

**Item 8, Paper F**  
**Graduate School Committee, 14.11.2017**

**Guidelines for PhD by Prior Publication**

Senate Regulation 24 Doctoral Programmes sets out the regulations relating to PhDs by Prior Publication. Extracts from the Regulation relating to this category of registration are as follows:

*Categories of study: "Candidates register for, and submit evidence of, a body of published work or portfolio of original creative work. Candidates shall in addition submit a critical analysis in support of the publications (normally no more than 20,000 words). This critical analysis shall be considered as part of the submission and shall be examined as such. Applicants for submission by prior publication are required to submit evidence of a body of published work which is likely to be of suitable type and quality. The applicant should be nominated by a member of City's professoriate who demonstrates a common research interest with the candidate. The structure of the portfolio should be approved by the appropriate Board of Studies and may include original creative work such as musical composition, choreography and/or audio/visual recordings of performances where appropriate."*

*Registration of candidates: "Candidates for submission by prior publication are by definition part-time".*

*Attendance and other work: "Candidates pursuing the degree of PhD by Prior Publication are required to give a presentation to their department on their work which will not be assessed but which will be mandatory."*

*Submission of thesis or published papers: "Candidates submitting by prior publication will need to demonstrate through this medium an original and significant contribution to knowledge. Five areas are paramount:*

- a) critical appraisal of previous work*
- b) design and methodology for investigation(s)*
- c) conduct/execution of research*
- d) analysis of data evidence or outcomes*
- e) theoretical interpretations"*

Additionally, the Research Degrees Typology provides the following information on the material to be examined for this category of study:

"A portfolio of a substantial body of prior publications (evaluated during the admissions process) and a critical analysis of the work submitted of normally no more than 20 000 words:

- placing the work in its overall context;
- showing the work's coherence and contemporary relevance;
- describing the implications of the work for future research; and
- critically evaluating the work's strengths and weaknesses"

The School of Health Sciences has developed the attached guidance to supplement the regulations and typology and provide further information on the requirements for a PhD by Prior Publication covering application, admission and submission.

**Recommended Action:**

- The Graduate School Committee is asked to **consider and comment** on the proposed guidance

CITY, UNIVERSITY OF LONDON

**Guidelines for PhD by Prior Publication**

- 1. A PhD by prior publication must meet the same standard of academic excellence as a PhD by any other route**

The following links are to the UK guidelines and descriptors on standards:

<http://www.gaa.ac.uk/en/Publications/Documents/Framework-Higher-Education-Qualifications-08.pdf>

[http://www.gaa.ac.uk/en/Publications/Documents/Doctoral\\_Characteristics.pdf](http://www.gaa.ac.uk/en/Publications/Documents/Doctoral_Characteristics.pdf)

- 2. The candidate will need to demonstrate an original and significant contribution to knowledge. Six areas are paramount:**
  - 2.1. Presentation of a coherent body of independent research
  - 2.2. Critical appraisal of previous work within which the research is clearly integrated
  - 2.3. Design and methodology for investigation(s)
  - 2.4. Conduct/execution of research
  - 2.5. Analysis of data: evidence or outcomes
  - 2.6. Theoretical interpretations and critical discussion
- 3. A candidate for the degree of PhD by prior publication must be approved by the Research Degrees Committee of the appropriate School.**
- 4. Candidates should be accepted for registration on the basis of all of the below:**
  - 4.1. possession of a degree (BSc/BA or MSc/MA) from an approved university or an equivalent qualification approved by the Research Degrees Committee, according to the university's standard admission criteria.
  - 4.2. the submission of evidence of a body of published work (ie. work in the public domain) which is likely to be of suitable type and quality to lead to the award of this standard of degree. This may potentially include reports of a high quality and strategic importance rather than being solely limited to peer-reviewed journal articles. Appropriate formats should be considered in relation to the candidate's discipline. Supervisors and senior tutors may use REF 3 and 4\* quality criteria as a guideline but consideration should not be rigidly confined to this.

Candidates within the discipline of performing arts may, in part fulfilment of the requirements of the degree, submit a portfolio of original creative work such as musical composition, choreography and/or audio/visual recordings of performances. The structure of the portfolio shall be approved by the appropriate Research Degrees Committee before the candidate first registers for the degree; it should therefore comprise a clear and significant

contribution to knowledge.

- 4.3. the availability of suitable expertise in the School to supervise and (if appropriate) examine the candidate.

**Commented [CMc1]:** This is not relevant for SHS but have left it here if the plan is to have a university-wide guideline as may be relevant for other schools and in this case indeed, other forms may need to be noted.

## **5. Before being admitted to the degree of PhD by Publication, the candidate must:**

- 5.1. Submit a proposal including:
  - the proposed list of publications for submission
  - an explanation of how they form a coherent body of significant findings
  - an outline of the critical analysis piece to be submitted for examination
  - an account of the candidate's contribution to any jointly authored work submitted
- 5.2. satisfy the Research Degrees Committee that the proposed body of work for submission is likely to be considered by examiners as sufficient quality to be comparable with the award of the degree of PhD by other routes
- 5.3. Provide details of referees who can comment on the quality of the candidate's research and their contribution to any joint research activities to be submitted.
- 5.4. The number of articles to be submitted shall not be fixed but will normally consist of at least six substantial publications of suitable quality
- 5.5. For consideration of suitable quality, the committee may use overall equivalence to REF 3 or 4\* standards as a guideline, taking into account that different types of publication or output may be considered.

## **6. During the period of registration a candidate shall:**

- 6.1. prepare the final list of the publications on which the assessment for the degree is to be based;
- 6.2. prepare a critical analysis of the work submitted (normally no more than 20,000 words). This should place the work in its overall context, demonstrate the coherence and contemporary relevance of the work, describe the implications of the work for future research and critically evaluate the strengths and weaknesses of the work and its overall contribution to knowledge.
- 6.3. make a presentation relating to their work to their department. This presentation will not be assessed but will be mandatory.

## **7. General submission requirements**

- 7.1. work for which a degree or other qualification has been awarded may not be submitted, except for supporting evidence within an appendix.
- 7.2. within the submission there will be a clear statement from the applicant stating their contribution to each co-authored publication, in particular relating to the design, conduct, analysis and publication; this should be signed off by all the authors involved (unless unavailable). At least one co-author per published work must sign the statement.
- 7.3. Submissions should be in English. Where work published in a language other than in English is included in the submission a copy in English must be provided.