

Regulations for the Degree of Doctor of Philosophy by Published Work (PhD by Published Work) (and associated rules and guidelines)

1. The Degree of PhD by Published Work

The degree of PhD by published work is awarded in recognition of research which has made a significant and coherent contribution to knowledge and is of scholarly and academic content. The submission of a thesis which must satisfy the appointed examiners is also required.

2. Admission

- 2.1. The degree is open to candidates:
 - i. who are members of staff of Ulster University; or
 - ii. who are members of staff of an institution or organisation which has a strong research base and who have collaborated in research with staff members of Ulster University.
- 2.2. Applicants for admission will be expected to demonstrate that they have been active in research for a period of at least five years within the last ten years at an organisation that has a recognised research function. Applicants must demonstrate that they have produced state of the art research output which is cohesive and of an academic quality and a volume which give a prima facie indication that a significant contribution to scholarship has been made.
- 2.3. Applications shall be based on completed research. For this purpose 'research' is to be understood as original investigation undertaken in order to gain knowledge and understanding. It includes scholarship; the invention and generation of ideas, images, performances and artefacts including design where these lead to new or substantially improved insights; and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products, and processes, including design and construction. It excludes routine testing and analysis of materials, components and processes. The dissemination of the results of the research shall have taken place in the form of books or of articles in academic journals of recognised standing or of conference papers, or, in the performing and creative arts, work which may be non-text based. In all cases documentary evidence relating to the research output must be available and for the purpose of these Regulations the work to be submitted shall be referred to as 'the published work'.
- 2.4. Research related to all published work submitted by the applicant in support of their admission to the degree of PhD by Published Work shall have been conducted during the applicant's period of employment at Ulster University and/or through their direct collaboration with staff members at Ulster as indicated at 2.1 above. By exception, research conducted and published work produced prior to the applicant's employment or association with Ulster University may be included where the provenance of the research is established and currency agreed in accordance with 2.6 below
- 2.5. Applications for admission shall be accompanied by the following:
 - a) details of the published work which the applicant wishes to be considered;
 - b) a statement, of between 1,000 and 2,000 words, setting in context each item of published work and indicating how and in what respect these items have made a significant and coherent contribution to knowledge;
 - c) a statement indicating the extent to which the published work has been carried out by the candidate and a clear indication of any parts of the published work which

have been carried out in collaboration or which have been submitted previously for any other degree or qualification. Further, if the published work is the result of collaborative research, a statement must, where possible, be provided by the collaborating researcher(s) confirming the contribution made to the research by the candidate.

- 2.6. The Faculty shall convene a panel to consider the application including an assessment of the quality and quantity of the published work presented by the candidate. The Panel shall comprise the Research Director, the Associate Dean (R & I) and one or more subject specialists. This Panel shall make a rigorous assessment of the published work and specifically of the provenance and currency of the research conducted by the applicant together with a full assessment of the applicant's relationship to Ulster University. The Panel will provide a report of this assessment to inform a decision on admission. The volume of published work required in each instance is subject to individual faculty and/or subject requirements.
- 2.7. Decisions relating to admission will be made by either the Board of the Faculty (for normal admissions) or by the Doctoral College on the recommendation of the Board of the Faculty (for exceptional admissions) on behalf of the Senate.
- 2.8. The programme of work to be undertaken shall be approved and a supervisor or supervisors appointed in accordance with the guidelines in advance of registration.

3. Registration and Enrolment

- 3.1. Initial enrolment shall take effect from the first day of the particular month in any year.
- 3.2. The University may refuse candidates permission to enrol if they are registered for another award of the University or with another academic or professional institution.
- 3.3. Once enrolled as a student a candidate may not register for another award of the University or with another academic or professional institution without prior approval of the Senate.

4. Duration of Programme

- 4.1 A candidate for the degree of PhD by Published Work shall normally be required to complete a minimum period of part-time study lasting for six months. Published work and a thesis shall be submitted for examination not later than twelve months from admission.
- 4.2 A reduction of the period specified above or, in exceptional circumstances, an extension may be granted.
- 4.3 The Senate may grant a candidate leave of absence for a specified period.

5. Submission of Thesis and Published Work

- 5.1 A candidate for the degree of PhD by Published Work shall, on completion of the required period of registration, submit the published work, or in the case of non-text output, documentary evidence relating to the published work, which the candidate wishes to be considered and a thesis of between 10,000 and 20,000 words in length (excluding appendices, footnotes, bibliographies and diagrams). The thesis must demonstrate that the published work makes a significant and coherent contribution to knowledge.
- 5.2 A candidate shall give the Doctoral College three months' notice in writing of submission of the thesis and published work, and shall at the same time provide the exact title of the thesis.

- 5.3 Theses, and supporting material if applicable, shall be presented in accordance with rules approved by the Senate.

6. Appointment of Examiners

- 6.1 The Doctoral College Board under delegated authority from the Senate shall appoint one or more internal examiners and nominate, for approval by Council, one or more external examiners except as provided for in Section 7.5.
- 6.2 The candidate's supervisor shall not be appointed as an examiner.
- 6.3 One supervisor may attend the oral examination at the consent of the candidate who shall select a named supervisor of their choice from the supervisory team. The supervisor shall not contribute to discussions at the oral examination unless specifically asked to do so by the Chairperson. The candidate shall not ask the supervisor to speak, and neither the candidate nor the named supervisor shall be present when any discussions with regard to the decision to award the degree, or otherwise, are taking place.
- 6.4 An external examiner must not have published with any of the candidate's supervisors in the preceding three years.
- 6.5 The examiners shall adjudicate on the published work and the thesis and, save in exceptional circumstances, shall examine the candidate orally on the work submitted and on the field of study in which the research lies.
- 6.6 Where an oral examination is to be held the Senate shall appoint a senior member of academic staff to act as Chairperson of the Board of Examiners. The Chairperson shall not be an examiner.

7. Examination

- 7.1. Candidates for the degree of PhD by Published Work are required to have presented satisfactory published work and a thesis, and have demonstrated the significant and coherent contribution to knowledge made by the published work.
- 7.2. Following receipt of the published work and the thesis the examiners shall present independent written reports to the Doctoral College prior to the oral examination. These reports shall not be made available to the other examiner(s) until all reports have been received by the Doctoral College; they shall not be available to the candidate or the supervisor.
- 7.3. The examiners may, exceptionally, recommend to the Senate in their reports that the requirement for an oral examination should be waived. Where no oral examination is to be held the Board of Examiners shall meet to agree its joint report and recommendation in accordance with 7.4 and 7.6.
- 7.4. Following the adjudication of the published work and the thesis the members of the Board of Examiners shall, where they are in agreement, present a joint report and recommendation for the award or otherwise of the degree. Where the examiners are not in agreement separate reports and recommendations shall be made.
- 7.5. Where the recommendation of the Board of Examiners is not unanimous, the Senate may:
- a) accept the recommendation of the external examiner(s); or
 - b) require the appointment of a new Board of Examiners and convene a further oral examination.

- 7.6. For a submission for the degree of PhD by Published Work the report of the Board of Examiners shall recommend:
1. that the degree should be awarded;
 2. that the degree should be awarded subject to minor corrections to the thesis being made, or to clarifications and/or enhancements being completed, to the satisfaction of the internal examiner within three months of the oral examination in accordance with the definition of 'minor corrections' as detailed in the Handbook for Examiners;
 3. that the degree should be awarded subject to corrections to the thesis being made to the satisfaction of the internal examiner within six months of the oral examination in accordance with the definition of 'corrections' as detailed in the Handbook for Examiners;
 4. that the candidate should be re-examined within twelve months, which may include the submission of a revised thesis and published work and an oral examination;
 5. that the candidate should be permitted to re-apply as a candidate for the degree after a period of not less than five years; or
 6. that the degree should not be awarded and no resubmission permitted.
- 7.7. Candidates may not apply for the degree of PhD by Published Work on more than two occasions.

8. Review of Decision

A candidate who is deemed under section 7 not to be eligible for the award of a degree may ask for their case to be reviewed. Provided that the candidate lodges a request in writing to the Doctoral College within one month of the approval of the recommendation of the Board of Examiners in accordance with procedures laid down by the Senate, the case shall be reviewed and the initial decision confirmed or amended.

9. Plagiarism

It is a requirement that all assessment material, including the final thesis, be presented as one electronic file in order to facilitate the use by examiners of software designed to detect plagiarism. For this purpose, candidates should use industry standard software in the production of theses and should submit an electronic file on an easily readable medium.

Appointment of Supervisors

1. The candidate shall be supervised by two or more supervisors working as a team and shall be appointed by the Senate on the recommendation of the Faculty. This Supervisory Team shall include a Chair, who in addition to providing a supervisory role in relation to the candidate's research shall deal with all administrative matters relating to the degree programme, take responsibility for all formal reporting and setting up the oral examination.
2. The Team shall also include at least one supervisor who has successfully supervised to completion at doctoral level and at least one supervisor who is a current Research Institute member or who has a track record of achievement in research consistent with inclusion in the REF.
3. Other team members can include academic and research staff with specialist knowledge in the research area or who have extensive experience in research supervision. All team members shall have the ability to demonstrate expertise in the project area.

4. All team members shall hold a doctoral level qualification or in exception circumstances, the Team can include one member who is able to demonstrate considerable equivalent experience. Supervisors who have not supervised to successful completion shall receive training in supervision prior to appointment or as soon as possible thereafter.
5. The Supervisory Team shall normally comprise two or three supervisors only.
6. Where collaboration has been arranged with another establishment, this establishment will normally appoint an additional supervisor.
7. A person who is registered for a research degree shall not normally be permitted to take on duties as a supervisor for a research student.
8. Should it be necessary, either on academic or other grounds, for a supervisor to be changed, approval of the Senate must be sought.
9. Where a supervisor cannot be appointed in accordance with the requirements of this section the Senate may make special arrangements for supervision.

Rules for the Final Presentation of Theses and Published Work following Examination

1. A thesis submitted for the degree of PhD by Published Work shall be between 10,000 and 20,000 words in length (excluding appendices, footnotes, bibliographies and diagrams). The thesis must demonstrate that the published work makes a significant and coherent contribution to knowledge. These limits shall be strictly enforced and only in exceptional circumstances shall permission be granted for presentation of theses outside these limits. The published work, or, in the case of non-text output documentary evidence relating to the published work must be submitted with the thesis.
2. An electronic version of the PhD thesis must be submitted to the Doctoral College for electronic distribution. A summary or abstract of the work not exceeding 300 words in length shall form part of the thesis. The abstract shall be in a form suitable for publishing in learned journals. No degree will be awarded until the final version of the thesis has been received. The Senate shall approve guidelines for the presentation of theses and supporting material.
3. The thesis must include a statement of the candidate's objectives and must acknowledge published or other sources of material and any assistance received.
4. Where a candidate's research programme is part of a collaborative group project the thesis must indicate clearly the candidate's individual contribution and the extent of the collaboration.
5. Any part of the work which has been previously submitted for any other degree must be clearly indicated in the thesis.
6. Where permission has been granted to a candidate to present a thesis in a language other than English, an appropriate digest of the thesis written in English must also be submitted. This digest should consist of a summary of the introductory material, followed by a brief account of the contents of each chapter, and finally a statement of the general conclusions
7. The copyright of the thesis shall be held by the University but shall be returned to the candidate following implementation of appropriate intellectual property protection measures.
8. A candidate or collaborating establishment may apply for the thesis to remain confidential for a period of time after completion of the work. The period approved shall not normally exceed two years. This regulation shall not apply to the abstract.

9. It is a requirement that the thesis be presented in electronic format to enable storage and be made available, by the library, through the Ulster Institutional Repository and/or EThOS under the terms of the Ulster eTheses Deposit Agreement. For this purpose, candidates should use industry standard software in the production of the thesis and submit the final digital copy in PDF format and as a single file where possible.