Guidance to Examiners of theses submitted for the award of PhD by Published Work
(to be read alongside Part III of the Guide to Examinations of Higher Degrees by Research)

Requirements of the award

To satisfy the requirements of the degree of PhD in Published Work, the submitted material must constitute a substantial original contribution to knowledge. The material shall be clearly and concisely written and well-argued. The covering document shall explain the inter-relationship between the material presented and the significance of the published works as a contribution to original knowledge within the relevant fields. It shall contain a full bibliography of all the work published by the candidate.

A candidate must submit for examination two copies of material from a nominated field of study together with a covering document of 5,000 - 10,000 words. The covering document must explain the inter-relationship between the material presented and the significance of the published works as a contribution to original knowledge within the relevant fields. In addition, the covering document must include, as an appendix, a full bibliography of all the work published by the candidate. A candidate may include with their submitted material work that has not been published only with the prior approval of the Chair of the Board of Graduate Studies.

Candidates are required:

- to declare that the submitted material as a whole is not substantially the same as published or unpublished material that they have previously submitted, or are currently submitting, for a degree, diploma, or similar qualification at any university or similar institution;
- to state which parts if any of the work or works submitted have previously been submitted for any such qualification; and
- where the work submitted includes work conducted in collaboration with others, to provide a written statement on the extent of the candidate’s individual contribution to the material and the conditions and circumstances under which the work was carried out. This statement should normally be signed by all collaborating parties.

The material submitted shall be examined by two external examiners appointed by the Chair of the Board of Graduate Studies on the recommendation of the Head of the appropriate Department or School. In the case of collaborative work the examiners must satisfy themselves that the submitted material attributed to the candidate constitutes a substantial original contribution to knowledge.

A candidate shall be required to undergo an oral examination which shall be on the submitted material itself and the related general field of study.

The examination and appeals processes set out in the Regulation on Research Degrees apply to submissions for the degree of PhD by Published Work.

Recommendations available to examiners

Regulation 38.8 sets out the recommendations open to examiners of research degrees. Further clarification on the use of each recommendation in relation to theses submitted for PhD by Published Work is set out below:

- Award Degree in Question

  “That the degree be awarded”
This recommendation should be chosen if the candidate has met all the requirements for the degree and the thesis is essentially free of typographical errors.

- **Pass with Minor Corrections**

  “That the degree be awarded, subject to minor amendments or corrections as defined below. In this instance, the examiners should advise the student of the required corrections and the deadline.”

In the case of a PhD by published work, the examiners may require minor amendments to the covering document only. Minor amendments or corrections must be completed by the candidate to the satisfaction of the nominated external examiner. Minor corrections should consist of the correction of typographical errors, minor errors of logic or referencing. The examiners must specify the time available for completion of the corrections, up to a maximum of three months. The nominated external examiner shall ensure that the one copy of the covering document has been amended.

Examiners are asked to list the ‘Minor Corrections’ as a separate, jointly agreed accompaniment to their report. Examiners do not need to attach a list of typographical corrections to the reports, but may choose instead to annotate a copy of the covering document if this is more convenient. However, any other corrections should be included within the jointly agreed list attached to the examiners’ reports.

Examiners may recommend the award of the degree without delay, so long as the thesis is corrected before deposition in the University Library. The nominated external examiner is requested to confirm that the corrections have been carried out to his or her satisfaction and the degree cannot be awarded until this has been confirmed in writing to the Graduate School.

Alterations of a more substantial nature will require resubmission of the thesis, which will need to be completed within 12 months or such shorter period as recommended by the examiners (see below).

- **Major Corrections (available to examiners undertaking vivas on or after 2 October 2017)**

  “(First submission only, not available for a resubmitted thesis). That the degree be awarded, subject to major amendments or corrections as defined below. In this instance, the examiners should advise the student of the required corrections and the deadline.”

In the case of a PhD by published work, the examiners may require minor amendments to the covering document only. Major amendments or corrections must be completed by the candidate to the satisfaction of at least one examiner (usually the internal examiner, where appointed). Major corrections should not entail a significant amount of further research or analysis and is normally offered where the candidate has satisfied the examiners that the research/analysis has been undertaken, but has failed to be fully articulated in the thesis. The examiners must specify the time available for completion of the corrections, up to a maximum of six months. At least one examiner, usually the internal (where appointed) shall ensure that the one copy of the thesis has been amended.

Examiners are asked to list the ‘Major Corrections’ as a separate, jointly agreed accompaniment to their report.

Alterations of a more substantial nature will require resubmission of the thesis, which will need to be completed within 12 months or such shorter period as recommended by the examiners (see below).
• **Resubmission of Thesis**

“That the degree be not awarded, but that the student be permitted to submit a revised thesis. The examiners must set a deadline for resubmission of the thesis, within a maximum of 12 months from official notification by the University. In the case of a PhD by published work, the examiners may permit the submission of a revised covering document and/or a different selection of published material”

A candidate should normally be allowed to resubmit a revised covering document and/or a different selection of published material if it contains work which is adequate in substance but which requires greater revision than permitted under Minor Corrections but still can be completed within 12 months. Where, however, faults are found in the substance of the work, resubmission should be allowed only if the thesis is generally acceptable, faults notwithstanding, and where the substitution of published material is not so different to the original material as to constitute virtually a new thesis. On resubmission, the examiners will have available the same range of recommendations as in the original submission, except that a candidate will not be permitted a further resubmission.

If resubmission is recommended, examiners are required to supply the Graduate School with a jointly agreed note providing details on the points of which the candidate needs to take account when revising the covering document and/or submitting a different selection of published material, and in a form suitable for giving to the candidate. It is important that the candidate is given clear and non-contradictory guidance on the revisions required and therefore that a single note is jointly agreed by the examiners. This note should be attached to the examiners’ reports (but be separate from them) and will be forwarded to the candidate by the Graduate School once the examiners’ recommendations have been approved. Examiners should also specify in their recommendation the length of time which the candidate has for the resubmission. This is at the discretion of the examiners up to a maximum period of 12 months.

Examiners may advise but not require a candidate to resubmit a thesis for a lower degree. Candidates can be permitted to submit a revised covering document and/or a different selection of published material for a degree of lower status providing the thesis is generally acceptable for the lower degree, faults notwithstanding, and where the substitution of published material is not so different to the original material as to constitute virtually a new thesis. A recommendation to resubmit for a lower degree will be advisory only and will not be binding on the examiners at the time of resubmission. A candidate will be permitted to resubmit on only one occasion for the degree in question. Notes of guidance should be provided as indicated above.

• **Award Lower Qualification**

“That a degree of lower status be awarded. The degrees available are listed below. The award of a degree may be subject to minor amendments as defined below. In this instance, the examiners should advise the student of the required corrections.”

PhD by Published Work candidates whose theses clearly do not meet the requirements for the degree for which the thesis was submitted and who are considered unable to bring the thesis up to an acceptable standard within the 12 month period allowed for resubmission may be considered for the award of a lower degree of MPhil or the appropriate Masters degree by Research.

If award of the lower qualification is subject to minor amendments to the covering document, these must be completed by the candidate to the satisfaction of nominated external examiner. Minor corrections should not entail a significant amount of further research or analysis. The
examiners must specify the time available for completion of the corrections, up to a maximum of three months. The nominated external examiner shall ensure that the one copy of the thesis has been amended.

- **Failing the Candidate**

  “*That no degree be awarded*”.

  This recommendation will only be made exceptionally and where the examiners deem the thesis of such poor quality as to make it unlikely that the candidate will be able to improve it to an acceptable standard for the award of any degree within the 12 month period allowed for resubmission.