

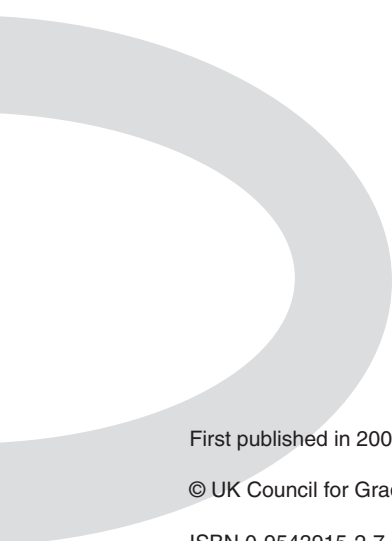


The Award of  
PhD by Published Work in the UK

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UK Council *for* Graduate Education





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# The Award of PhD by Published Work in the UK

## foreword

The UK Council for Graduate Education is an organisation established to promote the interests of graduate education in all disciplines in higher education institutions. The Council was established in 1994 and has over 129 institutional members. This report on the award of the degree of PhD by published work is one of a series of publications investigating key issues in graduate education.

In 1996 a report into the PhD by Published Work, prepared by Professor Keith Wilson, was published by UKCGE. Nine years on and as part of its centenary celebrations the Council decided to revisit the topic and produce an update of that original report. This second report was prepared by Professor Stuart Powell, University of Hertfordshire, following a survey of the Council's member institutions. The stated aim in 1996 had been to "*assist institutions to consider ways in which this kind of doctoral work can be developed alongside other routes to the PhD while maintaining high quality and standards*" (UKCGE, 1996, p.2). This main aim is repeated in the current report.

The report compares the availability of the award at November 1995 (the census date for the 1996 report with the situation in 2004 and raises a number of key issues the Council believes are fundamental to the control of the quality of the award of PhD by this route. This information will be of use both for those currently offering the award and for those considering it.

In order to enable Professors Wilson (in 1996) and Powell (in 2004) to include up-to-date information about the award of PhD on the basis of published work questionnaires were sent to all UK Council member institutions. The Council would like to thank all those who responded to the questionnaires.

*June 2004*

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# preface

This report is concerned with the award of a doctorate on the basis of published works submitted by a candidate. It focuses in particular on the distinctive route to the PhD commonly known in the UK as the PhD by Published Work. However, it extends the brief of the original 1996 report by considering the place of publications in PhD submissions more generally (i.e. those that are not clearly delineated in institutional regulations) and sets this latter in a European context, making use of the UKCGE report of 1998 on the 'Status of Published Work in Submissions for Doctoral Degrees in European Universities' (UKCGE, 1998).

In its original conception this current report was to take the same distinction regarding the PhD by Published Work as had been taken in 1996. That is, the UK Council for Graduate Education (UKCGE) surveyed Higher Education Institutions in the UK with regard to a situation where the regulations for the award are distinct from those governing the award of a PhD on the basis of supervised research. However, where the 1996 report had characterised the PhD on the basis of published work as lacking the "*requirement for a formal registration period, approved supervision and training programme*" (UKCGE, 1996, p.4), this current report encompasses variations on this characterisation which might or might not include such aspects.

As in 1996, this second report summarises the findings of the national survey of the regulations governing the award of the degree in question and is presented as a discussion paper to stimulate further debate on the award.

# 1 background

## 1.1 Historical Context

### 1.1.1 Publication as a Doctoral Criterion

A central tenet of doctoral research is that the work achieved should have an impact on other knowledge in the field and that the candidate should be able to understand that impact, present it clearly and defend it against peer critique. In this sense 'going public' is a necessary part of doctoral study and assessment; indeed most UK universities would expect the PhDs that they award to contain material that is of 'publishable quality'. Publication is then one of the criteria by which PhDs are judged.

Where publication, or the potential for publication, is seen as integral in this way in the UK it has not, typically, been seen as the sole route to a doctoral award. Doctoral dissertations or theses are made public in the due course of events but such publication has succeeded rather than preceded the doctoral examination. In many institutions publications may be included in a doctoral submission or appended to the submission as additional evidence but the distinction is still drawn between a PhD and a PhD by Published Work - these two awards are seen by most, but not all, as separate though related.

### 1.1.2 Origins and Genesis of the Doctoral Award Based on Publications

The concept of having a PhD submission wholly or largely based on published works has existed since the nineteenth century when in Germany it was a requirement of doctoral dissertations that they be printed and copies placed in all national university libraries. The genesis of the notion of 'publishability' and of 'going public' can therefore be traced to this requirement (see Simpson, 1983 for a fuller description).

The original UKCGE report into the PhD by Published Work (UKCGE, 1996) described the subsequent development of the degree and the main points of that description are summarised below.

- The concept of publishing doctoral dissertations was adopted in the USA in the early part of the twentieth century.
- Subsequently, in both mainland Europe and the USA the expense of printing the whole thesis eventually became a limiting factor in the award of the degree and the practice of making the award on the basis of published journal articles, book chapters or whole books emerged. Hence, the development of the degree was to some extent at least driven by a pragmatic interest in cost.
- Meanwhile in the UK there was a general reluctance to introduce the PhD (in any form) as there was an anxiety that it would undermine the well-established higher doctorates and, in the case of London,

masters degrees based on two years' supervised research. The United Kingdom Universities Conference of 18 May 1917 recommended the award of the PhD and the degree was first awarded by Oxford, albeit as DPhil (Simpson, 1983). The PhD was seen by the Conference as providing training for an academic career.

- The practice of having a PhD submission based on published works is well established in some European countries notably Belgium, Holland and Sweden, though in these countries it is not necessarily the sole content of a doctoral submission (this practice is revisited below).
- In the UK, the practice appears to have been taken up first by the University of Cambridge which set up a committee to report on the award of the degree of PhD in the early 1960's and took the decision to introduce the published work route in 1966. The original Cambridge regulations opened the degree to the alumni but excluded failed PhDs and prevented candidates from transferring from the conventional route. They required a compulsory oral examination and no college residence time (Simpson, 1983). The first submission was in the area of social anthropology. The Cambridge regulations (as current in 1996) have broadened these original eligibility criteria.

## 1.2 European Context

In 1998 the UKCGE published a report on the 'Status of Published Work in Submissions for Doctoral Degrees in European Universities' (UKCGE, 1998). Space in this current report does not permit a detailed exploration of the issues dealt with there. However, it is perhaps worthy of brief note that it was clear from the results of the survey reported in 1998 that academic institutions in many fellow European countries were sympathetic to, and saw virtue in, encouraging doctoral candidates to include published works as an integral part of their doctoral theses. Indeed, the report noted that, "*in a minority of faculties/universities, the regulations explicitly require the candidate to have published before submitting their thesis. The evidence from the survey indicates that this enthusiasm for encouraging candidates to pre-publish at least some of the results of their research in advance of their examination, has been led by scientists, particularly in universities in Northern and Eastern Europe. It is equally evident, however, that this enthusiasm is not confined to science as many replies from non-science faculties emphasised the importance attached to published work and expressed the intention to attach greater priority to it in the future*" (UKCGE, 1998, pgs 14-15).

The 1998 report goes on to note that many parts of Europe have adopted



regulatory structures that are typified by their flexibility in terms of the way in which a candidate's programme of study is carried out and the nature and content of his/her doctoral submission. As was suggested in 1998 and is evidenced within this current report, this flexibility is in contrast to the situation in many UK institutions where two models of PhD exist as separate entities - one based on an individual programme of research training leading to the submission of a doctoral dissertation which is defended at an oral examination and the other based on submitted published works. The separateness of the two sets of regulations appears to distinguish, for the most part, the PhD and the PhD by Published Work in the UK from the models of doctoral study prevalent in much of the rest of Europe.

## 2 introduction

### 2.1 The Two Surveys

#### 2.1.1 Census Points and Publication Dates

The first survey was undertaken in November 1995 and published in 1996. This second survey was undertaken in 2003, non-respondents were sent a further three reminders in 2004, and is published in 2004 (the final response rate was 80 out of 127 - i.e. 63%). Hence the first survey is referred to here as 1996 (its publication date) and the second survey as 2004. The questions asked in the second survey are given in Appendix 5.

#### 2.1.2 Consistency between the Two Surveys

The numbers of overall responses to the two surveys (1996 and 2004) were similar (73 and 80 respectively). However, there was a lack of consistency between those responding in the two surveys, i.e. some institutions replied to the first survey but not to the second and some to the second but not to the first. It is also clear that there have been changes to the relationship between institutions (e.g. in terms of awarding powers) and to the status of some institutions (e.g. gaining research degree awarding powers during the period between 1996 and 2004). The results of the 2004 survey in terms of those institutions offering or not offering the award are given in Appendix 1. Some questions were asked in 2004 that were not asked in 1996 - for example, relating to those institutions that allow publications as part of a research degree submission that is not defined as a separate route - i.e. not as 'by published work'. Responses to this particular question are included in Appendix 1 and are discussed below.

Where possible comparisons are made between the two reports - in these instances the points above need to be remembered and thus the differences that are noted should be seen as indicative rather than definitive.

#### 2.1.3 Consistency within the 2004 Survey

In responding to the 2004 questionnaire some institutions made responses to the main questions (e.g. about whether or not they offer the award) but not to some of the sub-questions. There is therefore some mismatch between the overall numbers given in Appendix 1 and some of the detail in Appendices 3 and 4 (where the responses of individual institutions are recorded). It was decided to enter into the various appendices all information that was offered - even where it was incomplete. Where figures are used in a comparative way in relation to

specific questions within the second survey, then comparisons are made in terms of the number of institutions responding to the particular question rather than in terms of numbers responding to the survey as a whole.

#### 2.1.4 **Presentation of Responses**

The responses from this current survey are presented in the same style as the responses in the 1996 version. However, because extra questions were asked, the responses have necessarily been separated out into two Appendices (3 & 4). In addition, the responses are listed in the categories of institution as indicated below that were not in common use in 1996.

#### 2.2 **Categories of Higher Education Institutions**

The 1996 report used the categories of: 'Traditional Universities, New Universities and Colleges'. The 2004 data which are presented in the Table in Appendix 1 make use of a slightly different set of distinctions, namely: pre-1960, 1960-1990 and post-1990. However, it can be noted that in 1996 the spread of Institutions offering the award of PhD by Published Work is fairly even between the 'traditional' and the 'new' universities (17 and 16 respectively) with just three of the, then, colleges offering the award. In the 2004 survey there is a shift to more 'new' universities (n=43 [67% of the total of those awarding the degree]) offering the award than the 'old' (n=21 [33% of the total of those awarding the degree]).

## 3 prevalence of the award

### 3.1 Changes in the Number of Institutions Offering the Award

#### 3.1.1 Increases in Use of Publications in Doctoral Submissions

There has been an increase in the number of institutions offering the award between the two surveys. In 1996 there were 37 such institutions from a total of 73 who responded (51%) and in 2004 there were 64 such institutions of the 80 who responded (80%). Caution needs to be used when interpreting these figures for the reasons given in the Introduction. Nevertheless there are indications that the award is becoming more common across the sector. Taking this with the indication of the number of institutions allowing published work to be part of a PhD submission that is not defined as 'by published work' (see section 5.1) it seems that published work in a general sense is figuring more largely in research degree submissions. Certainly there has been no movement indicated in the data from offering to not offering the award, i.e. of those institutions regulating their own research degrees who replied to both surveys - where they offered the award in 1996 they also offered it in 2004.

#### 3.1.2 Ongoing Changes

In the 2004 survey institutions were asked if they planned any changes in respect of the provision of the award (Question A5, see Appendix 5). Eight institutions indicated that change was likely or possible - most of these eight commented that their use of the award was under review or about to be reviewed, often as part of a review of research degrees more generally. One institution responded negatively to the question of planned changes but noted that it was currently reviewing its regulations and so some of its responses may change. In their 'further comments' three institutions noted either an increase in interest in the degrees from prospective candidates or that the degree was, for the institution itself, a 'new' award. Personal correspondence during the writing of this report has indicated interest in the development of the degree in a number of institutions that either do not have it available at present or that have it available but feel it to be under-used.

### 3.2 Number of PhDs by Publication Awarded

In the 1996 survey 31 institutions responded to a question which asked how many PhDs by Published Work had been awarded in the preceding two year period (1993-95). In the 2004 survey 49 institutions responded to a question about number of awards over a corresponding two-year preceding period (December 2000 to December 2002). The results are presented in Appendix 2.

In terms of total awards made in the census periods:

- in 1996 there were 52 awards of the PhD by Published Work made by the 31 responding institutions in the two years preceding;
- in 2004 there were 116 such awards made in a corresponding period by the 49 institutions responding.

Taken as 'means' this translates as a mean of 1.6 awards made per institution in 1996 as compared with a mean of 2.4 in 2004. It may be worthy of note that Cambridge awarded the greatest number of PhDs by Published Work in both surveys (18 in the 1996 survey and 11 in the 2004 survey)

Some of the detail of numbers of awards made per institution is given in Table 1.

**Table 1**  
**Number of Awards made during the Two-Year Period**  
**Preceding the Survey**

Number of awards made	1996	2004
	(31 institutions responding)	(49 institutions responding)
0	12	11
1-5	15	28
6-10	2	9
Over 10	2	1

Care needs to be taken when making comparisons between the two surveys because of the small numbers involved. However, some points of interest can be indicated.

**Institutions with the degree but not making awards.** The gross number of institutions that have the degree available with their regulatory frameworks but did not make awards of it within the census periods remains fairly static (12 institutions in 1996 as against 11 in 2004) though this represents a reduction in the proportion of institutions in this position. Therefore there are in 2004 fewer institutions than in 1996 that do not make the award despite having it available.

**Number of awards between one and five.** In 1996 the majority of institutions (15 out of 31 respondents) had made between one and five awards of the PhD by Published Work in the preceding two years, indeed ten of these institutions had made just one award each during the period (see UKCGE, 1996, Table 2, p.22 for details). The 2004 survey revealed a similar picture. Again the majority of institutions noted numbers of awards running at between one and five for the two-year period; indeed this majority was more clear-cut in 2004 than in the earlier 1996 survey.

**Number of awards between six and ten.** There is an indication of an increase in the proportion of institutions awarding between 6 and 10 PhDs by Published Work (2 out of 31 in 1996; 9 out of 49 in 2004).

As already noted, it is hard to draw any firm conclusions from the outcomes of the two surveys. Yet the responses of institutions do indicate that, while there has not been any marked change over the past eight years in the situation with regard to the awarding of PhDs by Published Work, if there is any trend at all it is towards the awarding of more of these degrees by a larger number of institutions.

## 4 fees

### 4.1 The Fees Situation in 1996

In the 1996 report it was noted, “*the submission and examination fee for the degree of PhD on the basis of published work showed very wide variation with a notable contrast between the traditional and new universities*” (UKCGE, 1996, p.8). The report also noted that in the ‘traditional’ sector the fee ranged from £115 to £729 with a mean of £330 while in the ‘new university’ sector the fees ranged from £200 to £2700 with a mean of £1180. Further, four institutions in the first category and one in the second did not charge a fee at all.

It was clear in the 1996 report that many universities operated a differential fee for the degree: with university staff either paying no fee or a substantially reduced one relative to the fee paid by other eligible candidates (this is, of course, the case with other university awards). Institutions operating a two-stage submission also reimbursed a substantial part of the fee if the candidate’s submission failed at the prima facie stage.

### 4.2 The Fees Situation in 2004

In the 2004 survey 23 institutions did not respond to the question related to fee level. Of the 13 institutions who responded from the ‘pre-1990’ sector the range was from £260 to £1640 with a mean of £722 while in the ‘post-1990’ sector the range was from £235 to £2940 with a mean of £1192.

### 4.3 Changes over the Eight Year Period (1996-2004)

Again, it is clearly difficult to make much of these findings because of the low response rate in 2004 and the fact that some institutions where the award is open to staff and for whom the fee is waived may have formed a significant part of the non-responding group. Also, some institutions charge an annual fee after an initial fee - hence it is impossible to know the true cost of the degree to the candidate. Nevertheless, what is noticeable in broad terms is that in the post-1990 sector there has been little change in the range of fees charged for the degree (in 1996: £200-£2700; in 2004: £235-£2940) while, in contrast, there has been a shift in the range within the pre-1990 sector (in 1996: £115-£729; in 2004: £260-£1640). In the latter sector the top of the range has more than doubled over the two surveys. Similarly, the mean cost in the pre-1990 sector has more than doubled (£330 to £722) over the period whereas in the post-1990 sector it has remained much the same (£1180 to £1192).

In short, accepting the limitations in the data, it seems reasonable to suggest that the pre-1990 institutions have tended to increase fees for the degree markedly since 1996 and yet are still offering the award at a lower cost on average than post-1990 institutions. In contrast, the post-1990 sector has, across the board, seen little change in level of fee for the award between the two surveys - what increase there has been is no more than can be accounted for by the rate of inflation.

#### 4.4 **The Basis for Fee Levels**

In his 1996 report, Professor Wilson recommended, “*this extraordinarily wide range of fees does call into doubt the rational basis on which the fee has been set and should encourage institutions to review their individual policies*” (UKCGE, 1996, p.8). Given that the wide range persists in the results of the 2004 survey then it seems reasonable to repeat his suggestion here. Certainly, it may seem that the way in which institutions levy a fee for the award indicates something about the way in which they perceive it in terms of what it requires from candidates and indeed from academic staff with the responsibility for assessing any prima facie stage, supervising or advising on any written critical appraisal of the publications and finally for examining the submission. Clearly, such academic input is in addition to the administrative costs of managing the award.

The situation in the UK has not therefore changed significantly in as much as the wide range of fees charged still exists and probably reflects a persisting wide range of interpretations of what the degree demands of candidates and of academic staff. This in turn reflects the kinds of varying interpretations of what the degree is being awarded for, that have been mentioned elsewhere in this report. If anything has changed at all it is in the doubling of the mean fee charged in the pre-1990 institutions.



# 5 the PhD by published work in relation to PhD

## 5.1 Place of Publications in PhD Submissions Generally

### 5.1.1 Published work as Part of a Submission

A question was included in the 2004 survey that had not been included in the earlier 1996 version (Question A4 - see Appendix 5). This related to whether or not institutions 'allow published work to be submitted as part of a research degree submission (i.e. without specifying the award as 'by published work')'. Thirty-four of those institutions who offer the specific, separate route of PhD by Published Work route responded that they also allow publications as part of a non-specific research degree submission. A further six institutions that do not offer a separate route responded that they allow publications to be included in submissions in this way. Thus 40 of the institutions that responded to the survey (50%) allow publications to be part of a research degree submission in one form or another. The current survey did not ask about any restrictions or stipulations regarding publications 'allowed' by institutions in this way and this is clearly important if this aspect of the whole situation is to be better understood.

### 5.1.2 Making the Contribution to Knowledge Available to Others

The historical overview given earlier in this report highlights one of the key tensions in terms of the relationship between publication and the award of a PhD. There is a measure of universal agreement in UK Higher Education Institutions (HEI's) that a PhD should be awarded on the basis that the candidate has contributed to knowledge in an area of intellectual endeavour. There is variation in the wording with some requiring the contribution to be 'significant' and others using 'understanding' rather than, or as well as, 'knowledge' but the underpinning value judgement being made is that the doctoral award of PhD means that the successful candidate can demonstrate that he/she has contributed to knowledge and is capable of continuing to do so in an independent, original way. For a body of work to be realised as a contribution in any real sense then it has to be available to others in the field - it has to be published in one form or another. For this reason, most institutions are wary of allowing theses to be held as confidential for other than a short period of time; there is a sense in which lengthy confidentiality runs counter to a main ethic of research which is about necessary dissemination of findings (recognising here the need for confidentiality in respect of some intellectual property rights where patents are pending etc). Yet some institutions do not allow publication of material to be submitted prior to examination for PhD, some allow published material to be referred to in the text of the PhD dissertation,

some allow such material to be appended to the dissertation while others allow published work to be included in the main body of the text. There is, then, some agreement about the importance of PhD level work being published or at least being of publishable quality but a lack of consistency about the place of published work in a PhD submission. Examiners may well be confused about the status of any published work in a PhD submission though relatively clear about the value of publication or publication potential.

## **5.2 The Nature of Study within the Two Kinds of PhD Award**

### **5.2.1 Supervising a Programme of Study**

It may seem strange to spend time in this report on the place of publications in the general PhD submission. But clearly, if the PhD by Published work is to be understood as a separate and distinctive kind of award then its relation to the PhD that is awarded for something other than publications needs to be addressed. If both kinds of award are closely tied to the notion that publication is an essential part of doctoral level work then it is important to understand why any distinction between the two awards is necessary at all. For many, the answer to this question is in the nature of the period of study rather than the nature of the assessment that follows that period. In the 'traditional' PhD there is a supervised programme of research - typically equivalent to three or four years of full-time study. However, in the PhD by Published Work this notion of supervision differs. In some cases it does not exist at all - the candidate binds together his/her published works and submits them for examination. In others, the candidate is supervised in the writing of a document that summarises or critically appraises the publications. The nature of this document differs across the institutions that responded to the survey. For example, the length of the document varies from 3000 to 25,000 words and it is referred to variously as: commentary, summary, report, synthesis, supporting statement, doctoral statement, critique, critical essay/review/appraisal/analysis. As well as differing in name this document seems to be seen to serve different purposes. Most commonly it is seen as a critical review of the collected publications.

### **5.2.2 Stating an Intellectual Position**

No institution used the term thesis in their response to the questionnaire yet there is a sense in which some responses suggest that the institution is requiring that the contribution to knowledge be summarised and subjected to a critical analysis. The wording used by quite a few institutions seems to imply that the candidate has to state the intellectual position that the publications lay claim to and then defend that position by argument. This is, of course, close to a working definition of what thesis means. Candidates for the PhD by Published Work are being asked in these latter cases to justify their implicit claim that their

publications do contribute to knowledge within the particular sphere and that they can summarise that contribution and defend it in the written document (and subsequently perhaps in an oral examination).

### **5.3 Locating the Contribution to Knowledge in the PhD by Published Work**

#### **5.3.1 The Publications and the Supporting Document**

The above section leads to the question as to whether an examination for the award of PhD by Published Work should focus on the published works themselves or on the supporting document (however long it may be and whatever it is called) or, of course, both of the above.

The question relates essentially to where the contribution to knowledge is made - in the supporting document or in the publications. For most this is a simple matter: the contribution is in the publications and is summarised in the document. But for those institutions with a requirement of a substantial supporting document that critically analyses the significance of the publications and places the work in the context of other research, then the matter may be less straightforward.

Institutions that have adopted a system in which candidates for the award of PhD by Published Work are supervised in the writing of this kind of critical supporting document are implicitly accepting that those candidates need to produce and defend an intellectual position and that what is examined is the strength of that position and the candidate's ability to present and defend it. In this sense, such institutions are closely relating the two types of doctoral award. Indeed, the only real difference is that in the traditional model the programme of research is negotiated, at the outset of the registration, between candidate and supervisor and carried out under the guidance of that supervisor whereas in the PhD by Published Work the research work will already have been, in the main, carried out and what is being supervised is the development of an intellectual position built upon those works and the construction of a written document that seeks to explain and defend that position. There is then common acceptance that in the traditional PhD the contribution to knowledge is made manifest in the thesis. In the PhD by Published Work however it may be that the contribution is to be found, if at all, in the findings of the research as reported in the publications and in this sense the supporting document becomes a mere summarising of those findings. An alternative view is that the contribution is to be found, as in the traditional model, in the critical account of the intellectual position presented by the candidate - and here the publications themselves contribute supporting evidence. Critics of the latter approach may suggest that such a construction is necessarily somewhat post hoc and hence compares unfavourably with a planned programme of research leading to a coherent contribution.

### 5.3.2 Changes Over Time in Respect of the Supporting Document

In terms of development over time in respect of what candidates are asked to submit (i.e. just publications or publications plus brief commentary or publications plus extensive critical review) the results of the two surveys do show a trend towards an increase in the amount of commentary that is expected. Also, the delineation between kinds of institutions (e.g. pre- and post- 1990) seems to have diminished between the two surveys. In the 1996 report Professor Wilson noted: *“a high degree of commonality of policy on the nature of the full submission in the new universities, but significantly less so in the traditional universities. Thus all the new universities require the submitted publications to be accompanied by some supportive analysis.....[while] the traditional universities Cambridge, Hull, Keele and Nottingham require the publications alone; Bristol and Kent require the publications and a statement or an abstract.....”*. In contrast, in the 2004 survey no institution stated that it accepted the publications alone. The only differences in institutional practices relate to the terminology used to describe what accompanies the publications and the stipulated length of the documentation. There is no discernable difference between kinds of institutions in this respect in this latter survey. It seems then that boundaries between different sectors of HE have broken down in this respect and that common practice now is to require levels of comment on the publications that vary from a summarising statement to a detailed critical appraisal.

# 6 eligibility of candidates and of publications

## 6.1 Eligibility of Candidates

### 6.1.1 Variations in Eligibility Criteria

In the 1996 report it was noted that 'there was marked variation between the institutions as to which graduates were eligible to apply' (UKCGE, 1996, p.8). This variation is repeated in the results of the 2004 survey. Table 2 gives a broad indication of this repetition. Percentages are included here for ease of comparison only.

**Table 2**  
**Eligibility for the Award of PhD by Published Work**

Category of Eligibility	1996 (total answering the question = 37)	2004 (total answering the question= 62)
Current members of academic staff only (category A)	6 (16%*)	11 (18%)
Including former members of academic staff (category B)	18 (49%)	36 (58%)
Including other staff (e.g. technical, research and administrative staff) (category C)	24 (64%)	40 (65%)
Alumni (category D)	14 (38%)	34 (55%)
Use of eligibility criteria that relate to connection with the institution of one kind or another (combinations of categories A, B, C, D)	35 (95%)	54 (87%)
Open to all (i.e no restrictions regarding eligibility except appropriate academic qualifications)	2 (5%)	8** (13%)

\* all percentages are of the total number of institutions answering the question about eligibility

\*\* two more institutions indicated in the current survey that they were reviewing their regulations with a view to opening the award up to all appropriately qualified candidates

Table 2 above summarises the main information with regard to eligibility. Appendix 3 contains all of the responses from institutions. It is clear from the Appendix that the kinds of time periods, of employment at an institution or time since graduation, are much as indicated in the 1996 report. In both surveys it was apparent that quite a number of institutions operated a qualifying period

for eligibility ranging from one to five years employment in the institution. In some others, former members of staff must submit within one to two years of leaving the institution. There are numerous, and sometimes complex, references to eligibility requirements for those working in what may be summarised as 'collaborating establishments' or having connections with the university of one kind or another.

#### 6.1.2 **Changes in Eligibility Criteria from 1996 to 2004**

The information in Table 2 indicates some persistence from 1996 to 2004 in the eligibility criteria employed by responding institutions. However, in the context of a general increase in the number of institutions offering the award (from 37 to 64 institutions), there is an indication of that eligibility being extended rather than further restricted. This is in part due to some of those institutions that have begun to offer the award since 1996 doing so with broad eligibility criteria and to the fact that some of those who have offered the award in both 1996 and 2004 have extended their eligibility criteria. The only category where eligibility has not increased, as a proportion of the number of institutions offering the award over the two surveys, is staff 'other than' academics. The biggest increase in eligibility relates to the category of alumni. It should also be noted that a higher proportion of institutions (though it must be stressed that the number is still small) are now making the award available to any applicant who is appropriately qualified, whether or not they have worked at, or been a graduate of, the institution.

#### 6.1.3 **The Rationale Underpinning Eligibility Restrictions**

In the 1996 report Professor Wilson noted a concern that, "*by restricting its eligibility to current members of the university or college, there is a danger that the impression may be created inadvertently that the route is some form of privilege, perhaps even suggesting that it is less academically demanding than the traditional thesis route*" (p.10). Clearly, the 2004 survey does not indicate any significant change in the situation, in that the majority of institutions (54 out of 62 responding to the question) restrict eligibility to those with a defined relationship with the institution of one kind or another. The issues raised in the 1996 report therefore persist. Institutions will have a view of the reasoning behind the restriction of the award to those on the 'inside' - if the award is deemed worthwhile for its own members then a justification perhaps needs to be made for such restriction. Of course, the justification may relate quite reasonably to the issue of research training and the individual candidate's contributions to collaborative projects as indicated in the 1996 report. On the other hand, it may reflect an uncertainty about the nature of the award and a hesitancy about opening it up as an alternative mode of learning about research and gaining a research degree award subsequently. In the same vein, those institutions that have opened up the award to all suitably qualified applicants, whether or not they have

an existing or previous connection with the institution, may wish to consider the relationship between the award and evidence of research training that is mentioned elsewhere in this report. Similarly, institutions that require all or the majority of the research to be carried out within the candidate's current appointment in the institution (four in 2004) will have a view regarding why research in a previous appointment should be discounted.

It does seem that if the critical review component of the submission is developed - so that it mirrors more closely the stating and defence of an intellectual position as in a traditional thesis - then some issues of doubt about the candidate's training in research methodology or contribution to collaborative projects may be allayed. It is perhaps worth noting that of the eight institutions that open the degree up to all comers, seven expect a supporting document accompanying the publications that is on the substantial end of the continuum of responses on this point (i.e. question D4 - 'What form does the submission take?' - see Appendix 5).

## **6.2 Time Period for Eligibility of Publications**

### **6.2.1 Variations with Regard to Eligibility of Publications**

The question of restrictions regarding the time period over which publications would be deemed eligible for submission was included in the 2004 survey (Question D3, see Appendix 5) to pick up on the point made in some of the responses in 1996 to the broad question of eligibility where a restriction on time period was mentioned by four institutions.

In 2004, 60 institutions responded to the question ('are there any restrictions regarding the period of time over which the applicant's cited works were published?'). Of these respondents 40 noted that there were no restrictions at all. In contrast two respondents noted that only those publications produced during a candidate's appointment at the institution could be included in a submission for the award and a further four recorded that a significant proportion of the publications needed to be published within the term of appointment. Seven institutions noted that publications needed to fall within a ten year period; three institutions noted a five year period and one institution noted a time frame of between three and six years. One institution noted that it required candidates to have published within the two year period prior to submission, another that it required candidates to have published for at least a two year period prior to submission and another that there was no formal statement and that practice varied between disciplines.

### 6.2.2 **Restrictions on Publications as Related to Candidate's Employment**

For a minority of institutions, restriction with regard to time frame of publication follows-on from restriction on eligibility of candidate. The candidate must be a member of staff and must undertake the research and publish it within their period of tenure. In one sense at least this may be seen to enable the institution to have some sense of quality control over the processes that went on in undertaking the research and producing the publications. One institution noted that, while it had no restriction in its regulations, this did mean that, 'examiners need to be able to assess if the work was a contribution to new knowledge at the time of publication'. This kind of judgement may be interpreted as easier to make when the work falls within a limited time frame.

However, the majority of institutions set down no limitation of time. In these institutions it may be assumed that the responsibility for judging contribution to knowledge and impact on the field is given to the examiners and further that they will look for evidence to support a judgement in the critical appraisal that accompanies the publications.

It may be argued that an institution's regulatory practice in respect of time periods for publication should reflect its considered view on just what is being assessed and on the kind of judgements that need to be made to enable that assessment to be effective.

## 6.3 **Number of Publications to be Submitted**

### 6.3.1 Variations with Regard to Numbers of Publications to be Submitted

In the 1996 report it was noted that only one of the institutions offering the award gave guidance on the number of publications (ten) expected in a normal submission. Again, in the 2004 survey those institutions offering the award were asked if any guidance was given regarding the number of publications required within a submission. The majority of those responding (51 out of 59 responding to the question) to this question did so with a simple negative. Of the other responses some were quite specific, for example: 'must consist of either one or two books, or at least six refereed journal articles or research papers already in the public domain'; some referred to discipline specificity and others emphasised quality or kind (i.e. location in the public domain) rather than number. One institution required a 'full bibliography of the applicant'.

### 6.3.2 **Number of Publications in Relation to what is being Assessed**

The question of 'how many publications are needed' is one that, typically, potential applicants for the degree ask. But more importantly any answer to the question indicates perhaps what is being judged in the submission. Where a selection from a candidate's published work is expected and is used by the candidate to illustrate or defend a thesis then what is



being judged may be seen to be that thesis. On the other hand, where all of the works are expected to be submitted - or at least an indication of the candidate's bibliography - then it is the collected works that are the focus of the judgement as to whether or not the candidate is worthy or not worthy of a research award.

In his 1996 report Professor Wilson made the point, *“in spite of the requirement that the award of a PhD by published work and by a conventional thesis should achieve comparability of standards [the question of how many publications] probably leads to an overestimate of the number of publications required for the published work route”* (UKCGE, 1996, p.10). There is no evidence in the 2004 survey that this over-estimation has in any way diminished or indeed increased. It does seem however that the way in which institutions have begun to treat the critical appraisal as an increasingly significant part of the submission for a PhD by Published Work does fit in with Professor Wilson's view of the fundamental importance of such an appraisal to the, “establishment of the coherence and quality of the submission and hence of the case for the award of the degree” (UKCGE, 1996, p11). Clearly, the actual number of publications will vary necessarily between disciplines and between projects just as the number of actual or potential publications differs in the realm of traditional PhD theses. What should matter is the contribution to knowledge that they have made and the impact on other work in the area as well as the appropriateness of the methodology to the project and the evidence that the candidate is an independent master of the relevant methodologies.

The question that may arise, in the light of the above, is the cohesion of the works submitted and the need to exclude publications that weaken the cohesion however meritorious they may be in their own right.

#### 6.4 **Kinds of ‘Publication’**

In their ‘further comments’ two institutions noted that in their regulations the notion of ‘published’ was extended explicitly to include areas, ‘such as art and design where output does not consist solely of printed publications’ and again, ‘the award is not just for conventional publications, the University may consider 3D artefacts with written contextualisation, or unpublished papers or other medium formats’. Clearly, neither of the two surveys addressed specifically the range of forms that might be included in any institution's interpretation of ‘published works’. Therefore, it is not possible to discuss the situation across the sector with regard to the different ways in which institutions may interpret whether or not any particular work(s) is in a form that is ‘constant’ enough and accessible enough to peer review for it to be judged as ‘published’. It may well be that institutions make interpretations in this respect that are similar to those that they make in the context of

work(s) submitted for a traditional PhD (albeit in some kind of category such as 'non-traditional' or 'non-literary' submissions) or for a Practice-Based Doctorate where such exists. Whatever the case, it is arguable that the issue of what counts as accessible within the public domain takes on a greater significance in the realm of a PhD by Published Work than is necessarily the case in a traditional PhD submission - though for many it remains important that every doctoral dissertation is in a form that is constant enough to be accessible to others working in the field.

# 7 supervision

## 7.1 **Extent of Supervision in the PhD by Published Work Route**

Supervision is mentioned in the sections above and clearly whether or not an institution appoints a supervisor is indicative to at least some extent of its understanding of the relationship between the candidate's claim to have established an intellectual position which contributes to knowledge and the award of a PhD by published work. In the 1996 report it was noted, "*the need for support is recognised by 21 of the 36 awarding institutions by the provision of a supervisor, mentor or advisor*" (p.12). The 2004 survey followed the earlier one in not defining 'supervisor' though the question was asked: 'do the regulations define who that supervisor shall be?' (Question C2, see Appendix 5). In this latter survey 46 institutions (out of the 61 who responded) recorded that they appointed at least one supervisor (this figure includes four institutions who responded 'yes' to the question but in their subsequent comment described the supervisor as an advisor); 15 institutions recorded that they did not appoint a supervisor (this figure includes three institutions who noted that though they did not appoint a supervisor they did appoint an advisor). If those who appointed an advisor are included as 'yes' (i.e. as responding positively to having some form of advice/supervision) for the sake of comparison with the 1996 figures then the situation overall has changed from 58 % of those responding providing a supervisor or an advisor in 1996 to 80% doing so in 2004.

Without further definition with regard to the extent and nature of the role played by this supervisor/advisor it would be improper to make judgements from this data about changes in the way institutions are interpreting the process through which candidates go when constructing their submissions. However, it seems reasonable to suggest that the need for some kind of intellectual support from academic staff for the candidate for the PhD by published work has increased in prevalence over the last eight years.

## 7.2 **Specific Post Holders as Supervisors**

In terms of question C2 in the 2004 survey ('do the regulations define who that supervisor shall be?' see Appendix 5) only four institutions identified a specific post holder such as a Head of Department and a further four noted that a specific post-holder would nominate a supervisor; others indicated in various ways that the rules for who should/could supervise were similar to, or the same as, those for the traditional PhD route.

Again, if the institution regards the degree of PhD by Published Work as one in which publications are used to support a unifying, critical statement about an intellectual position then supervision is appropriate. If on the other hand the institution regards the degree as one to be awarded for the contribution to a field as made by a collection of publications and merely summarised in a sense of annotation rather than critique the supervision becomes a matter of guiding the candidate through the institution's regulations and procedures or is non-existent (15 institutions responded negatively to the question 'does the candidate have an appointed supervisor?').

Similarly, the person identified as supervisor or advisor is perhaps indicative of the perceived nature of the task. In the institutions where the supervisor is named as the Head of Department or School (or nominee) or a member of a Research Degrees Committee - then presumably this person does not necessarily have subject expertise relevant to the specific area of the submission. In others, and more commonly, there is a supervisor (rather than advisor) who is experienced in the specific area and in supervision of doctoral candidates generally. Indeed, eleven of the responses indicate explicitly a supervisor who fulfils the same requirements as are typically required for the 'non-published work' route.

### 7.3 Roles and Responsibilities of Supervisors

The survey does not pursue questions of how the roles of the supervisors are defined - beyond their existence and their title. Nevertheless, it may be reasonable to suggest that there are marked differences across the sector in what is expected of the supervisor in the case of a PhD by Published Work. Similarly, whether or not they should be trained -and trained separately from any training that already exists for supervisors of doctoral study more generally - are questions outside the remit of this particular survey. However, clearly this is an issue that individual institutions may wish to address. In summary, to supervise a candidate in writing 25,000 words of critical exploration of the context and the impact of a body of work is a quite different task to advising a candidate on how to assemble the publications and submit them for examination.

In his 1996 report, Professor Wilson noted that the appointment of an academic to "*guide the candidate through the submission and examination processes is one of the means by which the academic standards for the award of a PhD by the conventional and published work routes can be harmonised. Ideally the regulations for the award via the published work route should make reference to the duties of the appointed person and in principle it would be possible to formulate a*

*code of good practice for the appointee to parallel those which exist for supervisors of conventional PhD students*" (UKCGE, 1996, p. 13). He went on to suggest some possible responsibilities that might be included (paraphrased here): 'giving guidance on the selection, coherence and quality of the candidate's published work to be submitted for examination; advising on the preparation of any supporting critical summary and review to accompany the submission; guidance on the preparation for the oral examination'. If the kind of harmonisation that was envisaged in the 1996 report is a realistic and a worthwhile aim (and these issues will be returned to later in this current report) then clearly the area of supervision is a key factor.

#### **7.4 Current Status of Supervision in the PhD by Published Work Route**

If this current report detects a trend at all then it is towards an increased importance being given to seeing the degree as awarded for a contribution to knowledge that is set out so as to demonstrate its coherence in an analytical and critical way. In this sense, the submission will be constructed around, and includes, previously published work. The work may have been in the public domain for some time but the trend seems to be towards seeing the award as being given on the basis of the case that is made (i.e. based on the publications but not consisting of them alone - their cohesiveness need to be overtly demonstrated and critiqued). Clearly, such a case requires intellectual effort and learning and therefore demands access to advice and guidance - in short, to supervision. Space prohibits discussion here about the necessary differences and similarities between the acts of supervising for the award of PhD by Published Work as opposed to supervising in the traditional PhD route, but clearly the debate should be seen as a useful one if the process of learning in the former route is to be enhanced.

# 8 assessment

## 8.1 Prima-Facie Stage

### 8.1.1 Interpretations of the Prima Facie Stage

One of the features of the PhD by Published Work is that many institutions require a candidate to undergo some kind of preliminary stage in applying for, and ultimately being examined for, a doctorate by this route. Implicit in this stage is the notion that some kind of gate-keeping is required before access to the process of full assessment can be allowed. In one sense this stage of making a case at face value that the collected work is worthy of consideration is similar to the registration stage common in traditional PhD programmes where a candidate has to make a case that the putative programme of work that he/she is proposing will be able to deliver work that may contribute to knowledge and so on. But in the case of the PhD by Published Work, of course, the 'work', in one sense at least, will have already been completed. The assessment at this prima facie stage then is more a case of judging if there is a case to be made - with the final judgement being left to others. The 2004 survey did not pursue the question of exactly what is meant by the stage and what is required but it did elicit 'comment' (see question D1 in Appendix 5). Those comments indicate a range of interpretations. Clearly, different institutions take differing views as to what the purpose of this stage is - for some it would seem to be a simple matter of checking through the application and making sure that the candidate is appropriately qualified (e.g. in terms of connection to the institution) where for others it is a matter of making a preliminary judgement as to the quality of the publications and subsequently the likelihood of a submission being made that will meet the criteria for the award. This difference is returned to at the end of this section.

### 8.1.2 Change in the Number of Institutions Requiring a Prima Facie Stage

In the 1996 report it was recorded that 23 of the 37 institutions [62%] (7/18 traditional universities; 15/16 new universities; 1/3 colleges) offering the degree required a two stage submission: the first designed to establish a prima facie case for the application (generally consisting of the submission of a list of the publications to be submitted and a short analysis of the contribution to knowledge made by them), and the second consisting of the compiled, cited publications themselves with or without an accompanying analysis. In the 2004 survey, 51 of the 59 institutions who responded to this question did so in the positive, that is 86% of those responding, required a prima facie case to be made before final submission. There has then been an increase in the proportion of institutions requiring a prima facie stage (62% in 1996 to 86% in 2004).

### 8.1.3 **Named Post Holder Judging the Prima Facie Case**

In 13 of the institutions making the requirement for a prima facie case in 2004 that case is judged by one or two named individuals (typically a Head of Department, Graduate Dean or senior academic) while in a further 25 the decision is made by a committee of one sort or another (typically a Research Degrees Committee or a defined sub-panel); 13 institutions did not specify how the decision was made.

### 8.1.4 **Pattern of Use of the Prima Facie Case across the Sector**

In the 1996 report it was noted that 7 out of 18 'traditional' universities required a prima facie case to be made whereas 15 out of 16 of the 'new' universities made such a requirement. In 2004, 14 of the 19 pre-1990 universities responding to this question required a prima facie case while 33 of the post-1990 institutions required it to be made out of the 39 responding to the question. The pattern remains similar therefore between the two surveys in as much as the prima facie stage is still much more common in the post-1990 institutions. However, the difference between the two kinds of institution has diminished - with 39% of traditional universities in 1996 requiring the stage compared with 74% of the equivalent categories in 2004.

It seems then that the need for some kind of prima facie stage has increased over the time of the two surveys. However, this overall trend should not obscure the range of how institutions interpret such a stage. The information entered by institutions by way of comment on the prima facie stage indicates considerable variation in the way in which institutions are gate-keeping the process of applying for a PhD by Published Work. For example, some institutions describe the stage as 'initial registration' whereas others describe it as a stage of 'pre-admission' where a senior academic reads the publications.

## 8.2 **Examination for the Award of PhD by Published Work**

### 8.2.1 **Parity between Kinds of Doctoral Award**

In the 1996 report Professor Wilson noted that, "*a PhD awarded on the basis of published work should reflect the same academic standards as those which operate for a traditional PhD based upon an approved programme of supervised research. This requirement for comparability of standard presents different challenges to the examiners for the award of a PhD by the two routes*" (UKCGE, 1996, p15). Neither survey seeks direct evidence about how institutions view this matter of comparability. Neither is the further question pursued as to how, if they do advocate the need for parity between the two kinds of doctoral award, institutions seek to establish and maintain a system for ensuring that judgements from examiners take cognisance of that need.

### 8.2.2 The Task Facing Examiners of the PhD by Published Work

To the knowledge of this author there is no published guidance at national level for examiners of the PhD by Published Work. However, in the 1996 report suggestions were made about the main tasks facing examiners within the PhD by Published Work route. They are repeated here in a modified form because they seem, at the very least and in the absence of any specific national guidance, a useful starting point for debate about any differences between the tasks facing examiners within the two routes.

In the case of the published work route, the examiners' main tasks may be interpreted as to:

- evaluate the intellectual merit of the candidate's cited published work;
- establish if a satisfactory case is made for coherence between the publications;
- assess the contribution to knowledge represented by the publications and made apparent in any critical appraisal;
- evaluate the rigour with which the candidate has contextualised and analysed his/her publications in any critical appraisal;
- evaluate the appropriateness of the methods employed in the research and the correctness of their application;
- assess the candidate's contribution to the various phases of the research embodied in multi-authored works;
- establish the candidate's 'ownership' of the published work and appreciation of the state of [historical and current] knowledge within the candidate's research area;
- assess the candidate's research skills in terms of his/her potential as a continuing, independent researcher.

In undertaking these tasks the examiners would need to make their judgements while taking into account the position of the publications within their historical time frame and with recognition of the range of facilities available to the researcher across that time frame. As was noted in the 1996 report, one of the difficulties that may face examiners in undertaking these tasks is that publications themselves may not contain sufficient detail to allow some of these judgements to be made. For example, many academic journals prescribe succinctness and this may result in general lack of experimental detail or background material. There may be instances then where the evidence available to the examiner about the quality of the work and the raw data on which important conclusions are based, is minimal or even absent. This contrasts with the traditional PhD thesis where contextualising is seen as part of the requirements of the text and where details of data can be accommodated in the main body of the text or within an appendix.



### **8.2.3 Locating the Evidence Within the Assessment Process**

In the PhD by Published Work lack of crucial evidence in the publications might be at least partially addressed within any accompanying document within the submission (e.g. a critical appraisal) which, as noted elsewhere in this report, is a requirement of all institutions who responded to this current survey in contrast to the 1996 survey where this was not the case. Whether or not any accompanying documentation can be effective in this way, however, depends on the remit given to it within institutional regulations and its possible length. In addition to the above, lack of evidence can be addressed to an extent in an oral examination. This current report notes that such examination is now compulsory in the majority of institutions while discretionary in a few (again, in the earlier 1996 survey some institutions were recorded as not requiring such an examination).

## **8.3 Examiners**

### **8.3.1 The Use of External and Internal Examiners**

In the 1996 report it was noted that all institutions required the appointment of at least two examiners and this situation is repeated in the 2004 survey. In 1996 it was reported that in ten institutions both examiners were required to be external to the university and that in all of the others a combination of internal and at least one external were required. It was further noted that the appointment of two external supervisors for members of staff was common practice. This basic pattern is repeated in the 2004 survey. Here, all institutions that responded to the question about examiners (for Question D5, see Appendix 5; for responses see Appendix 3) noted that at least one external examiner was required and further, ten of those who offered the degree to staff and others responded that members of staff were required to have at least two externals. A number of institutions (15 out of the 62 responding [24%]) reported that only external examiners are used. Again, without data relating to practice with regard to the traditional PhD examination it is impossible to make comparative comments about whether or not the PhD by published work is being treated differently in this respect.

### **8.3.2 The Use of an Independent Chair in the Examination Process**

One slight difference between the findings from the two surveys comes in respect of reference made to the use of a Chair for the oral examination. Such use was not referred to at all in the responses to the 1996 survey while nine institutions (15% of those responding to the question) noted the use of such a Chair in 2004 (two of these made specific reference to that role being filled by a Head of Department). Again, this may reflect a general increase in the use of independent chairing across the range of doctoral examination in the UK rather than a feature specific to the PhD by Published Work route.

#### 8.4 **Oral Examination**

In the 1996 survey 28 institutions reported that the oral examination was compulsory, five reported it discretionary and two did not require it. This compares with the 2004 survey where 57 reported it compulsory, five reported it discretionary and no institutions reported not requiring it (2 institutions did not respond). In 1996 then, 98% of those responding (n=35) reported that the oral examination was compulsory. This situation remained much the same in 2004 where 97% of those responding (n=62) reported that it was compulsory. Of course, these surveys do not include information about the compulsory nature of oral examinations, within these same institutions, in the traditional PhD route. It is not clear therefore if the compulsory nature is in any way specific to the PhD by published work - it may well be that institutions are simply adopting the same regulation in this respect to all of their modes of doctoral examination, i.e. compulsory or discretionary. It is beyond the brief of this report to consider the reasoning behind the approaches taken in this respect. What may be suggested from the two surveys is that the majority of institutions continue to see an oral examination as a necessary part of judgement making about the merit of the collected works and/or the candidate.

## 9 other academic awards by publication

### 9.1 **The Award of Higher Doctorates**

Three institutions that do not offer the PhD by Published Work award noted in the 'further comments' section of the questionnaire that they do award higher doctorates by published work. Examples given were: DLitt, DSc, DD, DEng, LLD & DMus. Clearly, the two surveys did not pursue questions about Higher Doctorates and therefore this report cannot give any indications of the prevalence of such degrees across the sector or indeed their relationship with the PhD by Published Work that is under consideration. But it is perhaps worthy of note that these degrees - where they are made available - are typically awarded partially or wholly on the basis of published work and in many institutions the kinds of restrictions on eligibility would be similar to those for the PhD by Published work noted in this report. Again, in their responses to questions that reflect on how the PhD by Published Work is managed within the university three institutions make note of 'Higher Degrees Committees'; it is not clear then, for these institutions and possibly for others, where the PhD by Published Work and indeed the 'traditional' PhD sit in relation to Higher Doctorates.

### 9.2 **Use of the MPhil and MA/MSc by Research Degrees within the Published Work Route**

#### 9.2.1 **Prevalence**

In the 1996 report, the award of MPhil by Published Work in addition to the PhD by Published Work was noted as offered by 14 institutions. One institution offered, in terms of the published work route, the MPhil but not the PhD degree. Similarly, in the 2004 survey 15 institutions offered the MPhil in addition to the PhD by Published Work (no institution in this second survey responded that it offered only the MPhil in isolation of the PhD). There seems to have been little change therefore over the period of the two surveys in this respect. In the 2004 survey, an additional option was included in the question (Question A3, see Appendix 5) relating to whether or not the award of MA and MSc are also offered via the published work route. In respect of the new option one institution offered, in the context of published works, a Masters (MA or MSc by research) as well as an MPhil and one institution noted that it was to introduce the degree shortly.

### 9.2.2 **Justification for these Awards**

The survey does not ask for justifications of the use of these awards and it would be improper therefore to speculate. Neither does the survey record if the institutions that do not offer the MPhil by Published Work nevertheless offer the MPhil award within the traditional route. However, given the prevalence of the MPhil across the sector it does seem reasonable to raise as an issue the offering of the degree (and indeed of the MA and MSc by Research) in the traditional but not in the published work route. If an institution operates some criteria for awarding the MPhil degree within the traditional route then presumably those could be considered in terms of whether or not they are achievable by the production of a submission including predominantly previously published work. Of course different institutions may treat the award of MPhil differently and therefore the issue may not be so straightforward. However, individual institutions may wish to consider their own justification for either offering these awards or for not offering them - where they offer the corresponding awards in 'traditional' programmes of research degree study. It should be possible to assume that offering or not offering is a deliberate choice made on reasonable grounds. Clearly, from the evidence in this report, choices at least in this respect differ.

# 10 conclusions

## 10.1 **Similarity and Difference**

In the 1996 Report Professor Wilson noted in his Conclusion (pgs 16-19) both similarity and difference between the two routes to a doctoral qualification - the PhD and the PhD by Published Work. These are paraphrased below.

There is similarity in that both emphasise appropriate research methodology and the requirement that the candidate should make a contribution to the advancement of the research field.

There are differences in that: (1) while the PhD is based typically on a supervised programme of research and the submission of a traditional dissertation, the PhD by Published Work is based upon research leading to a number of coherent publications, each of which has been subjected to peer review and (2) in conventional registrations the appointed supervisor(s) takes responsibility for training the candidate in research methodology and for ensuring that the candidate develops appropriate personal and interpersonal skills. In the published work route such training is recognised and evaluated in retrospect and in this respect may be interpreted as analogous to the acceptability of APL in taught undergraduate and postgraduate programmes.

## 10.2 **Restriction on Candidature**

There should be institutional rigour in ensuring the standard of the award and therefore it might be argued that it is invidious that the opportunity to submit for a PhD via the publication route should be dependent upon where a candidate studied for his/her first degree or where he/she is currently employed.

## 10.3 **Examination**

The kind of rigour that is required if the degree of PhD by Published Work is to become more openly available can be argued to be a matter of establishing some sense of clarity about what it is that is being examined in a doctoral submission of either kind and about the expectations of examiners regarding criteria for success in this sense. Clearly, examiners need to have understanding about the assessment process that they are involved in as well as knowledge of the candidate's research area.

## 10.4 **Relevance of the Traditional PhD Dissertation**

Differences in the composition of a candidate's submission via the two routes may call into question the relevance of a traditional thesis to the candidate's future career as a trained researcher where the recognised symbol of success is commonly, though not universally, high quality,

refereed publications. The rapid advancement of knowledge and the pragmatic concerns of national research assessment exercises mean that priority is attached to publications; therefore training in the preparation of research publications would seem to demand recognition as an essential component of PhD training programmes. Such recognition would need to be reflected in the assessment process for the traditional PhD submission (i.e. success in publication or the potential for success). Judging from the responses to the questionnaire in 2004 this is the case in some but not all institutions.

#### 10.5 **Merging the Two Routes to a PhD**

Although the two surveys do not address directly any relationship between the awards of PhD and PhD by Published Work in terms of their relative importance across the sector, the comparison made within the latter award between 1996 and 2004 does not indicate any dramatic increase in importance of the PhD by Published Work that might be expected to have been at the expense of the traditional PhD. There is no direct evidence then that Professor Wilson's suggestion that "*there does appear to be merit in consideration being given by institutions to allowing the two routes to merge thereby encouraging all theses to include published work and for unpublished data to be written in the style of published work*" (UKCGE, 1996, p.17) has been taken up within any large extent within the sector. His later report into the status of published work in European Universities (UKCGE, 1998) however does indicate that such a situation is prevalent in many northern European universities. Of course, the lack of any direct evidence that it has been taken up does not diminish the possibility that the suggestion has merit and indeed the institutions that are currently reviewing their regulations may well be taking very seriously the notion of bringing the degrees closer together (this is the case in at least two instances - judging by private correspondence).

#### 10.6 **Summary Key Issues**

The 1996 survey identified a number of key issues which the UK Council for Graduate Education at the time believed to be fundamental to the control of the quality of the award of PhD by published work route and which it encouraged institutions therefore to consider in relation to their regulations for the award. These have been amended in the light of the current survey and are presented below as issues for consideration by institutions:

- eligibility criteria - the purpose of any restrictive categories of candidature (bearing in mind equality of opportunity);
- time period and location restrictions on publications - the purpose of any restrictions on period of time over which the research embodied

in the submission may be carried out and similarly the location where the research may be carried out;

- supervision - the roles and responsibilities of any supervisor/mentor/advisor appointed to support the candidate on his/her submission;
- training of candidates - the relationship between evidence of training in research methodologies as apparent in the works represented in the submission and the possibilities for ongoing training as part of the preparation of the critical appraisal;
- prima facie case - the relative merits of a one or two-stage submission process and the identity of, and appointment procedure for, assessors for a prima facie initial stage;
- the submission - the objectives and the permitted length of any documentation submitted in support of the publications themselves (e.g. critical review or appraisal);
- examiners - the nature of the task facing examiners, the number of examiners on a panel and the appointment procedure for examiners;
- oral examination - the rationale underpinning the oral examination being compulsory, discretionary or nonexistent;
- MPhil - policy on offering an MPhil by Published Work (similarly an MA or MSc by Research)
- fees - the rationale for the fee structures for registration and examination in relation to the PhD by Published Work
- merging of the regulations for the PhD and the PhD by Published Work - justification for the differences in the regulations of the two awards and the possibility of bringing them closer together.

#### 10.7 **The Need for Harmonisation**

The UK Higher Education sector is noted for its diversity and many would argue that this is a strength rather than a weakness. However, in 1996 Professor Wilson noted, “*greater harmonisation of policy and guidelines on these key regulatory issues between awarding institutions would help to allay anxieties about the academic merits of the publication route to PhD*” (UKCGE, 1996, p.19). There is no direct evidence in this current survey that suggests such anxieties persist. However, it does seem that on some of the issues noted above, perhaps in particular the issue of restrictions on eligibility for candidature, the differences in practice are underpinned by very different views about the nature of the award of PhD by Published Work and more specifically its relationship to other forms of doctoral study. Differences of view at such fundamental levels may be problematic if the sector as a whole seeks to develop the range of doctoral study with some sense of coherence.

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**Professor Stuart Powell**

**June, 2004**





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*The Status of Published Work in Submissions for Doctoral Degrees in European Universities*, Lichfield, UKCGE (ISBN 0 952 5751 3 2)

**Appendix 1 Institutional policy on the use of powers to award the degree of PhD on the basis of published work (as at December 2002)**

	Offering the Award (65)	Not Offering the Award (16)	Not offering a 'PhD by Published Work' route but allowing published work in a research degree submission (6)
Pre 1960 Institutions	Birmingham, Bristol, Cambridge, Edinburgh, Leeds, Liverpool, Manchester, Newcastle, Queens Belfast	Kings College London, Sheffield	Kings College London, Sheffield
1960-1990 Institutions	Bangor, Bradford, City, Hull, Keele, Lancaster, Leicester, Open, Surrey, Swansea, Ulster, Warwick	Dundee, Exeter, London, UMIST, Stirling, Sussex,	Exeter, Sussex
Post 1990 Institutions	Abertay Dundee, Anglia Polytechnic, Brighton, Bournemouth, Central England, Coventry, De Montfort, Derby, Glamorgan, Glasgow Caledonian, Hertfordshire, Huddersfield, Kingston, Leeds Metropolitan, Lincoln, Liverpool John Moores, London Metropolitan, Luton, Manchester Metropolitan, Napier, Northumbria at Newcastle, Paisley, Plymouth, Robert Gordon, Sheffield Hallam, Staffordshire, Sunderland, Teesside, West of England, Westminster, Wolverhampton	Gloucestershire,	
Specialist Colleges	Glasgow School of Art, Wales College of Medicine,	Institute of Education, London School of Economics, London School of Hygiene & Tropical Medicine, School of Pharmacy	Institute of Education, London School of Hygiene & Tropical Medicine
HE Colleges & Other Institutions	Bolton Institute, Roehampton, Southampton Institute, Wales Institute Cardiff, St Martin's <sup>1</sup> , Edge Hill <sup>1</sup> , Worcester <sup>2</sup> , Chichester <sup>3</sup> , Liverpool Hope <sup>4</sup> , York St John <sup>6</sup> ,	Institute of Cancer Research, Newport (UCWN), St Mark & St John <sup>5</sup>	

- 1 awarded through University of Lancaster
- 2 awarded through Coventry University
- 3 staff are eligible to be considered for PhD by Publication through University of Southampton
- 4 offers University of Liverpool research degrees (including research degrees by publication)
- 5 degrees are awarded through Exeter University
- 6 staff are eligible to be considered for PhD by Publication through University of Leeds

**Appendix 2      PhDs awarded on the basis of published work in the past two years (2000 – 2002)**

	2000-2002	1993-1995
Cambridge	11	18
Manchester	12	12
Surrey	Not known – not differentiated from other PhDs	7
Hull	8	6
Bradford	4	5
Hertfordshire	7	5
South Bank*	-	4
Warwick	4	3
Northumbria	3	2
Brighton	3	1
Essex	-	1
Keele	0	1
Kent	-	1
Lancaster	3	1
Nottingham	-	1
Open	0	1
Plymouth	4	1
Portsmouth	-	1
Southampton Institute	1	1

\* No longer a member of UKCGE  
 - No response to survey

**Appendix 3**

**Analysis of the Regulations for the award of degree of PhD on the basis of published work**

Institution	Eligibility – Categories	Eligibility – Restrictions	Supervisor	Prima Facie Stage	Submission	Examiners	Oral Examination	MPhil	Fee (£)	No.
<b>Pre 1960 Institutions</b>										
Birmingham	A	Only work carried out during the period of candidate's appointment is admissible.	Yes – Head of School appoints a member of academic staff as an advisor.	Yes – initial consideration by Head of School. Decision ratified by relevant Dean.	An abstract, critical review of 5000 – 10000 words, copy of each publication, a summary sheet & a statement of contribution for co-authored works.	At least one internal & two external.	Compulsory	No	-	-
Bristol	A, B, C, D	Candidates must be graduates of at least six years' standing.  Staff must be in employment of the University for three years.	Yes – Head of Dept.	No	Published work & commentary.	At least two – one internal, one external.	Compulsory	No	-	-
Cambridge	A, B, C, D	C - must have a Cambridge degree.  All categories – six years from obtaining first degree, whether from Cambridge or another University.	No	Yes – Degree Committee considers the work submitted before deciding to appoint examiners.	Collection of works plus summary of 1000-5000 words setting out coherence of the body of work & its original contribution to knowledge.	One internal, one external.	Compulsory	No	462	11

Institution	Eligibility – Categories	Eligibility – Restrictions	Supervisor	Prima Facie Stage	Submission	Examiners	Oral Examination	MPhil	Fee (£)	No.
Edinburgh	A, D, & E – staff from Associated Institutions	Graduates of at least five years standing. Staff of not less than three years standing.	Yes	Yes – initial consideration by relevant College Postgraduate Studies Committee.	Portfolio of published, abstract & critical review (of between 10000 – 25000 words).	At least one internal & one external.	Compulsory	No	590	6
Leeds <sup>1</sup>	A, C, & E – Holders of Honorary academic or academic related posts within the School of Medicine	Staff must have been in post for at least three years, & hold contract of employment of at least 50% full-time.	Yes	Yes – Applications are considered by the Graduate Board.	Publications plus a summary & supporting statement of 5000-6000 words.	Two external & one internal.	Compulsory	No	785	4
Liverpool <sup>2</sup>	A, & E – possible for any student but on an exceptional basis	Only publications written during the registration period may be used (including ones accepted for publication).	Yes	No	Publications plus critical review.	One external & one internal. Academic staff have two externals.	Compulsory	Yes	-	-
Manchester	A	Must have been in post for three years prior to submission.	No	No	Publications & critical appraisal.	Two external.	Compulsory	No	405	

<sup>1</sup> The information recorded here also applies to York St John

<sup>2</sup> The information recorded here also applies to Liverpool Hope

Institution	Eligibility – Categories	Eligibility – Restrictions	Supervisor	Prima Facie Stage	Submission	Examiners	Oral Examination	MPhil	Fee (£)	No.
Newcastle	A	Staff in continuous appointment in the University for at least four years.	No	Yes – considered by an internal assessor.	Publications plus a doctoral statement.	Two external.	Compulsory	No	-	-
Queens Belfast	A	No	Yes – a professor, reader, senior lecturer or lecturer of an appropriate school.	Yes – candidate applies to the Faculty Postgraduate Research committee for permission to register for the degree.	Publications plus a critical analysis of not more than 10000 words.	Two external & one internal.	Compulsory	Yes	-	-
<b>1960 – 1990 Institutions</b>										
Bangor	A, B, C, D & E	Yes	Yes	Yes	Publication plus critical appraisal	-	Compulsory	No	1505	1

Institution	Eligibility – Categories	Eligibility – Restrictions	Supervisor	Prima Facie Stage	Submission	Examiners	Oral Examination	MPhil	Fee (£)	No.
Bradford	A, C, & E – staff of one of the Universities associated colleges.	Staff must be in continuous employment of the University for at least two years.	No	Yes – considered by small committee consisting of Chair of Research Degrees Committee Dean & additional RDC member from academic area other than that in which candidate is based.	Publication plus statement of 5000 – 10000 words.	Two external assessors.	Discretionary	Yes	240	4
City	A, B, C, D,	No	Yes	-	Publications plus introduction & conclusion.	At least two externals.	Compulsory	Yes	0 for staff	10

Institution	Eligibility – Categories	Eligibility – Restrictions	Supervisor	Prima Facie Stage	Submission	Examiners	Oral Examination	MPhil	Fee (£)	No.
Hull	A, C, D	Must have been either a member of staff for four years, a graduate of at least eight years or have a Hull Masters of six years.	No	Yes – chairman of Graduate Research committee on advice.	Publications plus 5000 – 10000 word overview.	One internal & one external for students.  One internal & two external for staff.	Compulsory	No	400	8
Keele	A, B, D	A & B – full time staff for at least three years.  D – various time requirements dependent on degree.	No	Yes – Research Degrees Committee via Director of Academic Affairs.	Publications plus 10000 word critical essay.	One internal, one external.	Compulsory	Yes	1500	-
Lancaster <sup>3</sup>	A, B, C, D, & E – staff of associated institutions	Alumni must be graduates of at least five years & possess masters.	Yes	Yes – Scrutiny by Director of the Graduate School.	Copies of publications plus supporting paper & full bibliography of applicant.	One internal & two external.	Discretionary	No	600	3
Leicester	A, B,	Employed by the University for at least three years.	Yes	Yes – Head of Dept. or Faculty Dean as appropriate	Publications, application form & 5000 word statement.	Two external.	Compulsory	No	260	2

<sup>3</sup> The information given here also applies to Edge Hill and to St Martin's



Institution	Eligibility – Categories	Eligibility – Restrictions	Supervisor	Prima Facie Stage	Submission	Examiners	Oral Examination	MPhil	Fee (£)	No.
Open	A, C & E – salaried staff in OU accredited institutions & salaried staff in OU Sponsoring Establishments	OU salaried staff & associate lecturers of at least three years standing.  Salaried staff in OU accredited institutions, & salaried staff in OU Sponsoring Establishments, of at least three years standing.	No – have an advisor who is a member of academic staff with competence in the area of research.	Yes	Publications plus covering paper which should summarise each publication, outline their interrelationship & give a critical review of the current state of knowledge in the academic field.	An internal examiner/assessor or & two externals.	Compulsory	No	476 plus exam fee of £925	-
Surrey	A, B, C, & E – staff at institutions Accredited by the University	Staff of at least three years standing.	-	-	-	Two external.	Compulsory	No	600	Not differentiated from other PhDs

Institution	Eligibility – Categories	Eligibility – Restrictions	Supervisor	Prima Facie Stage	Submission	Examiners	Oral Examination	MPhil	Fee (£)	No.
Swansea	A, B, D	Graduate or staff of at least six years standing. Cannot already hold doctorate of UoW. Cannot previously have failed PhD examination of UoW.	Yes – an advisor. Full-time member of academic staff or part-time member of UWS staff who has previously held F/T post at any UoW institution.	Yes – advisory panel of Head of Dept., advisor & one other internal senior academic staff.	Publication plus 5000 – 10000 word critical appraisal.	Head of Dept, one external & one internal. If member of UoW staff two externals & no internal.	Compulsory	No	-	0
Ulster	A, B, C, D, & E – qualified individuals who have an academic association with the University	No	Yes – conform to rules for the appointment of a research degree supervisor.	No	Publications plus 10000 – 20000 word statement.	One internal, one external, & a Chair.	Compulsory	No	1640	8
Warwick	A	Employed by the University for at least three years.	Yes – academic advisor is appointed by the Chair of the Dept.	No	Publications plus a 5000 – 10000 word document.	Two external.	Compulsory	Yes	-	4

Institution	Eligibility – Categories	Eligibility – Restrictions	Supervisor	Prima Facie Stage	Submission	Examiners	Oral Examination	MPhil	Fee (£)	No.
<b>Post 1990 Institutions</b>										
Abertay Dundee	A	-	Yes – Head of School & Head of Division jointly.	Yes	Publications plus critical appraisal (no maximum word length).	Two externals & one internal.	Compulsory	No	None (through staff development costs)	1
Anglia Polytechnic	A, B, C, D, & E – External students working in industry etc with a track record of publication at the right level	No	Yes – Supervisor/advvisor appropriate to the field of study.	Yes – appropriate Research Degrees Committee	Publications plus 200 word abstract & 7000 – 10000 word critical abstract.	One internal, one external & a Chair.	Compulsory	Yes	1410	2
Bournemouth	A	Must have been a member of staff for at least one year. Must not be a failed candidate through a conventional MPhil or PhD in the proposed field.	Yes – Research Degree committee appoints a suitable advisor.	Yes – case submitted to the Research Degree committee.	Compilation of the published work plus an abstract, an introductory chapter & a concluding chapter.	Two external & one internal.	Compulsory	No	-	0

Institution	Eligibility – Categories	Eligibility – Restrictions	Supervisor	Prima Facie Stage	Submission	Examiners	Oral Examination	MPhil	Fee (£)	No.
Brighton	A, B, C, D, & E – External Candidates	No	Yes	Yes – pre-admission the publication s are read by a senior researcher & then the application is approved by the Research Degrees Committee	Publications plus 6000 word critical appraisal.	Three members at least two external.	Compulsory	No	2940	3
Central England	A, C,	Hold an honours degree, been in continuous employment with the university for at least two years, & a substantial proportion of the published work carried out as a member of staff of the university.	No – but advisor is appointed to advise on the content of the submission & process of registration & examination.	Yes – initial registration stage.	Publications plus a summary linking components of the submission, a statement of support from the Faculty advisor & a statement indicating whether the work has been submitted for another award.	A minimum of three examiners including two external & Chaired by a member of university staff.	Compulsory	No	-	4

Institution	Eligibility – Categories	Eligibility – Restrictions	Supervisor	Prima Facie Stage	Submission	Examiners	Oral Examination	MPhil	Fee (£)	No.
Coventry <sup>4</sup>	A, B, C	Current employees for at least two years standing. Previous employees for at least two years & not ceased to be employees less than two years before date of submission.	No	Yes – considered by Research Degrees Committee	Publications plus 5000 word (max) commentary & statement regarding the extent of contributions of all others on collaborative work.	At least two external & an independent Chair.	Compulsory	Yes	1470	0
De Montfort	A	Permanent member of staff of at least two years standing (full-time or 0.5FTE) or on a fixed term contract of at least three years	Yes – two supervisors with relevant research expertise & completion experience.	No	Publications plus an exposition & analysis of between 10000 – 25000 words.	Two external & at least one internal.	Compulsory	No	743 - 1700 pa	1
Derby	A, B, & E – current or former members of staff at collaborating establishments	Graduates of not less than three years standing.	Yes – an advisor with knowledge of the specific area.	Yes	Publications plus a critical appraisal of between 3000 – 5000 words.	Two external & an internal Chair.	Compulsory	No	360	0

<sup>4</sup> The information recorded here also applies to Worcester

Institution	Eligibility – Categories	Eligibility – Restrictions	Supervisor	Prima Facie Stage	Submission	Examiners	Oral Examination	MPhil	Fee (£)	No.
Glamorgan	A, B, C, D	No	Yes	Yes – initial registration assessed by senior researchers in the appropriate School.	Publications plus an overview of between 6000 – 10000 words.	For Staff – two external. For others one internal & one external.	Compulsory	No	1035	8
Glasgow Caledonian	A	Employee of at least five years standing, but this could be reduced to three years by the Higher Degrees Committee.	Yes – implied that it would be someone with relevant experience in the area of research – to be appointed by the Dean of School & approved by HDC.	Yes – decided at School level.	Submitted work to be bound & incorporate: an introduction; a review of research to date in the area of study; a form of linkage showing the interrelationship between the articles/papers; a signed declaration of joint/co-authorship & a critical analysis.	Two external & an internal examiner who acts as Chair.	Compulsory	No	Nil	0

Institution	Eligibility – Categories	Eligibility – Restrictions	Supervisor	Prima Facie Stage	Submission	Examiners	Oral Examination	MPhil	Fee (£)	No.
Herfordshire	A, B, C, D	Graduate or a member of staff of at least three years standing.	Yes	Yes – there is a progression stage.	Publications plus abstract plus critical appraisal of no more than 10000 words & statements about relative contributions within collaborative publications.	One internal & one to two external. At least one examiner to have at least three successful examinations	Compulsory	Yes	2705	7
Huddersfield	A, B,	Candidates in the employment of the university for at least five years.	Yes	Yes	Publications plus critique.	One internal & one external.	Compulsory	Yes	1000	1
Kingston	A, B, C,	Yes – available to any staff who have at least three years association with the University. Former staff must be recently retired.	Yes – permanent member of staff who has supervised at least one previous PhD submission.	Yes – proposals are considered by the committee.	Portfolio of published works plus 10000 word commentary.	At least one external & one internal.	Compulsory	Yes	-	0
Leeds Metropolitan	A, B, C, D, & E – open to any applicant who meets the eligibility criteria	Must be able to demonstrate a substantial publication record.	Yes – must meet the University's requirements for supervision.	No	Publications plus an enveloping synthesis of the submitted works not exceeding 8000 words.	At least one external & one independent internal. For staff, two external plus one internal.	Compulsory	No	855	6

Institution	Eligibility – Categories	Eligibility – Restrictions	Supervisor	Prima Facie Stage	Submission	Examiners	Oral Examination	MPhil	Fee (£)	No.
Lincoln	A, B, C, D	In employment of the university for at least three years.	No	Yes – a preliminary assessment.	Publications plus 5000 word appraisal.	Two externals.	Compulsory	Yes	-	2
Liverpool John Moores	A, B	B – only if the candidate registered prior to leaving. Must hold a masters or equivalent & have been in continuous employment of the university for at least three years & demonstrate that a substantial proportion of the published work has been carried out since joining the university staff.	Yes – a suitably qualified & experienced member of staff is appointed as advisor.	Yes – must establish a case for submission which includes a list of published works & a draft summary.	Publications plus 6000 word summary with linking commentary & critical review, statement of contribution to jointly authored publications & an abstract of 300 words.	One internal & two externals.	Compulsory	No	-	6



Institution	Eligibility – Categories	Eligibility – Restrictions	Supervisor	Prima Facie Stage	Submission	Examiners	Oral Examination	MPhil	Fee (£)	No.
London Metropolitan	A, B, C, D	Current or former members of staff must have been employed for at least two years (full-time) and three years (part-time).	Yes	Yes – application for registration is submitted to the Research Degrees Committee	Publications plus covering document of 5000 – 10000 words setting the work in context & demonstrating it constitutes a coherent whole.	Two external.	Compulsory	No	1000 plus 700 for 2 <sup>nd</sup> year.	1
Luton	A, C, D,	No	Yes – appropriate member of staff from discipline area with experience of research degree supervision.	Yes – applicants submit a preliminary application for consideration by the Research Degrees Committee	Publication plus 10000 word report (max) that places the publications in context.	Not less than three examiners of which two must be external.	Compulsory	No	1550	2

Institution	Eligibility – Categories	Eligibility – Restrictions	Supervisor	Prima Facie Stage	Submission	Examiners	Oral Examination	MPhil	Fee (£)	No
Manchester Metropolitan	Route 1: A, B, C, D & E – other candidates who have a long-standing association eg Honorary Visiting Research Fellows Route 2: A & D	Route 2 candidates must have acquired substantial experience in a working research environment & accumulated a substantial record of publication achievement which has been acknowledged by peer review.  Staff must have been in employment for at least two years & left employment no longer than six months previously.  Alumni & Graduates must be of at least five years standing & have already obtained a masters.	Route 1 candidates have a full supervisory team.  Route 2 candidates have an advisor.	Yes for Route 2 of the Research Degrees Committee appoints two experienced members of staff as advisors to determine case for proceeding.	Thesis should be of standard length of a normal PhD, to include an introduction, the publications, concluding section & a statement providing clear indication of the candidate's contribution to the publications.	For non-staff two internal & one external.  For staff two externals & one internal.	Compulsory	No	Same as normal PhD	2

Institution	Eligibility – Categories	Eligibility – Restrictions	Supervisor	Prima Facie Stage	Submission	Examiners	Oral Examination	MPhil	Fee (£)	No.
Napier	A, B, C, D,	Registration not permitted to candidates who have undertaken a significant period of study for a PhD by Dissertation, or who already possess a PhD.	Yes – an internal supervisor & in exceptional cases, an external supervisor.	Yes – the application is considered by the relevant Faculty Research Committee before being considered by the Higher Degrees Committee.	Critical appraisal of 10000 – 25000 words of the cited published works, stating the aims & providing a description of the research programme & an analysis of its component parts.	One internal & two external.	Compulsory	No	735	1
Northumbria at Newcastle	A, B, C, D, & E – individuals with an existing formal academic association with the university may also seek to apply	Permanent members of academic staff or other full-time University staff can apply two years after initial appointment but not before.	No – though an advisor is appointed if a prima facie case is established.	Yes – applicant submits to relevant university committee a list of published works, a summary not exceeding 300 words & the fee.	Publications plus 5000 word written appraisal, any forms related to the submission of jointly authored work & declaration that the work has not been submitted for another award.	Two external.	Compulsory	No	750	3
Paisley	A,	Member of staff of at least three years standing.	Yes	Yes – specified information submitted to a full meeting of the Research Degrees Committee.	Publications plus a critical review of 10000 – 25000 words.	Two external plus possibly one internal.	Compulsory	No	-	1

Institution	Eligibility – Categories	Eligibility – Restrictions	Supervisor	Prima Facie Stage	Submission	Examiners	Oral Examination	MPhil	Fee (£)	No.
Plymouth	A, C, D	Candidate has to be in post for at least five years.	Yes – Head of School & Graduate Committee.	Yes – candidate must submit to the Graduate Committee a brief CV, a project summary (500 words) & a list of published works.	Publications plus a 3000 word summary of research.	No less than three examiners two of whom are internal.	Compulsory	No	-	4
Sheffield Hallam	A, B, C, D, & E – staff from associate colleges or collaborating organisations	Member of staff for at least three years standing. Staff of a collaborating organisation should have not less than five years relevant professional experience.	Yes – research active member of staff.	Yes – application is assessed by two rapporteurs on behalf of the Research Degrees Sub-committee.	Publications plus a 5000 – 10000 word critical appraisal.	Two externals & one internal.	Compulsory	No	875	7
Staffordshire	A, B, C, D, & E – those appropriately qualified who can demonstrate a prima facie case	No	Yes – someone with appropriate academic expertise.	Yes – two members of (and appointed by) the Research Degrees Committee who report back for confirmation of their recommendations.	Publications plus a critical appraisal not exceeding 10000 words.	One internal & one to two externals.	Compulsory	No	As other doctoral programmes	1

Institution	Eligibility – Categories	Eligibility – Restrictions	Supervisor	Prima Facie Stage	Submission	Examiners	Oral Examination	MPhil	Fee (£)	No.
Sunderland	A, B, C, D	Candidate needs to hold an honours degree from a UK University or CNAA or equivalent.	Yes – School recommends an experienced advisor to the Research committee.	Yes – sub-group of the research committee meets to consider the application.	Published works & a commentary of 5000 – 6000 words.	At least one internal & one external.  For members of staff at least two external.	Compulsory	Yes	1200	3
Teesside	A, B, C, D, & E – anyone who satisfies the minimum criteria for entry to a higher degree by research plus at least five years relevant postgraduate experience in a subject area in which the university has research expertise	Yes	Yes – an advisor who has completed at least two successful supervisions at doctoral level & be a specialist in the subject area.	Yes – a brief statement from the candidate outlining the basis on which they wish to be considered, a list of four referees who are expert in the chosen field & a fee of £400.	Submitted work must constitute a coherent whole & incorporate an abstract, introduction & conclusion & intermediate connecting passages (if applicable).	A minimum of two examiners.  For permanent full-time staff plus two externals (possibly) a third internal.	Compulsory	No	£400 for prima facie stage £800 stage 2	2
West of England	A, B, C, D, & E – any applicant	No	No	Yes – internal group of three members of the Higher Degrees Committee.	Publications plus commentary describing coherence & addressing methodological issues.	Two externals with an internal Chair.	Compulsory	No	-	2

Institution	Eligibility – Categories	Eligibility – Restrictions	Supervisor	Prima Facie Stage	Submission	Examiners	Oral Examination	MPhil	Fee (£)	No.
Westminster	A, B, C, D	Candidate must meet normal MPhil/PhD entry requirements & normally have at least five years relevant experience post first degree & have prior or current significant connection with the university.	Yes	Yes – viability is assessed by host Research Centre prior to enrolment.	Coherent body of work, abstract & commentary. 5000 words for Science & Technology subjects, 10000 words for arts, social sciences & humanities.	One internal & one external.  For members of staff one internal & two external.	Compulsory	No	-	0
Wolverhampton	A	No	Yes – an academic advisor with appropriate standing in the discipline & significant supervisory experience. They may be external to the university.	Yes – registration needs to be formally approved.	Publications plus critical commentary of 5000 – 20000 words & an abstract of 300 words.	Two external & at least one internal.	Compulsory	No	As candidates are staff, fees are paid internally under staff development 'Pathways' agreement	2

Institution	Eligibility – Categories	Eligibility – Restrictions	Supervisor	Prima Facie Stage	Submission	Examiners	Oral Examination	MPhil	Fee (£)	No.
<b>Specialist Arts Colleges</b>										
Glasgow School of Art	A, B, D	Candidates must be full-time employees of at least five years standing.	No	Yes – decided at School/Faculty stage.	Regulations allow for the submission of artefacts in line with RAE 2000 guidelines.	One internal & two external.	Discretionary	No	-	0
<b>Specialist Bio-medicine &amp; Social Science Colleges</b>										
Wales, College of Medicine	A, C, D	Member of staff or graduate of the university of at least six years standing.	Yes – advisor is appointed who provides general guidance on the presentation & written commentary.	Yes – panel consists of Head of Dept., advisor, & one internal assessor.	Published works plus 5000 – 10000 words critical analysis.	Head of Department in Chair, two externals for staff & one external for non staff, one internal examiner for non staff only, Secretary & convenor.	Compulsory	No	236	0
<b>HE Colleges &amp; Other Institutions</b>										
Bolton Institute	A, B, C, D	No	Yes	Yes – 1500 words in support of registration for the degree.	Publications plus 10000 word critical appraisal.	At least two but no more than three examiners one of which must be external.	Compulsory	No	-	0
Roehampton	A, B, C	Candidate must have been a member of staff for at least three years.	No	Yes – application is considered by the Research Degrees Board.	Publications plus supporting statement outlining their significance.	At least two external.	Compulsory	No	-	2

Institution	Eligibility – Categories	Eligibility – Restrictions	Supervisor	Prima Facie Stage	Submission	Examiners	Oral Examination	MPhil	Fee (£)	No.
Southampton Institute	A, C	Must have been full-time member of staff for at least three years.	Yes – Dean nominates an advisor.	No	Publications plus written commentary placing the work within its academic context – no word limit is specified.	At least two externals, no internal.	Compulsory	No	-	1
Wales Institute, Cardiff	B, C, D, & E – candidates are either a graduate of the University of Wales or at least six years or a member of staff at a constituent institution or University College for at least six years	Candidates are not eligible if they have been previously approved for a PhD or other related Doctoral degree of the university, or have been examined for a Doctoral Degree but not been approved.	Yes – an advisor.	Yes – internal peer review.	Publication plus critical summary of 5000 – 10000 words.	Two external.	Compulsory	No	225 for staff	0



#### Appendix 4

#### Analysis of the Regulations for the award of PhD on the basis of published work

Institution	MA/MSc	Submitted as part of a research degree submission	Planned changes	Number of publications required within a submission	Restrictions regarding period of time over which works published	Further comments
<b>Pre 1960 Institutions</b>						
Birmingham	No	No	No	No	Only work carried out during candidate's period of tenure.	-
Bristol	No	No	No	No	No	-
Cambridge	No	Yes	No	No	No	-
Edinburgh	No	No	No	Must consist of either one or two books, or at least six refereed journal articles or research papers already in the public domain. Total submission including critical review not to exceed 100,000 words.	Not material published more than 10 years prior to the date when registered for the degree.	-
Kings College London	No	Yes	No	-	-	-
Leeds <sup>5</sup>	No	Yes	No	No	No	-
Liverpool <sup>6</sup>	No	No	No	No	Only publications written during the registration period (including those accepted but not yet published) may be used.	-

<sup>5</sup> The information recorded here also applies to York St John

<sup>6</sup> The information recorded here also applies to Liverpool Hope

Institution	MA/MSc	Submitted as part of a research degree submission	Planned changes	Number of publications required within a submission	Restrictions regarding period of time over which works published	Further comments
Manchester	No	Yes	No	No	A significant proportion of the work must have been carried out while the candidate was employed as a member of the University's academic staff.	-
Newcastle	No	No	No	Individual Faculty Guidelines.	Only work undertaken during a minimum period of three years & a maximum period of six years.	-
Queens Belfast	No	No	No	No	Only works published within the 10-year period prior to submission will be considered.	Currently reviewing regulations, some comments may change. Uptake at present is minimal.
Sheffield	No	Yes	No	-	-	PhD candidates may include publications produced during their research project within their thesis, providing the thesis is demonstrably a coherent body of work. However, the University does not regard such programmes as 'PhD's by Publication'.

Institution	MA/MSc	Submitted as part of a research degree submission	Planned changes	Number of publications required within a submission	Restrictions regarding period of time over which works published	Further comments
<b>1960 - 1990 Institutions</b>						
Bangor	No	Yes	No	No	No	-
Bradford	No	No	No	No	No	Candidates may incorporate published work in their thesis providing it is recorded in the thesis, together with the title, place, & date of publication.
City	No	Yes	PhD by published work is only awarded to staff candidates; the RDC is currently considering opening this out to leading professionals with substantial publications.	Generally no more than 10 (but differs from subject to subject).	No	-
Dundee	No	-	-	-	-	-
Exeter	No	Yes	No	-	-	Award Higher Doctorates on the basis of published work (eg DD, DEng, LLD, DLitt, DMus, DSC).
Hull	No	No	No	No	No	-

Institution	MA/ MSc	Submitted as part of a research degree submission	Planned changes	Number of publications required within a submission	Restrictions regarding period of time over which works published	Further comments
Stirling	No	-	-	-	-	Award Higher Doctorates (DLitt, DSc.) on the basis of published work.
Surrey	No	No	No	No	No	-
Sussex	No	Yes	No	-	-	Award a Higher Research Degree eg Doctor of Letters (DLitt) or Doctor of Science (DSc). This does not entitle the award holder to use the title 'Doctor' though.
Swansea	No	Yes	To be reviewed by Federal University of Wales.	No	Publications within the past 10 years.	Although the award has been available for a number of years, the first candidate has just been enrolled. There has been increased interest in this route recently.
Ulster	No	Yes	No	No	No	-
Warwick	Yes	Yes	No	No	No	-
<b>Post 1990 Institutions</b>						
Abertay Dundee	No	Yes	Reviewing regulations	No	No	-
Anglia Polytechnic	No	No	No	No	Published within the last ten years	-
Bournemouth	No	No	Regulations are currently being reviewed by the Research Degree committee	No	No	The regulations are being reviewed following the first completions of PhD by Published Work.

Institution	MA/MSc	Submitted as part of a research degree submission	Planned changes	Number of publications required within a submission	Restrictions regarding period of time over which works published	Further comments
Brighton	No	No	No	No	No	-
Central England	No	Yes	No	No	No	-
Coventry <sup>8</sup>	No	Yes	No	No	No	-
De Montfort	No	-	-	No	No	-
Derby	No	No	No	No	No	Since 2003 two candidates have successfully completed & four more are being progressed.
Glamorgan	No	No	No	No	No	-
Glasgow Caledonian	No	Yes	No	No set minimum or maximum, emphasis is more on quality than quantity.	No	This is a new degree at GCU.
Gloucestershire	No	No	Currently engaged in a review of our research degree programmes & intend to put forward a proposal for the validation of PhD, MPhil, MA & MSc by Published Work during this academic year.	No	No	Will be doing developmental work on regulations for research degrees by publication.

<sup>8</sup> The information recorded here also applies to Worcester

Institution	MA/MSc	Submitted as part of a research degree submission	Planned changes	Number of publications required within a submission	Restrictions regarding period of time over which works published	Further comments
Hertfordshire	No	Yes	Currently revising regulations to bring PhD by Published Work into line with general regulations – candidates will be able to use previously published work as part of an 'ordinary' submission.	No	No	-
Huddersfield Kingston	No No	Yes No	No No	No No	No No	- Not yet had a candidate who has completed the process.
Leeds Metropolitan	No	Yes	No	At least six distinct substantial refereed journal articles or equivalent from an extensive portfolio of publications.	No	-
Lincoln	No	No	No	No	Works published within the last 10 years.	-
Liverpool John Moores	No	Yes	No	A minimum of five publications.	A substantial proportion of the published work must have been carried out since joining the university.	Numbers of staff wishing to register for the award is small but steady each year.

Institution	MA/MSc	Submitted as part of a research degree submission	Planned changes	Number of publications required within a submission	Restrictions regarding period of time over which works published	Further comments
London Metropolitan	No	No	No	No	No	Title of the award is 'PhD by Prior Output' in order to cover areas such as art & design, where output does not consist solely of printed publications.
Luton	No	Yes	No	Written information provides a rough guide.	No	-
Manchester Metropolitan	No	No	No	For Science & Engineering subjects the number of journal publications normally selected to contribute is five or six. For other subject areas this may be larger.	Candidates who have not actively published within a two year period prior to submission are not normally eligible.	-
Napier	No	No	No	Six substantial journal articles or equivalent publications.	Published within the last 10 years.	-

Institution	MA/MSc	Submitted as part of a research degree submission	Planned changes	Number of publications required within a submission	Restrictions regarding period of time over which works published	Further comments
Northumbria	No	Yes	No	No	No	Written regulations for PhD & MPhil require that students should also provide with the submission, copies of any published material to enable examiners to be fully informed of the contribution to the knowledge actually made by the submission.
Paisley	No	No	No	No	No	-
Plymouth	No	No	No	No	Published within the previous five years.	-
Robert Gordon	No	No	Award currently on hold & being reviewed.	No	No	-
Sheffield Hallam	No	No	No	No	Applicant must have published over a minimum of two years & be an accomplished researcher. No timescale for maximum periods or age of the publications.	-
Staffordshire	No	No	No	No	No	-
Sunderland	No	No	No	No	No	-



Institution	MAMSc	Submitted as part of a research degree submission	Planned changes	Number of publications required within a submission	Restrictions regarding period of time over which works published	Further comments
Teesside	No	Yes	Currently reviewing whether to allow the MPhil as a fallback award, & therefore also an award <i>ab initio</i> .	Candidate & Advisor are advised that where papers form the body of the submission, they may wish to consider the number of papers that are required to accomplish the objective.	No, but this means that the Examiners need to be able to assess if the work was a contribution to new knowledge at the time of publication.	The award is not just for conventional publications, the University may consider 3D artefacts with written contextualisation, or unpublished papers or other media formats. There are problems related to jointly authored papers & determining the candidates contribution to these. Contribution made to the work must be supported by letters from the co-authors incorporated into the final submission.
West of England	No	No	No	No	No	Considering restricting availability to those with direct connection to the University.
Westminster	No	No	No	No	Published within the previous five years.	-

Institution	MA/MSc	Submitted as part of a research degree submission	Planned changes	Number of publications required within a submission	Restrictions regarding period of time over which works published	Further comments
Wolverhampton	No	No	No	Normally advise at least one single-authored book & additional high-quality peer-reviewed outputs.	Publication normally within five years of the date of its submission.	Since its inception in 1998 there have been six successful conferments. Examiners have been complimentary about the quality of work & have deemed that other possible suitable candidates should be persuaded to come forward.
<b>Specialist Art Colleges</b>						
Glasgow School of Art	No	No	No	No	No	-
<b>Specialist Bio-medical &amp; Social Sciences Colleges</b>						
Institute of Education (IoE)	No	Yes	No	-	-	The published material submitted as part of a research degree cannot be part of the main thesis, but can be adapted to form an integral part, & thereby make a relevant contribution to the main theme of the thesis. The IoE abides by the federal University of London regulations for PhD & MPhil.

Institution	MIA/MSc	Submitted as part of a research degree submission	Planned changes	Number of publications required within a submission	Restrictions regarding period of time over which works published	Further comments
London School Hygiene & Tropical Medicine (UoL)	No	Yes	No	No	No	-
School of Pharmacy (UoL)	No	No	No	-	-	-
Wales College of Medicine	No	No	No	No	No	-
<b>HE Colleges &amp; Other Institutions</b>						
Bolton Institute	No	Yes. Published work is supportive, not replacing the substance of the traditional PhD thesis.	No	No	No	Since developing the regulations in 1999/2000 we have not registered any candidates, although we have considered & rejected a handful of initial applications.
Institute of Cancer Research	No	No	No	-	-	-
Newport (UWCN)	No	No	No	-	-	Do not currently award any degrees by published work, although the University of Wales's regulations do allow us to do so. Are currently reviewing the situation in respect of our awards.

Institution	MA/MSc	Submitted as part of a research degree submission	Planned changes	Number of publications required within a submission	Restrictions regarding period of time over which works published	Further comments
Roehampton	No	Yes	No	No	A significant proportion must have been produced during appointment at Surrey Roehampton.	-
Southampton Institute	No	Yes	No	No	Study & research carried out during the period of appointment should form a significant contribution to the published works.	-
Wales Institute, Cardiff	No	Yes	No	No	Published within the previous 10 years.	-

## **Appendix 5 The Award of the Degree of PhD on the Basis of Published Work in the UK Questionnaire**

### **Background**

The UK Council for Graduate Education (UKCGE) carried out a survey of the award of the degree of PhD on the basis of published work in the UK in 1995 and published the findings in a Report with the above title in 1996. This publication was prepared and written by Professor Keith Wilson and can be found on the UKCGE website under 'Reports'. Subsequently, Professor Wilson prepared a second report in which this particular award was set within the context of European universities.

By way of summary:

- 73 Higher Education Institutions (HEIs) responded to the 1995 survey (68% response rate) and are noted in Table 1 of the publication
- The award of PhD by Published Work was offered in 37 HEIs
- Of the 36 HEIs not offering the award, 8 declared that the matter was under discussion at the time.

### **Updating the Documents**

UKCGE now intends to update both these documents. The first stage is to repeat the survey of eight years ago to determine what developments, if any, have taken place in the prevalence and nature of the award. To this end the Council would be grateful if member institutions could complete the short questionnaire attached and return it Suzanne Hayward (Suzanne.Hayward@ukcge.ac.uk) by Friday 10th October 2003.

### **Responses to the 1995 survey**

Colleagues who wish to check their responses to the 1995 survey can find them in the report (see Tables 1 & 2 and Appendix 1) at: [http://www.ukcge.ac.uk/PhD\\_by\\_published\\_work.doc](http://www.ukcge.ac.uk/PhD_by_published_work.doc)

*Professor Stuart Powell*  
*Honorary Secretary, UKCGE*

*Elizabeth Long*  
*Administrator, UKCGE*

*September, 2003*

## QUESTIONNAIRE

<b>A. Existence of the Award</b>			
Does your Institution:			
		Yes	No
A1.	award a PhD by Published work?		
A2.	award an MPhil by Published Work?		
A3.	award an MSc or MA by Published Work?		
A4.	allow published work to be submitted as part of a research degree submission (i.e. without specifying the award as 'by published work')?		
A5.	plan any changes in respect of any of the above?		
	<i>(if yes, please specify)</i>		
<i>If no to all questions in section A then please go to the end of this questionnaire and forward your response as requested.</i>			

<b>B. Eligibility</b>				
B1.	Which of the following eligibility categories apply to the degree?		Please tick	
	A =	Current academic staff	<input type="checkbox"/>	
	B =	Former academic staff	<input type="checkbox"/>	
	C =	Current other University staff	<input type="checkbox"/>	
	D =	alumni	<input type="checkbox"/>	
	E =	Others <i>(please specify)</i>	<input type="checkbox"/>	
B2.	Are there any particular restrictions on these eligibility categories (e.g. to be eligible candidates must have been in the employment of the university for at least two years?)  <i>(please specify)</i>		Yes	No
			<input type="checkbox"/>	<input type="checkbox"/>

<b>C. Supervision</b>			
		Yes	No
C1.	Does a candidate for a research degree by published work have an appointed supervisor?	<input type="checkbox"/>	<input type="checkbox"/>
C2.	If yes (to C1), do the regulations define who that supervisor shall be (eg HOD or Dean)?		

<b>D. Submission and Examination</b>			
		Yes	No
D1.	Is there a <i>prime facie</i> stage (or equivalent)	<input type="checkbox"/>	<input type="checkbox"/>

	If yes, please comment:		
D2.	Is any guidance given on the number of publications required within a submission?	<input type="checkbox"/>	<input type="checkbox"/>
	If yes, please specify:		
D3.	Are there any restrictions regarding the period of time over which the applicant's cited works were published?	<input type="checkbox"/>	<input type="checkbox"/>
	If yes, please specify:		
D4.	What form does the submission take (e.g. publications plus 6000 word critical appraisal)?		
D5.	How is the examination panel constituted (e.g. three internal and at least one external)?		
D6.	Is the Oral Examination:	Please tick one box	
	1. compulsory?	<input type="checkbox"/>	
	2. discretionary?	<input type="checkbox"/>	
	3. not required?	<input type="checkbox"/>	

<b>E. Cost and Frequency</b>		
E1.	What is the fee?  (clearly some respondents may wish not to divulge this figure, in which case please ignore)	£
E2.	How many awards by published work did your institution make between 1 <sup>st</sup> January 2001 and 31 <sup>st</sup> December 2002?	

<b>F. Any Other Comments</b>		
	Please make any other comments regarding research awards by publication.	

*Thank you for taking part in this survey. Member institutions will be notified when the results are published on the UKCGE website.*

**Professor Stuart Powell      Elizabeth Long**  
**Honorary Secretary, UKCGE    Administrator**

**September 2003**



## UK Council for Graduate Education Published titles

<b>ISBN</b>	<b>Title</b>
0 9525751 0 8	Graduate Schools (1995)
0 9525751 1 6	The award of the degree of PhD on the basis of published work in the UK (1996)
0 9525751 2 4	Practice-Based Doctorates in the Creative and Performing Arts and Design (1997)
0 9525751 3 2	The status of published work in submissions for doctoral degrees in European Universities (1998)
0 9525751 4 0	Preparing Postgraduates to Teach in Higher Education (1999)
0 9525751 5 9	The International Postgraduate: Challenges to British Higher Education (1999)
0 9525751 6 7	Research Training for Humanities Postgraduate Students (2000)
0 9525751 9 1	Quality and Standards of Postgraduate Research Degrees (1996)
0 9525751 7 5	Research training in the Creative and Performing Arts and Design (2001)
0 9525751 8 3	Professional Doctorates (2002)
0 9543915 0 0	Research Training in the Healthcare Professions (2003)
0 9543915 1 9	A Review of Graduate Schools in the UK (2004)