



Postgraduate Research Code of Practice

APPENDIX 16

Policy on PhD by Prior Publication

1. General Principles

- 1.1 These Procedures must be read in conjunction with the University of Liverpool's (UoL) [PGR Code of Practice](#) and the relevant [programme ordinance](#). The following procedures document how the PGR Code of Practice applies to PhD by Prior Publication students.
- 1.2 A PhD by Prior Publication must meet the standards for doctoral degrees as set out in Appendix 00 of UoL's [PGR Code of Practice](#).
- 1.3 The award of PhD by Prior Publication is intended to enable candidates who have not had the opportunity to complete a traditional doctoral degree to demonstrate through their existing body of published work that they meet the benchmarks associated with the award of PhD.
- 1.4 A PhD by Prior Publication is not the same as integrating publications as chapters within a PhD thesis (thesis through publication). Further information on thesis through publication is available in Annex 2 of Appendix 7 of the PGR Code of Practice.
- 1.5 A PhD by Prior Publication is not the same as a Higher Doctorate. Higher Doctorates are awarded at a more advanced level than PhDs. Further information on Higher Doctorates is available [here](#).
- 1.6 A work shall be regarded as published only if it is traceable in ordinary catalogues, abstract or citation notices. Web-based documentation is only permissible if copies of it are or were accessible to the general public through standard channels. Materials designated for a restricted readership and/or on a confidential basis shall not be eligible for inclusion in a submission for this degree. Publications are expected to be international quality peer reviewed primary research articles, that make significant contributions to the field of study; or influence policies/ processes.
- 1.7 Acceptance on the programme and the inclusion of publications in the thesis does not guarantee that the candidate will be successful in the examination.

2. Eligibility and admission:

Also refer to:

- Appendix 1 of the PGR Code of Practice
 - Annex 2 of Appendix 1 of the PGR Code of Practice
- 2.1 Normally, candidates for the PhD by Prior Publication will be a current member of UoL staff not on an honorary contract, or a graduate of UoL. External candidates are eligible to apply where they possess current relevant and established research links with an existing member of UoL staff. The appropriateness of an applicant's research links with UoL will be assessed by the relevant Faculty review panel as part of the admissions process.
 - 2.2 Applicants will apply for the programme using the standard form (<https://www.liverpool.ac.uk/study/postgraduate-research/how-to-apply/>).
 - 2.3 Candidates should provide the following information with their application, in addition to the documentation listed in Appendix 1 of the PGR Code of Practice:
 - CV, listing all publications
 - The list of publications the candidate proposes to make the basis of their submission
 - A summary/synopsis (no more than 500 words) of the research area, contextualising the contribution of the candidate's research noting how this has advanced the discipline and making clear the candidate's contribution to the nominated publications

- Identification of the intended research area or Institute/School they will be affiliated with
- Name of the current member of senior staff they have discussed their application with
- Indication of whether they are staff, alumni or an external applicant

2.4 Candidates will be nominated by the relevant Department/School/Institute and be put forward for approval to a Faculty review panel. The final decision about whether a candidate will be admitted rests with this panel.

3. Registration status

- 3.1 The programme is available on a part-time basis only. Candidates shall normally be expected to submit their thesis within 12 months of their initial registration.
- 3.2 The minimum period of registration permitted before the thesis may be submitted shall be no less than 6 months. The student must complete the minimum period of registration before they are permitted to submit their thesis for examination.
- 3.3 The maximum period of registration shall be 18 months. This includes any period of suspended study and extensions to the expected submission date.
- 3.4 The maximum suspension or extension period available to candidates enrolled on the PhD by Prior Publication is 6 months only. There will be no opportunity to extend the maximum suspension or extension period. For further information about PGR suspensions and extensions please refer to Appendix 6 of the PGR Code of Practice.
- 3.5 There is no requirement for students enrolled on the PhD by Prior Publication to attend the UoL campus in person to engage with their studies, therefore UoL will not provide visa sponsorship to candidates enrolled on this programme.
- 3.6 There is no option to transfer-in to the PhD by Prior Publication.
- 3.7 Submission pending status is not available to candidates enrolled on the PhD by Prior Publication.
- 3.8 The PhD by Prior Publication is not available as part of collaborative partnership, off-site or split-site supervision arrangements.

4. Fees

- 4.1 Candidates enrolled on the PhD by Prior Publication are not liable for research support fees.
- 4.2 Students will pay a flat fee up front with no rebate for early submission.

5. Supervision

Also refer to Appendix 2 of the PGR Code of Practice.

- 5.1 All PhD by Prior Publication students must have a clearly identified thesis adviser who must have extensive previous experience of supervising and examining PhD theses, and will be the student's main point of contact. PhD by Prior Publication candidates will not normally be allocated a second thesis adviser; therefore, the percentage split of thesis adviser responsibility will be 100%. In instances where the thesis adviser does not have sufficient previous supervisory experience, a second thesis adviser will be appointed to provide appropriate mentoring and support.
- 5.2 The thesis adviser must be a member of staff of UoL; the role cannot be allocated to a recognised or external supervisor or an honorary member of UoL staff.

5.3 The role of the thesis adviser is:

- To mentor the candidate during the period of registration (i.e. be available for discussion and to advise on the submission)
- To guide the candidate on the choice of publications to be included in the thesis
- To support and advise on the thesis commentary
- To have recorded meetings with the candidate at least every 2 months
- To nominate Examiners
- To ensure that students complete the required mandatory training within the timescales communicated by the University

5.4 The thesis commentary must be produced during the candidate's period of registration at UoL under the guidance of the thesis adviser.

5.5 If students have concerns about supervision these should be raised directly with the Faculty Director of PGR.

6. Progression

6.1 Also refer to Appendix 3 of the PGR Code of Practice.

6.2 Students registered for the PhD by Prior Publication are expected to complete the programme within 12 months of registration, and therefore will not normally be required to engage in Annual Progress Monitoring or complete an Annual Progress Report. Candidates will not routinely engage with an Independent Progress Assessment Panel or Progress Committee except in exceptional circumstances (see Appeals section below).

6.3 Due to the programme's structure, students enrolled on the PhD by Prior Publication are not required to engage with a Development Needs Analysis, Portfolio of Activity, project plan or IPAP.

6.4 Students enrolled on the PhD by Prior Publication are not eligible transfer to an alternative award. A PhD is the only award available to candidates following the prior publication route.

6.5 Candidates whose registration spans more than one academic year are required to re-register for their studies prior to commencement of the new academic session.

7. Thesis presentation and submission

7.1 Also refer to:

- Appendix 7 of the PGR Code of Practice
- Annex 1 of Appendix 7 of the PGR Code of Practice

7.2 Thesis Commentary

The thesis must include an introductory commentary which precedes the nominated publications. The commentary should be no more than 20,000 words. The thesis commentary must be presented in line with the guidance provided in Appendix 7 of the PGR Code of Practice and Annex 1 of Appendix 7.

7.3 The purpose of the thesis commentary is:

- To contextualise the candidate's research within the existing literature of the discipline, setting out how the candidate's contribution has advanced the field and demonstrated originality

- To make clear the overarching objectives of the research presented in the thesis and explore both the research methods employed and the findings of the research
- To present a coherent and structured argument which possesses clear links with the selected publications
- To include a declaration outlining the candidate's contribution to the publications, particularly in respect of outputs derived from collaborative work and authorship/input on multi-author papers

8. Publications

- 8.1 It is expected that the candidate will be the primary (first) author on the selected publications. If this is not the case, the candidate should provide a statement from the corresponding author of the publication confirming the candidate's contribution. If the candidate is the corresponding author, then a statement from at least one co-author is required.
- 8.2 The body of published work should normally be 4-8 interconnected, peer-reviewed, published research publications written in English. In cases where candidates are working in the discipline of languages, the University may accept material written in a language other than English but this must be approved on behalf of the University by the relevant Faculty prior to admission.
- 8.3 It is at the discretion of the candidate and their thesis adviser, guided by practice within the appropriate academic discipline and any UoL Department / Institute specific guidance to determine the appropriate number of publications to include in the thesis.
- 8.4 The following criteria apply:
- 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 process (see PGR Code of Practice)
 - Publications may include academic papers, book chapters, books, scholarly editions of text, creative work in relevant areas. Acceptable publication formats and outlets are determined by the candidate's discipline area as guided by the thesis adviser
 - Students may include publications not originally cited in their application, but these must be at least in press at the point of thesis submission
 - The student is normally expected to be the first author or to be able to clearly define the importance of their academic contribution to each publication
 - The publications must provide a logical sequence of arguments that can be incorporated into an integrated whole. The submission must not simply comprise a series of unconnected papers
 - It is not permitted for materials that are not published or intended for publication to be included in the thesis, with the exception of the thesis commentary and the abstract
 - Only material published within 7 years of the candidate's intended examination date for the PhD by Prior Publication is eligible to be included in the thesis
- 8.5 Publications included in the thesis should be presented in their original, published format. Proofs of papers accepted for publication but not yet published shall be acceptable in their final format.
- 8.6 Candidates are not eligible to request an extension to the word count for the thesis commentary.

- 8.7 It is the responsibility of the student to obtain permission from the appropriate rights holder to reproduce publications in their thesis.
- 8.8 The final submission of the thesis for the degree must not include work for which a degree or other qualification has already been awarded except, for the sake of completeness, where some previous work has been substantially further developed, in which case all such work must be clearly identified.
- 8.9 The version of the thesis submitted for Examination will include the thesis commentary, abstract and PDF copies of the published material.
- 8.10 Following a successful examination outcome, the final version of the thesis will be submitted to the University repository. The thesis will be presented as a single PDF document to comprise the following:
- The thesis abstract
 - The thesis commentary
 - A full list of the published works submitted for the award to include the corresponding digital object identifiers or relevant web links to access the published material
 - Where the published works are available with a licence permitting redistribution, such as a Creative Commons licence, the works themselves can be included within the single PDF file, but there is no requirement to do so

9.Examination

- 9.1 Also refer to Appendix 8 of the PGR Code of Practice.
- 9.2 All students will be assessed through an oral examination (*viva*) which will comprise 2 External Examiners and an Independent Chair. No Internal Examiner will be appointed.
- 9.3 The thesis adviser must ensure that the Examiners are familiar with/ accepting of the thesis format. Upon despatch of the thesis Examiners should be reminded that it comprises previously published works. The Examiners will be provided with the relevant guidance in relation to the thesis format by the Research Degree Administration Team (SAS).
- 9.4 As well as undertaking the role assigned to them in section 7.2 of Appendix 8 of the PGR Code of Practice Independent Chairs of PhD by Prior Publication examinations are also responsible for the following:
- To arrange the date and location of the *viva* examination, in consultation with the External Examiners and the candidate; to ensure that all parties are formally notified of the date, which must normally be no later than three months after submission of the thesis
 - To ensure that the External Examiners have prepared an independent preliminary report in advance of the *viva* examination
 - To ensure that informal feedback on the thesis and examination is given to the candidate on the day of the examination
 - To ensure that an agreed final report is produced and signed by all Examiners (except where they fail to agree) and to forward a copy of this to the Research Degree Administration Team (SAS) within ten working days
 - To retain a copy of the examined thesis until the examination process has been completed
 - To ensure that any modifications required to a thesis are sent directly to the candidate in writing, normally no later than ten working days after the *viva* examination

- To report any significant problems which occur in the *viva* examination, or any general issues arising from it, to the Faculty Director of Postgraduate Research
 - Where minor modifications have been requested to the thesis, to ensure that all designated Examiners have seen and approved the modifications and signed a form to this effect, which must be forwarded to the Research Degree Administration Team (SAS). It is expected that such modifications will be completed by the candidate within three months from the date of the formal notification of the outcome of their *viva* by the Research Degree Administration Team (SAS) and will normally be approved by the Examiners within ten working days of receipt by them of the modified thesis submitted by the candidate
- 9.5 The agreed final report form will be signed by the External Examiners and submitted to the Independent Chair.
- 9.6 The External Examiners will ensure that detailed feedback in respect of any modifications required to the thesis is made available to the Independent Chair to enable them to meet the ten working day deadline for submission to the candidate.
- 9.7 The examination criterion for all doctoral theses is the same, regardless of their presentation format. During the examination candidates must be prepared to respond to queries that cover the full breadth of thesis content, including publications.
- 9.8 Inclusion of published material in the thesis does not guarantee success in the examination.
- 9.9 The examination outcomes available to the Examiners are as follows:
- a) that the degree of PhD by Prior Publication be conferred;
 - b) that the degree of PhD by Prior Publication be conferred subject to the candidate making minor modifications to the thesis commentary within three months of the formal notification of the outcome of their *viva voce* by the University to the satisfaction of one or more of the Examiners, as may be agreed between them;
 - c) that the candidate be deemed not to have attained the standard required for the degree of PhD by Prior Publication and that no further opportunity for examination be allowed.
- 9.10 The Examiners are not permitted to request a re-write of published material into a different format following the *viva* examination.
- 9.11 If the candidate does not receive notification of required modifications within 10 working days from the date of the *viva*, it is their responsibility to contact the Independent Chair.
- 9.12 Where a candidate is unsuccessful in their *viva voce*, they are only permitted one further opportunity to re-apply for the PhD by Prior Publication, after a minimum of three years have elapsed from the date of the examination.

10. Appeals

- 10.1 Also refer to Appendix 10 of the PGR Code of Practice and its Annexes.
- 10.2 Although PhD by Prior Publication students do not routinely engage with an IPAP, it may be necessary to convene one exceptionally, where required, to deal with academic misconduct identified prior to thesis submission and any related appeals.

- 10.3 The option to recommend an exit award or resubmission of the thesis for a lesser award is not available for selection by the Examiners in PhD by Prior Publication examinations, therefore candidates are not eligible to appeal against these outcomes.
- 10.4 Students enrolled on the PhD by Prior Publication do not engage with Annual Progress Monitoring and therefore will not have the opportunity to raise concerns about exceptional circumstances which may have affected their performance in the examination via this route. Candidates enrolled on the PhD by Prior Publication are advised to raise concerns of this type with their Faculty Director of PGR.

11. *Aegrotat* and posthumous awards

- 11.1 Also refer to Appendix 15 of the PGR Code of Practice.
- 11.2 Candidates enrolled on the PhD by Prior Publication are not eligible to be awarded an *aegrotat* or posthumous exit award (e.g MPhil, MRes, MA or MSc).
- 11.3 The outcomes available to the Examiners in *aegrotat* or posthumous examinations associated with the PhD by Prior Publication are as follows:
- *Aegrotat*/ posthumous award of PhD, or
 - no award.