

Guidance for the PhD by Published Work

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Research Office Graduate Education Team

FAILURE TO FOLLOW THESE INSTRUCTIONS MAY RESULT IN THE FACULTY REJECTING THE THESIS FOR EXAMINATION

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1. Introduction

This document outlines the application, submission and examination procedures for the award of Doctor of Philosophy by published work. If candidates have any queries or require advice, they should contact the appropriate graduate office.

FAILURE TO FOLLOW THESE INSTRUCTIONS MAY RESULT IN THE FACULTY/SCHOOL REJECTING THE THESIS FOR EXAMINATION

2. Criteria for the Award of the Degree

The candidate's published work must:

- a) show evidence of making a significant contribution to knowledge in a particular field;
- b) show evidence of the capacity of the candidate to pursue further research without supervision;
- c) represent a coherent contribution to research in a given field at a level and scope equivalent to a standard PhD thesis.

3. Application Procedure

3.1 Eligibility

To be eligible to submit for the degree of PhD by published work a candidate must be a current member of staff, and not on an Honorary contract, at the University of Manchester who has been in post for at least five years at the time of first submission. In addition, 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.

NB: The PhD by published work is not offered as an alternative to the traditional programme of PhD study. This degree is an option for staff who may have entered higher education mid-career or who are in more practice based professions and did not, therefore, have the opportunity to follow the conventional route of research and training.

3.2 Admission and registration

Members of staff wishing to apply for a PhD by published work are required to obtain approval from the appropriate School or Faculty. The purpose of this is to ensure that they are eligible to apply for the degree and can present appropriate published material in a suitable manner, before preparing their formal submission.

Candidates should check whether there are any application deadlines with the appropriate graduate office.

The application must include:

- a) a statement establishing the theme and/or hypothesis that connects the published works to be submitted (maximum 1,000 words);

- b) a statement about the nature and extent of the candidate's contribution to their field of study (maximum 1,000 words);
- c) 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.
- d) a brief justification as to why registering for a full PhD programme is not appropriate
- e) 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*).
- f) a brief *curriculum vitae*.

These documents should be submitted to the appropriate graduate office (see Appendix 1) for consideration.

The application will be considered by the relevant School/Faculty Research Degrees Panel.

If the application is approved, an academic advisor 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.

The advisor'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 advisor will also nominate suitable examiners for the thesis. The advisor 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.

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.

3.3 Fee

Only existing members of staff are eligible to apply for the PhD by published work. The fee for PhD by published work can be found on the [Crucial Guide fee pages](#).

4. Notification of Submission

The candidate is required to give the appropriate graduate office three months' notice of her/his intention to submit. Notification should include confirmation of the doctoral title and a provisional date for submission. *Notice of Submission Forms* are available from the appropriate graduate office.

5. Submission

5.1 Format of the thesis

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.

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. It is expected that the candidate's contribution to the papers will demonstrate that they have played a significant role in developing and directing the research. In case of uncertainty potential candidates are advised to consult the PGR Director in their School/Division.

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

a. Title page which must give the following information (see Annex 1 for a sample):

- 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' (please refer to *University Regulation X* for a list of correct Faculty titles. Regulations can be found at: <http://www.manchester.ac.uk/medialibrary/governance/generalregulations.pdf>);
- candidate's name
- the year of submission.

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

In a multi-volume thesis the contents page in the first volume must show the complete contents of the thesis, volume by volume, and each subsequent volume must have a contents page giving the contents of that volume

c. Abstract. A short abstract of the contents of the thesis must be inserted into the work. The abstract must be typed using a font size of not less than 12 point, with single spacing, and must not exceed more than one side of A4. A loose copy of the abstract is also required and must be handed in with the candidate's thesis.

The loose abstract should also include the following information:

- Name of the University (The University of Manchester);
- The Candidate's full name;
- Degree Title;
- Title of the thesis;
- Year.

d. Declaration (see Annex 3 for sample declaration). A declaration must be completed and bound in with the candidate's thesis. This declaration requires the candidate to state:

- i. 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;
 - ii. what proportion of the work presented has been completed whilst the candidate has been a member of staff of this University;
 - iii. 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.
- e. **Copyright statement** - The following four notes on copyright and the ownership of intellectual property rights must be included as written below:
- i. 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.
 - ii. 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.
 - iii. The ownership of certain Copyright, patents, designs, trade marks 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.
 - iv. 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 (see <http://documents.manchester.ac.uk/DocuInfo.aspx?DocID=487>), in any relevant Thesis restriction declarations deposited in the University Library, The University Library's regulations (see <http://www.manchester.ac.uk/library/aboutus/regulations>) and in The University's policy on Presentation of Theses
- f. **Statement** containing:
- i. particulars of the candidate's degrees, other qualifications and research experience, including all particulars required to establish eligibility under the University's regulations;
 - ii. a complete and numbered list of the publications submitted (grouped according to subject and type);

- iii. 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 reviews.

g. Copies of each of the publications in its published form. A copy of each of the listed publications should be included in the thesis. Items, such as books, which cannot be included in a bound volume may be submitted separately; two clearly identified copies of such items must be submitted. If candidates are awarded a PhD by published work, these items will be kept by the University Library.

5.2 Language

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

5.3 Presentation of the thesis

The statement and other preliminary pages must be presented on good quality A4 paper. Candidates may use both sides of the paper.

Double or 1.5 spacing in a font type and size which ensures readability must be used for the main text (for example 10 point in a font such as Arial, Verdana, Tahoma and Trebuchet or 12 point in Times, Times New Roman, Palatino and Garamond); single spacing may be used for quotations, footnotes and references. Pages may be all single or all double sided but not a mixture of the two.

The margins must be wide enough to allow for binding. The minimum requirement is: inside margin, 40mm; top and outside margins, 15mm; bottom margin, 15mm.

Page numbering must consist of one single sequence of Arabic numerals (ie 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.

Note on numbering the pages of the publications section:

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 sheet of A4 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 an A4 sheet before the first publication on which is printed the name and number of the publication

and p75. 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.

5.4 Footnotes

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

5.5 Binding the thesis

The University will accept for examination PhD by published work theses submitted in temporary soft-binding in addition to submission of theses bound in the normal way which is sewn and hardbound.

The two approved binding options are listed below. Theses in ring binding, spiral binding or any other non-approved bindings will not be accepted.

Standard hard-binding: sewn, with gold lettering on the spine.

Temporary soft-binding: acetate or plain card front cover, soft plain card rear cover, glued spine, or channel bound, with gold lettering on the spine.

The wording on the spine must show:

- the degree for which the thesis is being submitted;
- the name of the candidate;
- the year of submission; and
- if the thesis is in two or more volumes, the volume number and the total number of volumes (*please note that it is not recommended that any single volume of a thesis is thicker than approximately 6cm - if it is greater than this, it is recommended that the work is split into two or more volumes.*)

These must run from the top of the spine. Please note that writing on the spine with a gold pen is NOT acceptable.

Example of Spine:

Front Cover

PhD <i>(at top)</i>	GILBERT K CHESTERTON <i>(centred)</i>	Vol I of II <i>(as and if appropriate)</i>	2007 <i>(at bottom)</i>
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Back Cover

5.6 Non-print items

Candidates should ensure that any non-print items (eg video or audio tapes, computer software etc) are of good quality and able to be stored without excessive deterioration. Any non-print items must be bound into a pocket at the back of the pre-examination thesis and/or contained within a box file with the

thesis. If candidates are awarded a PhD by published work, these items will be kept by the University Library.

5.7 Submitting the thesis

Candidates must submit **two** pre-examination paper copies of both the thesis and any additional material, as well as a loose copy of the abstract.

When the candidate submits the thesis it is forwarded to the examiners by the appropriate graduate office.

The final version of the thesis post examination should only be submitted in electronic format; a print submission is not required.

6. The Examiners

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 advisor.

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.

6.1 Appointment criteria for external examiners

Examiners should:

- a) normally, be senior in status to the candidate
- b) have expertise in the area of work to be examined;
- c) be experienced in research, and have recently published, or have equivalent professional experience;
- d) have considerable experience as an examiner for a postgraduate research degrees
- e) hold a postgraduate research degree at the level he/she is examining, or have equivalent professional experience
- f) hold/have held an appointment within the university system, although it is permissible to appoint an appropriate person from outside the university sector; eg, 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.

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.

6.2 External Examiner restrictions

The external examiner must not:

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

6.3 Further regulations relating to external examiners

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

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

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 graduate office.

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

Examiners should be entirely independent of the candidate and each other and they should declare an interest if they:

- a) plan to employ the candidate
- b) plan to co-publish with the candidate
- c) are involved, or have been, with the candidate in a close personal relationship of any kind
- d) have a close professional or contractual relationship with any other member of the examination panel.

6.4 Nomination of Examiners

When the appropriate graduate office receives notification of the candidate's intention to submit for examination, the academic advisor is asked to nominate examiners. Nominations for examiners should be made on the *Nomination of Examiners Form* which is available from the graduate office.

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

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

Once the examiners have been approved, the graduate office will send formal offers of appointment to the examiners and give their details to the candidate.

7. Duties of the Chair and Examiners

7.1 Duties of the Independent Chair

The duties of the Independent Chair are:

- a) to make arrangements for the oral examination and inform the appropriate graduate office;
- b) to chair the oral examination and the pre-oral meeting;
- c) to ensure that the examination is conducted according to the University's regulations and procedures;
- d) to ensure that the PhD by published work *Examiners' Report Form* is completed and signed by both the examiners at the end of the oral. This should include a report on the oral and a recommendation on the award of the degree;
- e) to return the signed *Examiners' Report Form* and the examination copies of the thesis to the appropriate graduate office.

7.2 Duties of the external examiners

The duties of the external examiners are:

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

8. Fees and Expenses

[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.*

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.

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

9. The Oral Examination

9.1 Arrangements for the oral Examination

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.

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

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).

Examiners should send their completed *Pre-Oral Report Forms* to the appropriate graduate office no less than 10 days before the date of the oral examination.

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

The Chair and the examiners should meet before the oral to confirm:

- a. the structure of the questioning
- b. the main points to be raised at the oral

9.2 The scope and duration of the oral examination

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.

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

9.3 Informing the candidate of the recommendation

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 he/she 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.

10. Recommendations Available to Examiners

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).

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.

The examination copies of the thesis must be returned to the appropriate graduate office with the completed joint *Examiners' Report Form*.

11 Minor revisions

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.

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.

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 graduate office.

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.-

12. Approval of the Examination Result

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.

When the panel has made its decision, the appropriate graduate office sends written notification of the examination result to the candidate.

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

- a. the examiners
- b. the candidate's advisor
- c. the head of School/discipline.

ANNEX 1 - [Key Faculty and School contacts for applicants](#)

ANNEX 2 – 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

ANNEX 3 – 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

I confirm that this is a true statement and that, subject to any comments above, the submission is my own original work.

Signed: **Date:**