of published work must represent a coherent programme of research and make an original contribution to the present state of knowledge.
- 3.8 Where multi-authored works are included, candidates are required to submit evidence of their individual contribution to the work (see paragraph 7.3). Candidates shall not normally include multi-authored works which have been co-authored with current research students.
- 3.9 The research presented in the published work shall not have been previously submitted for any other award by the candidate (except in the circumstances given in paragraph 9.4).

4. Admission, fees and enrolment

- 4.1 The admission procedure for candidates for the degree of PhD on the basis of published work is the same as that for research degree candidates and candidates must be accepted formally on behalf of the Faculty by either the Dean of Faculty, Chair of the Faculty Research Committee or Postgraduate Research Tutor.
- 4.2 All publications submitted for consideration must always be read by all the proposed supervisors, and their recommendations regarding their suitability for the degree should be clear prior to an offer of a place on the programme being issued.
- 4.3 All candidates shall enrol as students of the University on the PhD by published work programme and shall maintain their enrolment until examination and conferment of the degree.
- 4.4 Candidates shall pay the appropriate fee for this programme as stated by the University, for the minimum registration period of one year and shall continue paying the programme fees at the same level during the second year until submission of the work for examination. Following submission, candidates are required to remain enrolled until final examination but no fees are payable for this period unless following viva, the examiners' recommend the thesis is resubmitted for re-examination when the resubmission fee will be due

5. Registration

- 5.1 The submission for the degree of PhD on the basis of published work involves a two phase process. Firstly, candidates are required to establish a prima facie case for their submission, through the completion of the application to register for a PhD on the basis of published work, which is considered by the Research Degrees Committee.
- 5.2 The application for registration shall be made on RDC-R-PW form and shall contain:
- (i) details of the candidate's academic qualifications, relevant experience, and association with the University;
 - (ii) an appropriate title relating to the candidate's overall programme of research;
 - (iii) a list of the published works on which the application is based, giving full bibliographic references for the published work including the number of pages;

- (iv) a statement identifying where and when the research contributing to the published work was undertaken;
 - (v) a statement of the candidate's contribution to any multi-authored works,
 - (vi) copies of the statements or letters from the co-authors confirming the candidate's contribution to each publication must be attached;
 - (vii) a brief review of previous work undertaken in the field and how the candidate's work relates to this;
 - (viii) a summary of the overall programme of research, its aims, and how the individual items of published work fit into this;
 - (ix) a summary of the contribution to knowledge represented by the published work;
 - (x) a summary of the proposed content of the critical appraisal;
 - (xi) details of the proposed Director of Studies;
 - (xii) if the submission includes 'grey literature' evidence must be provided about how the publications have attracted an equivalent academic peer review to the accepted model that was applied to academic publications;
 - (xiii) confirmation that the Supervisory Team has identified an external examiner who meets the required criteria for appointment and has previously completed at least one PhD by Published Work examination.
- 5.3 The application for registration must be submitted to the Research Degrees Committee within three months of initial enrolment.
- 5.4 In approving the application, the Research Degrees Committee shall satisfy itself that:
- (i) the candidate is suitably qualified;
 - (ii) that there is a prima facie case that the published work proposed for submission represents a coherent programme of research, is set in an appropriate context, and makes an original and sufficient contribution to the present state of knowledge;
 - (iii) the proposed supervision arrangements are appropriate;
 - (iv) that the papers are appropriate and of the required academic standard for a submission for PhD
- 5.5 The date of registration given in the application sets the start of the period of registration. The registration period shall be a minimum of one year and maximum of two years. The date of registration shall normally be the date the candidate initially enrolled on the PhD by published work programme. The date of registration may not be backdated before the candidate's date of initial enrolment as a student at the University.
- 5.6 In exceptional cases, the period of registration may be extended by the Research Degrees Committee, normally for not more than one year at a time.
- 5.7 Where a candidate is prevented, by ill-health or other valid cause, from making progress with the preparation of the submission, the period of registration may be suspended by the Research Degrees Committee, normally for not more than one year at a time.
- 5.8 The Research Degrees Committee may terminate the registration of a candidate for the degree of PhD on the basis of published work for the following reasons:
- (i) if the candidate's period of registration has expired and an application for extension of registration has not been submitted within a reasonable period;

- (ii) if the candidate has not responded to any correspondence from the Director of Studies and there has been no contact between the candidate and the Director of Studies for a period of one year;
- (iii) if the candidate has not maintained enrolment as a student of the University and paid the appropriate fees;
- (iv) if the candidate's Director of Studies provides evidence for unsatisfactory progress with the submission.

The notification of withdrawal of registration shall be made on form RDC-W.

6. Supervision

6.1 The candidate shall have a Director of Studies whose responsibility it is to:

- (i) give guidance on the selection, coherence and quality of the candidate's published work to be submitted for examination;
- (ii) give advice on the preparation of the work for submission, including the supporting critical appraisal;
- (iii) give guidance on the preparation for the oral examination; and
- (iv) propose the examiners to the Research Degrees Committee.

6.2 The Director of Studies shall have substantial research experience in the relevant subject area and have had experience of supervising at least two PhD candidates to successful completion. In exceptional cases, an additional supervisor may be appointed in order to provide the necessary subject expertise and supervision experience.

6.3 A proposal for change in supervision arrangements shall be made to the Research Degrees Committee.

7. Format of submission for examination

7.1 The submission for examination shall comprise the published work on which the application is based together with a supporting critical appraisal of this work.

7.2 The critical appraisal shall be of between 7,500 and 15,000 words, and shall:

- (i) review the general literature in the field and place the candidate's submitted work in the context of this literature;
- (ii) describe the overall programme of research and its aims and discuss how the individual items of published work submitted fit into this;
- (iii) analyse the research methodology used where this is not covered in the published work;
- (iv) analyse and assess the original contribution to knowledge represented by the published work submitted;
- (v) where the submission involves creative work, set the work in its relevant theoretical, critical or design context and address the requirements for the written commentary accompanying creative work laid down in the Research Degrees Policy and Procedures Handbook;
- (vi) in the case of multi-authored work, describe the extent and scope of the candidate's contribution in relation to the other authors.

7.3 In the case of each multi-authored work, a signed statement or letter shall be provided from at least one of the other co-authors, detailing and confirming the candidate's contribution to the

work. These statements/letters must be saved as part of the electronic thesis submitted for examination and final submission.

- 7.4 The copies of publications included in the submission shall be an offprint or high quality photocopy.
- 7.5 One electronic PDF copy of the submission must be emailed to the Research Degrees Team . The thesis will remain the property of the University. The copyright of the critical appraisal shall be vested in the candidate.
- 7.6 The critical appraisal shall conform to the guidelines for theses as set out in the Research Degree Policy and Procedures Handbook. The critical appraisal and published work, excluding any books, shall be presented in A4 format and must be saved as one electronic PDF file. Where possible all the publications must be saved in the same PDF file as the critical appraisal. Exceptionally if some of the publications etc. cannot be saved electronically, arrangements can be made for hard copies to be accepted, this must be indicated on the RDC-E Form when the examiners are being proposed. The Research Degrees Committee may give permission for an alternative format to be used for the submission where it is satisfied that this would be more appropriate.
- 7.7 Where the submission involves creative work, the submission shall contain some permanent record (for instance, video, photographic record, CD-ROM, musical score, diagrammatic representation) of the creative work, where practicable included with the electronic copy of the critical appraisal.
- 7.8 The electronic PDF copy of the final submission shall contain a title page, contents page and abstract. The title page shall contain the following information:
- (i) an appropriate title relating to the candidate's overall programme of research;
 - (ii) the full name of the candidate;
 - (iii) the statement that the work is submitted in partial fulfilment of the requirements of Oxford Brookes University for the degree of Doctor of Philosophy on the basis of published work; and
 - (iv) the month and year of submission for examination.
- 7.9 The abstract shall be of approximately 300 words and shall provide a synopsis of the work stating the nature and scope of the work undertaken and of the contribution made to the present state of knowledge in the subject. The abstract must be included in the electronic copy of the thesis.

8. Examiners and examination arrangements

- 8.1 The Director of Studies shall submit an application for approval of examination arrangements to the Research Degrees Committee for approval on form RDC-E at least two months before the expected date of submission for examination. The oral online examination may not take place until the examiners have been approved. The application shall provide:
- (i) the details of the proposed examiners;
 - (ii) the title of the overall programme of research; and
 - (iii) a list of the published work to be submitted.
- 8.2 Where there is evidence that the compilation of the published work and the critical appraisal has progressed exceptionally well, the Research Degrees Committee may approve the work being submitted in less than the minimum period of registration as specified in the Research Degree Policy and Procedures Handbook. In these cases an application for up to 3 months early submission may be submitted. The request for early submission should be made by the Director

of Studies on behalf of the candidate with the application for approval of examination arrangements.

- 8.3 There shall be at least two examiners, one internal and one external. The examiners of candidates for the degree of PhD on the basis of published work shall be appointed in accordance with the requirements for those of research degree candidates laid down in the Research Degree Policy and Procedure Handbook.
- 8.4 In addition to the requirements laid down in the Research Degree Policy and Procedures Handbook, an external examiner of a candidate for the degree of PhD on the basis of published work shall be independent of the candidate's research and publication activities and have previously examined on PhD by Published Work thesis.
- 8.5 The role of the examiners is to:
- (i) evaluate the quality of the candidate's submitted published work;
 - (ii) establish the coherence between the items of published work;
 - (iii) assess the contribution to the present state of knowledge represented by the published work;
 - (iv) evaluate the methodology by which the research was conducted;
 - (v) place the published work within the time frame and facilities within which the research was conducted;
 - (vi) assess the candidate's contribution to the various phases of the research embodied in multi-authored work (the design of the investigation; the conduct of the research; the analysis of the outcome; and the preparation of the work for publication or presentation in the public domain); and
 - (vii) establish the candidate's ownership of the published work and appreciation of the state of knowledge within the candidate's research area.

9. Oral examination

- 9.1 The electronic PDF copy of the thesis should be submitted by email to the Research Degree Team before the expiry of the registration period.
- 9.2 The oral examination for the degree of PhD on the basis of published work will normally be held online via Zoom or another online platform, and will be conducted in accordance with the procedures for research degree oral examinations as laid down in the Research Degree Policy and Procedures Handbook.

All research degree examinations and vivas are carried out electronically and online. Therefore the submission of the thesis for examination should be electronic, by email, directly to the Research Degrees Team. Students must submit their thesis for examination by emailing one electronic PDF copy of the final thesis, and the completed, signed RDC-Sub submission form, to the Research Degrees Team.

- 9.3 Following the completion of the oral examination, the examiners may recommend that:
- (i) the candidate be awarded the degree;
 - (ii) the candidate be awarded the degree subject to minor amendments being undertaken to the critical appraisal;
 - (iii) the candidate be awarded the degree subject to major amendments being undertaken to the critical appraisal

- (iv) the candidate be permitted to re-submit for the degree and be re-examined, with a second oral examination;
- (v) the candidate is not awarded the degree and is not permitted to be re-examined.

Examiners may indicate informally their recommendations on the result of the examination to the candidate but they shall make it clear that the decision rests with the Research Degrees Committee.

- 9.4 Where the examiners recommend that the degree is not awarded, candidates may not register a new submission for a PhD on the basis of published work within a period of three years from the date of the original examination. Any further submission must include evidence of additional work and must be approved through the registration procedure as laid down in the Research Degree Policy and Procedures Handbook.
- 9.5 Once all elements of the examination process have been completed satisfactorily, the final approved electronic copy of the thesis must be uploaded to the University's online repository, RADAR as set out in the RDC-Decl RADAR form, before the degree may be awarded. Students confirm, through the completion and submission of a declaration form RDC-Decl RADAR, that the contents of the final thesis are identical to the version submitted for examination, except where amendments have been made to meet the requirements of the examiners.

Copies of published material should be saved as part of the final electronic PDF copy of the thesis. Exceptionally if it is not possible to submit the thesis electronically due to the nature of the work, a hard copy of the published material may be submitted with the approval of the Research Degrees Committee. Where the published work takes the form of a book(s) and is not available as a PDF, they should be submitted in a secure manner and the same information as required for on the final thesis (excluding the title of the work) shall be shown on the spine of the binding or box, reading downwards.

10. Review of an examination decision

- 10.1 Candidates may request a review of an examination decision. The basis upon which such a request may be made and the procedures to be followed for the review are laid down in Section 20.2 of the Research Degree Policy and Procedures Handbook.

Approved by Research Degrees Committee: 2 March 2021
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