

CODE OF PRACTICE ON POSTGRADUATE RESEARCH DEGREES: APPENDIX 10

PROCEDURE FOR UNDERTAKING THE DEGREE OF DOCTOR OF PHILOSOPHY BY PUBLISHED WORK

1. Introduction
   1. This procedure outlines the application, submission and examination procedures for the award of PhD by Published Work. It is Appendix 10 of an inter-related framework of procedures under the *Code of Practice on Postgraduate Research Degrees*.
   2. The PhD by Published Work route is intended primarily for mid-career research-active individuals who have not had the opportunity to undertake a research programme leading to a PhD.
   3. Submissions for the award will consist of a coherent body of work which is of the same quality, rigour and volume as required of a standard PhD in the field and which constitutes an original contribution to knowledge.
2. ****Criteria for candidature by published work****
   1. A PhD by published work must be of an equivalent standard to a PhD by dissertation.  A candidate’s published work must therefore:
      1. Relate in a coherent way to the field of knowledge and represent a significant and original contribution.
      2. Show evidence of the candidate’s capacity to pursue independently original research based on a good understanding of the relevant techniques and concepts.
      3. Contribute to knowledge at a level and scope equivalent to the dissertation route.
3. ****Eligibility****
   1. Candidature for the degree of PhD by published work may be granted to:
      1. Members of staff of the Liverpool School of Tropical Medicine (LSTM) who can demonstrate a record of publications or other public outputs of research of appropriate quantity and quality. There is no minimum period of employment but only staff who have been in post for at least three years will be eligible for a discounted fee (Section 5.3).
      2. External applicants who can demonstrate a record of publications or other public outputs of research of appropriate quantity and quality. External applicants would normally be expected to have a pre-existing connection with LSTM (e.g. through collaborative research activities) but this requirement may be waived for exceptional candidates.
4. ****Application****
   1. Prospective applicants should in the first instance contact a relevant LSTM academic most closely associated with their research area to discuss the possibility of undertaking the PhD by Published Works. The initial discussion will consider the quality of the applicant’s research, their career and educational background, and the resources at the disposal of LSTM to support registration and successful completion.
   2. Prior to registration, candidates will be required to submit an application with the objective of enabling LSTM to make a preliminary judgement as to the quality and coherence of the publications, the likelihood of a submission which will meet the criteria for the award, and the ability of LSTM to provide appropriate supervision and resources.
   3. An application must include:
      1. A synopsis of approximately 500 words, which should include the proposed title of the work and seek to contextualise the selected publications, making clear the specific role of the applicant in each. The synopsis must demonstrate that the papers represent a coherent body of work and explain why they constitute a significant contribution to the advancement of knowledge in the chosen area of research.
      2. A list of the publications the candidate intends to submit. There is no prescribed number of publications, but the norm would be between 4 and 8.
      3. A curriculum vitae cv including all publications and research outputs
      4. A supporting statement from the proposed advisor(s).
   4. The work included in the application must not previously have been used for the award of any other qualification.
   5. The application will be reviewed by the Director of Postgraduate Research and the Head of the relevant Department, who will recommend one of the following:
      1. There is a case for admission to the degree of PhD.
      2. There is no case for admission to the degree of PhD, but LSTM would be willing to reconsider the application after revisions have been made.
      3. There is no case for admission to the degree of PhD.
   6. By recommending that the there is a case for admission, the reviewers are confirming that the candidate:
      1. Meets the entry criteria
      2. Has a substantial body of work and skills that can be considered equivalent to a traditional PhD at the beginning of the writing‐up process
      3. Is likely to meet the required standard for a PhD by Published Work.
      4. Includes evidence of a unifying theme across the publications/outputs
      5. Includes evidence of originality
      6. Includes evidence of research skills equivalent to those expected of a traditional PhD student in the relevant discipline
      7. Has proposed a suitable PhD title
      8. Has identified a suitable advisor
   7. A candidate should not assume that permission to register for a PhD by Published Work will automatically result in the award of a PhD.
5. ****Registration and fees****
   1. The maximum period of registration from the point of approval of the application will be one year.
   2. For successful applicants, the Director of Postgraduate Research will assign one or more advisors to support and guide the candidate during the preparation of the work for submission. The advisor will be a senior member of LSTM academic staff who is familiar both with the standard required and with the candidate’s field of work. Advisors must have previously supervised a PhD student to completion via the dissertation route. Where supervisors do not have such experience, a supervisory team must be formed which comprises at least one other member of academic staff who has PhD completions.
   3. The standard fee will be equivalent to one year’s full-time home, EU or overseas PhD fee (as appropriate) for a traditional PhD in the relevant academic year regardless of the date of submission. Graduates of LSTM will be given a discount of 25% against the standard fee. Members of LSTM staff who have been employed for at least three years immediately prior to the submission of published work will be charged a discounted fee as approved annually by the LSTM Management Committee.
6. The role of the advisor
   1. The advisor will act in a similar role to that of a supervisor for a standard PhD project, but with more emphasis on being a mentor to the candidate.
   2. The advisor will:
      1. Guide the candidate in the final selection of publications for inclusion in the submission and the coherence of the body of work to be submitted.
      2. Support and advise on the development of the introductory section.
      3. Advise the candidate in relation to any research training opportunities that might assist him/her in successful completion.
      4. Make arrangements for the examination, including nomination of the examiners.
7. ****Submission****
   1. The procedure for submission shall follow the processes detailed in Appendix 8 of the *Code of Practice on Postgraduate Research Degrees*.
   2. The submission will consist of two parts, a substantial body of published work and a commentary that demonstrates that the published works comprises a coherent body of academic work that meets the requirements for the award of PhD.
   3. The following shall apply to the portfolio of published work:
      1. Publications should demonstrate that the quality, extent and level of research undertaken is at least equivalent to that expected of a traditional PhD student who has reached the end of the writing‐up stage.
      2. Publications may include academic papers, chapters, books, scholarly editions of a text, technical reports, creative work in relevant areas, or other artefacts.
      3. Candidates may include publications beyond those cited in their application provided all publications are at least in press at the point of submission.
      4. The number of publications will depend on both the academic area and the type of publication included in the submission.
      5. Publications must not have been used in the submission for another research degree
      6. The candidate must include a signed statement advising how far the work submitted is based on his/her independent study, making clear, for each publication, how far the work was conducted in collaboration with or with the assistance of others and the conditions and circumstances in which the work was carried out. Where the candidate is not the first author in co‐authored papers, the extent of their contribution should be certified by at least one co‐author (who must be the corresponding author is this is not the applicant).
   4. The introductory section should:
      1. Normally be 5,000 - 10,000 words in length.
      2. The commentary (usually between 5,000 and 10,000 words) Set the published work in the context of existing literature and evaluate the contribution that the research makes to the advancement of the chosen subject or professional area.
      3. Stress the coherence of the publications, linking them to the methodology adopted.
      4. Include a section relating to the candidate’s research methodology. This is particularly relevant if detail regarding methodology is not included in the publications. The PhD is about rigour of research process as well as the originality of the outcomes.
8. ****Examination****
   1. The appointment of examiners and the examination process should follow the procedure laid out in Appendix 3 of the *Code of Practice on Postgraduate Research Degrees,* where references to ‘supervisor’ should be read as ‘advisor’.
   2. In reviewing the submission, the examiners’ main tasks are to:
      1. Evaluate the intellectual merit of the candidate’s cited published work.
      2. Establish if a satisfactory case has been made for coherence between the publications.
      3. Assess the contribution to knowledge represented by the publications.
      4. Evaluate the rigour with which the candidate has contextualised and analysed his/her publications.
      5. Evaluate the appropriateness of the methods employed in the research and the correctness of their application.
      6. Assess the candidate’s contribution to the various phases of the research embodied in multi‐authored works.
   3. The examination will include a *viva voce* defence as for a traditional thesis. Due to constraints imposed by publishers, published work may contain less detail than a traditional thesis. There may be instances where the evidence available to the examiners about the quality of the work and the raw data on which important conclusions are based is minimal. Whilst to a large extent this should have been addressed in the introductory section, the *viva voce* examination should be used as an opportunity to question the candidate on how conclusions were reached.
   4. The examiners’ recommendations shall be limited to one of the following:
      1. That the award of the degree of PhD should be made.
      2. That the candidate be allowed to resubmit the portfolio with a revised commentary section by a specified date (normally within three months).
      3. That the published work submitted falls short of the requirements, and the degree should not be awarded