Postgraduate Research – Degree of Doctor of Philosophy (PhD) by Published Work Regulations

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A. Eligibility

To be eligible to submit for the degree of PhD by Published Work, candidates must be a substantive member of staff at The University of Manchester, must not hold an honorary contract, and must have held their post continuously for at least five years at the point of first submission. Any exceptions to the five-year continuous employment requirement must be approved by the Associate Dean for Postgraduate Research.

B. Application / Admission to the Degree

1. Staff members who intend to submit for a PhD by published work must seek approval from the relevant Faculty Doctoral Academy. This process ensures their eligibility and confirms that their published material meets the necessary criteria before they proceed with a formal submission.

2. Candidates should consult the relevant Faculty Doctoral Academy to determine whether there are any application deadlines to consider when preparing their application.

3. The application must include:

- a statement establishing the theme and/or hypothesis that connects the published works to be submitted (maximum 1,000 words);
- a statement about the nature and extent of the candidate's contribution to their field of study (maximum 1,000 words);
- a list of the publications the candidate intends to submit alongside a statement, in the case of multi-authored, joint or collaborative work, of the extent of the candidate's own contribution. It is expected that the candidate will normally have been the primary author;
- a brief justification as to why registering on a PhD programme is not appropriate;
- evidence to demonstrate that the candidate has developed skills at a level commensurate with those normally associated with PhD training programmes at The University of Manchester (this may be incorporated into the curriculum vitae);
- a curriculum vitae.

4. The application should be submitted to the appropriate Faculty Doctoral Academy for consideration. The application will be considered by the relevant Research Degrees Panel.

5. Candidates are expected to hold a contract that extends beyond the full period of registration and remain in post until award.

6. If the application is approved, an academic supervisor will be appointed by the Research Degrees Panel in liaison with the Head of School or PGR Director as appropriate. The candidate will then be instructed to register for the degree of PhD by published work. A maximum registration period of 12 months is allowed.

7. The supervisor's role is to provide guidance to the candidate on the selection of published works to be incorporated in the thesis and the development of the accompanying critical review statement. The supervisor will also nominate suitable examiners for the thesis. The

supervisor should be a senior member of the academic staff of the University who is familiar both with the standard required and with the candidate's field of work.

8. If the application is rejected, candidates may not put forward a new case until a period of 24 months has elapsed since their original application.

C. Registration and Fees

9. If the application is approved a fee is payable upon registration for the degree.

D. Duration of the Degree

Candidates must submit their thesis within a maximum 12 month registration period.

10. Where candidate employment ends unexpectedly prior to award, the relevant Faculty Research Degrees Panel may permit continuation, subject to confirmation that eligibility criteria were met at admission and that appropriate supervision, access to materials, and any necessary permissions can remain in place.

11. Extensions to the standard registration period may be granted in cases where mitigating circumstances have significantly impacted the candidate's ability to progress. Such circumstances must be exceptional, unforeseen, and beyond the candidate's control e.g. serious illness or injury. Candidates experiencing such circumstances are expected to notify their academic supervisor and the Faculty Doctoral Academy as soon as possible. Early communication is essential to ensure appropriate support and timely consideration of any extension requests.

E. Content and Length of Thesis

12. A significant proportion of the work presented must have been carried out while the candidate was employed as a member of staff at the University.

13. Normally, only work published in scholarly books and journals will be eligible for consideration. However, the examiners may, at their discretion, take into consideration other scholarly work. All work must be traceable in ordinary catalogues and must have been published in such a way as to be generally available for consultation by scholars or other interested persons.

14. The work must constitute a body of publication tending towards a coherent thesis, rather than a series of disconnected publications.

15. The candidate must demonstrate that they have played a major role in directing the work. It is expected that the candidate will be lead or major contribution author in a substantial number of the publications submitted. In case of uncertainty, potential candidates are advised to consult the PGR Director in their School/Division.

16. Published work submitted for the degree must be substantially different from any work which may have previously been submitted for any degree at this or any other institution.

17. PhD by published work theses must normally be in English. Brief quotations may be made in other languages. Only in exceptional cases will a candidate be allowed to submit in another language and only with approval from the Faculty Associate Dean.

18. The number of papers included in the PhD by published work thesis may vary according to discipline and is not prescribed but should reflect the quantity, quality and originality of research and analysis expected of a candidate submitting a standard doctoral thesis.

F. Presentation of Thesis

19. The thesis shall comprise the following items presented in the order given:

i. **Title page** which must give the following information (see also appendix 1):

- the full title of the thesis;
- a statement as follows: 'A thesis submitted to the University of Manchester for the degree of Doctor of Philosophy (PhD) in the Faculty of .....'
- candidate's name
- the year of submission.

ii. **Contents list.** A list of contents, giving all appropriate sub-divisions of the thesis and a page number for each item.

iii. **Abstract.** A short abstract of the contents of the thesis.

iv. **Declaration.** A declaration must be completed and included in the candidate's thesis. This declaration requires the candidate to state (see also appendix 2):

- the nature and extent of the candidate's own contribution and the contribution of co-authors and other collaborators to each of the publications presented;
- what proportion of the work presented has been completed whilst the candidate has been a member of staff of this University;
- whether any (and if so, which) of the work presented has been submitted in support of a successful or pending application for any other degree or qualification of this or any other University or of any professional or learned body.

v. **Copyright statement.** The following four notes on copyright and the ownership of intellectual property rights must be included as written below:

- The author of this thesis (including any appendices and/or schedules to this thesis) owns certain copyright or related rights in it (the "Copyright") and s/he has given The University of Manchester certain rights to use such Copyright, including for administrative purposes.
- Copies of this thesis, either in full or in extracts and whether in hard or electronic copy, may be made only in accordance with the Copyright Designs and Patents Act 1988 (as amended) and regulations issued under it or, where appropriate, in accordance with licensing agreements which the University has from time to time. This page must form part of any such copies made.
- The ownership of certain Copyright, patents, designs, trademarks and other intellectual property (the "Intellectual Property") and any reproductions of copyright works in the thesis, for example graphs and tables ("Reproductions"), which may be described in this thesis, may not be owned by the author and may be owned by third parties. Such Intellectual Property and Reproductions cannot and must not be made available for use

without the prior written permission of the owner(s) of the relevant Intellectual Property and/or Reproductions.

- Further information on the conditions under which disclosure, publication and commercialisation of this thesis, the Copyright and any Intellectual Property and/or Reproductions described in it may take place is available in the University IP Policy, in any relevant Thesis restriction declarations deposited in the University Library, The University Library's regulations and in The University's policy on Presentation of Theses.

vi. Statement containing:

- particulars of the candidate's degrees, other qualifications and research experience, including all particulars required to establish eligibility under the University's regulations;
- a complete and numbered list of the publications submitted (grouped according to subject and type;
- an overall summary of the aims and achievement of the work, for which the publications submitted give evidence. This should not normally exceed 15,000 words and should outline their interrelationship and include reference to the work of others in the candidate's field. This critical appraisal of the work should review the current state of knowledge and research in the candidate's field and indicate how their work has contributed to that field. It should also comment on the standard of any journals and the reception of the publications as indicated by citations and review.

vii. Copies of each of the publications in its published form. A copy of each of the listed publications should be included in the thesis. Any digital materials that cannot be included in the thesis may be submitted separately but must be detailed in the online submission form. Please contact the relevant Faculty Doctoral Academy for advice on how to submit these additional digital items.

20. Double or 1.5 spacing in a font type and size which ensures readability must be used for the main text (for example 12-point font); single spacing may be used for quotations, footnotes and references.

21. It is suggested that the margins be wide enough to allow examiners to print and bind if they wish. The recommendation is: inside margin, 40mm; top and outside margins, 15mm; bottom margin, 15mm.

22. Page numbering must consist of one single sequence of Arabic numerals (i.e. 1, 2, 3 …) throughout the thesis, starting with the title page and must extend to cover all volumes in a multi-volume work. Roman numerals must **not** be used for page numbering.

23. Since the submission for a PhD by published work includes copies or offprints of journal articles, book chapters etc., which already have page numbers, the pages of the publications themselves will not be included in the pagination sequence of the submission. Candidates should insert a page before each publication on which is displayed the publication number, publication title, and the page number of the thesis. For example, if the publications section starts on p75, insert a page before the first publication on which the name and number of the publication and p75 are printed. The first publication will then follow, with its own pagination. Before the second publication insert another A4 sheet on which is printed the name and number of the second publication and p76, and so on.

24. Candidates may position their footnotes at the bottom of a page, at the end of each chapter, or at the end of the thesis.

25. Candidates should ensure that any non-digital materials that make up the thesis (e.g. video or audio tapes, computer software etc.) are of good quality and able to be stored without excessive deterioration. These should also be detailed on the online submission form when submitting the thesis. Please contact the relevant Faculty Doctoral Academy for advice on how to submit these items.

G. Thesis Submission

26. Candidates are required to submit a single electronic copy of the thesis for examination. A final electronic version should be submitted post examination. Printed submissions are not required.

H. Examination Panel

27. There will normally be two external examiners and no internal examiner. A member of staff of the University will be appointed to act as independent Chair for the oral examination; if suitable, this should be the candidate's supervisor.

28. The Chair should be a member of salaried academic staff at the University (senior lecturer or above). In exceptional circumstances, Emeritus Professors may be appointed as Chair (without pay) where they have continuous and substantial involvement with the University and the field of research.

29. External Examiners should:

    - normally, be senior in status to the candidate;
    - have expertise in the area of work to be examined;
    - be experienced in research, and have recently published, or have equivalent professional experience;
    - have considerable experience as an examiner for a postgraduate research degrees;
    - hold a postgraduate research degree at the level he/she is examining, or have equivalent professional experience
    - hold/have held an appointment within the university system, although it is permissible to appoint an appropriate person from outside the university sector; e.g., a senior industrial scientist or professional practitioner who is aware of the standards required. Retired academic staff from the University may be appointed as external examiners as long as they are still active in their field.

30. The Associate Vice-President for Graduate Education will consider exceptions to the normal criteria if a case is made by the appropriate Faculty Associate Dean for PGR at the nomination stage.

31. The external examiner must not:

- have had any collaboration with the candidate or have given any substantive advice to the candidate on his/her research;
- be either a current or former member of staff of The University of Manchester or its affiliated colleges unless at least six years have elapsed since he/she relinquished the post;
- be a former higher degree student of The University of Manchester or
- its affiliated colleges unless at least six years have elapsed since the degree was conferred;
- normally be invited on a regular basis (more than once a year) to examine postgraduate research degrees at The University of Manchester.

32. It is the responsibility of the external examiner to disclose any significant personal, financial or professional relationship with the candidate.

33. External examiners who have a close personal or professional relationship with the candidate's academic supervisor should be avoided to prevent a potential conflict of interest.

34. Academic supervisors should not use the same external examiners for their students within a three-year period, except with the express permission of the appropriate School or Faculty Doctoral Academy.

35. Visiting academic members of staff may act as external examiners where they fulfil all the other criteria for appointment.

I. Nomination of Examiners

36. When the appropriate Faculty Doctoral Academy receives notification of the candidate's intention to submit for examination, the academic supervisor is asked to nominate examiners. Nominations for examiners should be made on the Nomination of Examiners Form which is available from the Faculty Doctoral Academy.

37. The academic supervisor is advised to approach the examiners before they are formally nominated to check that they are prepared to accept the appointment.

38. The nominated examiners must be approved by the appropriate research degrees panel.

39. Once the examiners have been approved, the Faculty Doctoral Academy will send formal offers of appointment to the examiners and give their details to the candidate.

J. Examiner and Independent Chair Duties

40. The duties of the external examiners are:

- to identify the main points to be raised at the oral;
- to undertake the oral examination;
- to make a recommendation on the award of the degree;
- to approve any corrections completed

K. Examiner Fees and Expenses

41. Fees for external examiners are specified in the offer of appointment letter. Payment is made when the examination result has been confirmed by the appropriate research degrees panel. There is no fee for the independent Chair.

42. Travel is reimbursed for the actual cost of standard class public transport. Approval for travel by car will be granted if the use of public transport is genuinely not possible; a full explanation must be provided. All claims should be made on university claim forms. Expenses should be claimed within two months of the expenditure being incurred.

43. Chairs may claim expenses at their usual rates, only if the oral examination is not held at their usual place of work.

L. Oral Examination

44. Arrangements for the oral examination are made by the independent Chair. As soon as possible after receipt of the thesis, the Chair should contact the external examiners and the candidate to arrange a mutually agreeable time and place for the oral examination.

45. Examiners must each complete a separate Pre-Oral Report Form after reading the thesis and before discussing the thesis with each other.

46. The Pre-Oral Report Form allows examiners to:

- clarify their preliminary judgement on the thesis for discussion with the co-examiner at the pre-oral meeting;
- provisionally recommend an award based on evidence provided in their written evaluation;
- identify priorities and points for discussion at the oral;
- identify corrections required, thereby saving time after the oral examination (even if corrections change as a result of the candidate's performance or the views of the other examiner).

47. Examiners should send their completed Pre-Oral Report Forms to the appropriate Faculty Doctoral Academy no less than 10 days before the date of the oral examination.

48. The examiners must exchange copies of their pre-oral reports either shortly prior to or at the pre oral meeting.

49. The Chair and the examiners should meet before the oral to confirm the structure of the questioning and the main points to be raised.

50. Examinations usually last two to three hours depending on the nature of the published work. The oral should cover all aspects of the published work, including the candidate’s contribution and confirm that the thesis is the candidate's original work.

51. The candidate should be given the opportunity to comment on any adverse points and on any revisions which the examiners intend to recommend.

52. When the examiners have made their decision, they may communicate it to the candidate, making it clear that their recommendation is provisional, until approved by the appropriate research degrees panel. If they decide not to tell the candidate the outcome, and to avoid any possible misunderstanding, the candidate must, at the end of the oral examination, be given a clear indication of the procedure by which they will be notified of the outcome and the likely timescale. Examiners should not feel under any obligation to communicate their recommendation to the candidate at this stage.

53. The examiners may recommend:

- the award of the degree (Recommendation Ai)
- the award of the degree subject to specified minor revisions of the statement (Recommendation Aii)
- that the degree is not awarded to the candidate (Recommendation Civ).

54. If the examiners recommend not to award the degree, they should indicate whether it is the standard of the work submitted and/or its quality/volume that is at fault. The examiners may recommend that the candidate be allowed to resubmit for the degree at a future date. No candidate may submit for examination for this degree within three years of a failed examination.

55. The completed joint Examiners' Report Form must be returned to the appropriate Faculty Doctoral Academy.

56. The individual corrections required should be listed in section four of the Examiners' Report Form and, once carried out, must be approved by the examiners. There is no need to hold a further oral examination. The time needed to make these corrections must be no more than four weeks, but exceptionally no more than twelve weeks from the date the candidate receives the list of corrections required.

57. Minor permissible revisions to the preliminary papers and statement include:

- typographical errors;
- minor amendments and/or replacement of, or additions to, the text, or to references or diagrams;
- other, more extensive, corrections may be made as long as they do not require major re-working or re-interpretation of the intellectual content of the thesis.

58. When the examiners are satisfied that the corrections have been made, they should sign off section four of the Examiners' Report Form and return the form along with a copy of the corrected thesis to the appropriate Faculty Doctoral Academy.

59. Once the corrections have been endorsed by the appropriate research degrees panel, the candidate must submit an electronic copy of their final thesis into the University of Manchester electronic thesis submission system.

60. The decision to award a PhD by published work is taken by the appropriate research degrees panel on the basis of the joint examiners' report and recommendation.

61. When the panel has made its decision, the appropriate Faculty Doctoral Academy sends written notification of the examination result to the candidate.

62. The formal exam result letter, together with a copy of the examiners' report is copied to:

- the examiners
- the candidate's supervisor
- the head of School/discipline.

Appendix 1 (Sample Title Page):

TITLE OF THESIS

A thesis submitted to The University of Manchester for the degree of
Doctor of Philosophy (PhD by Published Work)
in the Faculty of .....

YEAR OF SUBMISSION

CANDIDATE'S NAME

Appendix 2 (Sample Declaration):

University of Manchester

PhD by Published Work Candidate Declaration

Candidate Name: Faculty:

Thesis Title:

Declaration to be completed by the candidate:

Please describe briefly:

1. the nature and extent of your own contribution and the contribution of co-authors and other collaborators to each of the publications presented

2. what proportion of the work presented has been completed whilst the candidate has been a member of staff of this University;

3. whether any (and if so which) of the work presented has been submitted in support of a successful or pending application for any other degree or qualification of this or any other University or of any professional or learned body

Document Control Box	
Policy / Procedure title:	Degree of Doctor of Philosophy (PhD) by Published Work
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Next review date:	Oct 2030
Equality impact outcome:	
Related Statutes, Ordinances, General Regulations:	Regulations for Postgraduate Researchers
Related policies/procedures/guidance etc.	https://www.staffnet.manchester.ac.uk/rbe/rdrd/code/
Policy owner:	Alex Hinchliffe, Research Degrees and Researcher Development Officer
Lead contact:	Alex Hinchliffe