UNIVERSITY of BRADFORD

Regulation for the Degree of Doctor of Philosophy or Master of Philosophy by Published Work

Original July 2010: Revised December 2012, May 2013, October 2014, November 2015, August 2017 and June 2018

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1 APPLICATION PROCESS

1.1 A candidate for the Degree of Doctor or Master of Philosophy by Published Work must submit an application for such registration on a University approved form and follow current guidance from Admissions.

1.2 In considering applications for a research degree by published work from individual members of staff or other external candidates as described in the Ordinance 7: Ordinance Governing the Degree of Master or Doctor of Philosophy, Faculties/Departments should ensure that procedures are transparent to applicants and consistently applied. Faculties/Departments should ensure equality of opportunity for all applicants by ensuring that approval for registration is based solely on merit and the quality of the applicant's academic research publications.

1.3 Applicants are required to pay the current application fee.

1.4 Applications will be considered formally by a Committee as prescribed in Section 2.

1.5 The listing of research publications which are to be submitted for the degree by published work should be current, i.e. at least two of the publications listed must have been published in the five years prior to the date of the application. The applicant is required to show specialisation in a particular area of research and the listing of publications should be on related topics within the chosen discipline and area. Applications should be accompanied by a statement of not more than one thousand words, indicating how and in what respect the work has made a significant and coherent contribution to the current state of knowledge in the subject.

1.6 Faculties/Departments are required to ensure that records are kept regarding the reason for the decision for declining an applicant for a research degree by published work and, as far as practicable, for providing constructive feedback for unsuccessful candidates.

2 COMMITTEE TO CONSIDER APPLICATIONS

2.1 Consideration of applications is undertaken on behalf of Senate by a Committee of three persons with the following nominal membership which may be varied in particular circumstances:

i The Chair of the Faculty Postgraduate Research Sub-Committee

ii The Dean of the appropriate Faculty or a senior member of the Faculty with experience in the field(s) of the proposed submission and nominated by the Dean

iii A member of the Faculty Postgraduate Research Sub-Committee from an academic Faculty other than that to which the candidate is making the application, nominated by the Chair of the Faculty Postgraduate Research Sub-Committee.

2.2 The terms of reference of the Committee include the following:

i To consider applications made in accordance with the Ordinance for Doctor of Philosophy or Master of Philosophy by Published Work with a view to establishing the existence of a prima facie case for consideration of the submission by Examiners. Where such a case is not established the candidate shall be informed of this fact in order to permit him or her the opportunity of withdrawing voluntarily but without prejudice to his or her right to full consideration by Examiners at his or her own expense.

ii Where a candidate is accepted for Registration for a degree by published work the committee shall nominate a senior member of academic staff from the relevant Faculty to act as their Mentor during their period of registration.

iii To make recommendations to Senate on the appointment of Examiners for submissions made in support of applications

iv To receive reports from Examiners and, after consideration of Examiners' reports (including where appropriate, discussion with Examiners) to make recommendations to Senate for the award or non-award of research degrees by published work.

3. REGISTRATION

3.1 Approval for registration does <u>not</u> mean that the candidate will automatically be awarded a degree by published work. The decision on whether to award the degree, or not, is ultimately the responsibility of Senate.

3.2 Candidates for the Degree of Doctor of Philosophy or Master of Philosophy by Published Work shall be registered from their commencement date.

3.3. Candidates approved for registration will be assigned a mentor who will be a senior member of academic staff, from the relevant Faculty.

3.4 Candidates approved for registration shall be charged the current fee payable on registration.

3.5 Candidates are required to submit for assessment, all required documents as set out in 4 below (hereafter referred to as "published work") within twelve months of registration for a research degree by published work.

4. DOCUMENTS REQUIRED FROM CANDIDATES

4.1 The Examining Team requires the following documentation. (See Sections 8 and 9 below concerning the format in which the documentation should be presented.) Each of the statements should be signed by the candidate:

i A list of the publications which it is proposed to submit. The publications should be listed chronologically and also by category (e.g. Chapter(s) in books, Journals, Conference Proceedings etc). Against each publication on the list should be entered the following symbols as appropriate:

R = refereed
U = unrefereed
P = available in the public domain
N-P = not available
* sole author
** principal author
*** joint author

ii A set of the publications which it is proposed to submit.

iii A statement of between 5,000 and 10,000 words setting out the basis for the award of the degree. All candidates should outline the genesis and chronology of the published work in relation to relevant aspects of their curriculum vitae. Candidates for the degree of PhD should highlight the originality of their work and the nature of the distinct contribution to the knowledge of the subject made by the submission. Where work has been carried out with others, reference should be made to this fact and to the statement as required in paragraph 4.1 iv below. If papers are submitted which are not available in the public domain, candidates should indicate in the statement the reasons for the works concerned not having been published.

iv A statement outlining the extent to which the publications are based on the candidate's own independent work. A clear indication should be provided as to the extent to which the work was conducted with, or with the assistance of, others and a clear statement of the share of the work(s) claimed in qualitative and/or quantitative terms. The candidate should also provide statements by those with whom the work has been jointly undertaken indicating their agreement with the claims made to independent work. Where appropriate, independent enquiries may be made to verify this information.

v A statement giving full details of any other degree or diploma for which the works, in whole or in part, may have been submitted, either by the candidate or any other person.

5. ACADEMIC CONDUCT

5.1 Candidates have a responsibility to ensure that their published work is submitted for assessment within the prescribed time period.

5.2 Candidates are required to observe the University's policy on Intellectual Property Rights.

5.3 Candidates are required to maintain high standards of academic conduct and, in particular, to avoid conduct amounting to plagiarism or any other unfair practice.

5.4 Candidates are required to observe the University's policy on health and safety as set out in the Health, Safety and Wellbeing Policy available on the University web site.

5.4 Candidates are required to act as a responsible member of the University's academic community.

5.5 In the event of serious illness or other problems of a serious nature the candidate should inform the Faculty/Department and may apply for a suspension or extension to their registration period.

6. SUBMISSION AND APPROVAL OF THE TITLE

6.1 The proposed title of the published work shall be submitted to the Director of Postgraduate Research for the relevant Faculty. A sub-title must be not more than 30 words and must include the words in full for any abbreviations used in the title. Candidates are also required to submit up to ten keywords for the purpose of indexing.

6.2 Should the candidate wish to make a minor change to the title or sub-title of the published work prior to submission they may apply to the Director of Postgraduate Research, in the relevant Faculty, who has authority to approve minor changes on behalf of the Faculty Postgraduate Research Sub-Committee. Such a request must be made at least one month prior to submission.

7. CRITERIA FOR THE AWARD

7.1 The criteria for the award of the Degree of Doctor or Master of Philosophy by published work are the same as those for the Degrees of Doctor or Master of Philosophy by research as outlined in Ordinance 6: Ordinance governing the Degrees of Doctor of Philosophy, Master of Philosophy and Professional Doctorate. All candidates are required to satisfy the Examiners in their competence in independent and original work or experimentation including evidence of primary research, of their understanding of the appropriate techniques and of their ability to make critical use of published work and source materials much of which is at, or informed by, the forefront of their

academic discipline, field of study or area of professional practice. In addition, candidates for the degree of Doctor of Philosophy by published work are required to satisfy the Examiners that the published work contains original work of merit and forms a distinct contribution to the knowledge of the subject. They should also show evidence of the discovery of new facts or the exercise of independent judgement.

7.2 It is of particular importance that candidates for a research degree by published work should be able to demonstrate their competence in independent work. Where joint publications are submitted care should be taken in preparing the statement outlining the extent to which the submission is based on the candidate's own independent work.

7.3 The criteria for the award shall be determined with reference to the Framework for Higher Education Qualifications, published by the Quality Assurance Agency (QAA), with reference to the expectations of Levels 7 and 8 for MPhil and PhD respectively. This framework aims to support a consistency of approach and transparency about expectations for students and is available on the QAA website.

8. SUBMISSION

8.1 One copy of the published work including supporting documentation as referred to in section 4 above should be made available when the candidate applies to the University to undertake a degree by published work. The candidate should provide the documents to be considered in an appropriate format, dependent on the nature of the submitted work, further guidance can be found in section 8.3.

8.2 Candidates for the degree of Master of Philosophy or Doctor of Philosophy by published work are required to submit three copies of the material for assessment.

8.3 The published work submitted for assessment by the Examiners for the degree should be temporarily bound dependent upon the nature of the work. For example, a collection of journal articles would normally be temporarily bound along with supporting documentation. Material in books or on disk may be contained in a separate wallet or portfolio labelled in the same manner. The published works should be numbered to cross-reference with the list of works detailed in the statement provided as part of the candidate's supporting documentation.

8.4 It is expected that works submitted for assessment will normally have been published in the conventionally understood sense of that term. However, it is recognised that in some circumstances (such as work undertaken for a commercial company, a Government body of some other sponsor) this may not have been possible. It is not the intention of the University unduly to restrict works which form the basis of a submission, provided that they meet the criteria for the award.

8.5 Works accepted for publication in their final approved form may be included as part of an application, subject to the provision of documentary evidence from the publisher confirming acceptance. Where works have been submitted which are not available in

the public domain, candidates should outline in their supporting statement the reason for the paper(s) concerned not having been published.

8.6 Candidates shall not be permitted to incorporate into their published work, material which has been submitted in support of a successful application for a degree of this or any other University or any other degree-awarding body except for the purpose of drawing attention, for reference purposes only, to such material, including calculations or the results of experimental work. Where such material is incorporated, the fact shall be recorded together with the title of the thesis, the date of the award of the degree and the name of the university or other degree-awarding body making the award.

8.7 It is expected that the grammar, syntax, spelling and punctuation in all submitted documents will be at an acceptable level. Exceptionally, a candidate may require language assistance and in such cases the person providing the assistance should not be an expert in the candidate's academic field and should amend only the English and not the content of the documents.

8.8 Style and Layout Requirements

The style and layout requirements for the statement of support to accompany submission should follow the following:

Font	12 point Sans Serif font (Arial recommended)
Line spacing	Double line spacing
Paper	Good quality A4 printed on one side only (paper should be 100 gsm weight and the thesis should be printed and not photocopied)
Left-hand margin	40 mm (this is essential to allow for binding)
Other margins	Recommended minimum of 20 mm but may be more
Pagination	Pages must be numbered (Introduction, front pages and any appendices if applicable)
Contents	A paginated list of contents must be included at the front
Order of front pages	The order of the front pages within the published work shall be: Title page Abstract Acknowledgement and dedication (optional) Statement as to candidate's contribution to work done

	Table of Contents (incorporating list of publications submitted)
Additional materials	For example, diagrams, maps, other documents, disks etc should be submitted within a clearly labelled portfolio if they cannot be incorporated into the bound documents or a pocket attached to the inside back cover of the bound documents

9. APPOINTMENT OF EXAMINERS

9.1 Appointment of one External Examiner and one Internal Examiner must be approved by the relevant Director of Postgraduate Research and Dean and submitted no later than two months prior to submission of the thesis for approval by the Faculty Postgraduate Research Sub-Committee.

9.2 An Independent Chair shall also be appointed to chair the oral examination (Viva Voce) to ensure that University Regulations and Codes of Practice are observed in the conduct of the oral examination. The Independent Chair shall be a member of the University's academic staff and shall be appointed by the Dean of Faculty (or nominee).

9.3 Where the proposed Examiner of a candidate for the Degree of Doctor of Philosophy or the Professional Doctorate is not of professorial or reader status, nor are themselves the holder of at least a Degree of Doctor of Philosophy or its equivalent of an approved University, a list of the proposed Examiner's publications shall be submitted for consideration by the Faculty Postgraduate as to whether they show evidence of sufficient research experience for the Examiner to be able to carry our his or her duties adequately.

9.4 No member of staff or other persons who are themselves a candidate for the Degree of Doctor of Philosophy, the Degree of Master of Philosophy or the Professional Doctorate shall be permitted to examine a candidate for the Degree of Doctor of Philosophy, the Degree of Master of Philosophy or the Professional Doctorate of this University. There should be a gap of five years between a member of staff leaving the institution and their appointment as an External Examiner.

10. ORAL EXAMINATION – VIVA VOCE

10.1 The oral examination should take place within 8 weeks of submission of the thesis to the PGR Administration Team. In exceptional circumstances the period specified may be extended by the Faculty Postgraduate Research Sub-Committee.

10.2 The candidate should be consulted by the Internal Examiner prior to the oral examination to confirm whether or not the Mentor should be present. If the candidate indicates that they would prefer the Mentor not to attend the oral examination then they will not do so. It is the responsibility of the Internal Examiner to advise the Mentor accordingly.

10.3 The Mentor is permitted to attend the oral examination and may be invited by the Examiners to offer comments at any appropriate point during the examination process. The Mentor may request permission to clarify a particular point during the course of the oral examination.

10.4 The oral examination (Viva Voce) will normally be held on University premises.

11. EXAMINERS' REPORTS

11.1 Examiners are required to prepare Independent Preliminary Reports prior to the oral examination and these will normally form the basis of the Examiners' Report (an agreed joint report on the examination). The Internal Examiner is responsible for ensuring that copies of the Independent Preliminary Reports and the Examiners' Report (joint) are attached to the Examiners' Report Form. The Independent Preliminary Reports may be referred to in the event of a candidate making an Appeal under Regulations approved by Senate.

11.2 The Examiners are required to make a recommendation as to whether the candidate should be awarded the degree for which the published work has been submitted. Exceptionally, the Examiners may recommend that a candidate for the degree of Degree of Doctor of Philosophy be awarded the degree of Master of Philosophy.

11.3 If, exceptionally, the Examiners of a candidate for the degree of Doctor of Philosophy or the Degree of Master of Philosophy are unable to reach a consensus on the recommendation to be made, they are required to submit Independent Reports on the submission. On receipt of the reports, the Chair of the Faculty Postgraduate Research Sub-Committee will consult with both Examiners and report accordingly to the Committee. If the problem remains unresolved arrangements may be made, in consultation with the Examiners, for the submission to be referred to an External Assessor. In such circumstances, the University shall make available to the External Assessor a copy of the thesis in addition to the reports of the Internal Examiner and External Examiner. The Faculty Postgraduate Research Sub-Committee shall make a recommendation to Senate with regard to the submission, taking into account the comments of the External Assessor in addition to the reports of the Internal Examiner and the External Examiner.

11.4 **Assessment and Outcomes**

11.4.1 On the occasion of the first assessment of a candidate for the Degree of Doctor of Philosophy or the Degree of Master of Philosophy the Examiners shall make one of the following recommendations:

i. That the Degree be awarded

ii That the Degree be awarded, subject to the candidate making minor corrections to the statement, to the satisfaction of the Examiners, the corrections to be completed within a period not exceeding three months.

iii In the case of the Doctor of Philosophy, that the Degree of Master of Philosophy be awarded.

iv That no award be made and that the candidate be not permitted to revise and re-present his or her statement/published work.

11.4.2 These recommendations are communicated to the Faculty Postgraduate Research Sub-Committee who make a recommendation, as appropriate, to the Senate.

12. SUBMISSION ON SUCCESSFUL COMPLETION

12.1 Following successful completion of the examination it is the responsibility of the candidate to arrange for one copy of the published work and all supporting documents to be permanently bound for retention in the University Library.

12.2 The requirements for binding are:

The permanently bound documents shall have the following information in gold lettering:

On the front cover:

- The full name of the candidate
- The title of the published work
- The name of the degree for which the published work is submitted
- The year of submission

On the spine there must be the following information printed downwards so that it can be read when the book lays flat, face upwards:

- The name of the candidate (surname or family name and initials)

- The name of the degree
- The year of submission

12.3 Where books or other works are included which cannot be bound they should be submitted in a portfolio or document wallet which must bear the same particulars as the published work.

12.4 The first page of the published work shall contain an approved statement reminding the reader of the restrictions imposed by copyright law on reproducing any part of the published work. The statement shall be inserted by the University Library in the copy of the published work after the degree has been awarded.

13. APPEALS BY RESEARCH STUDENTS

13.1 An 'academic appeal' is defined as a request for the review of a decision of an academic body charged with decisions on student progression, assessment and awards. The University will not normally permit a student to appeal until a Board of Examiners and/or the Faculty Postgraduate Research Sub-Committee has ratified a decision with regard to their progression, award or assessment, as applicable. For further information candidates should refer to Regulation 6: Academic Appeal Regulations: http:www.bradford.ac.uk/legal-and-governance/breaches-appeal-complaints/appeals/.

14. COMPLAINTS

14.1 A 'complaint' is defined as a written expression of concern about the provision of a course or programme of study or a related aspect of service or a facility, which is provided to students enrolled on, or recently graduated from, programmes studied at University of Bradford campuses or at locations directly controlled by the University.

14.2 The University Students Complaints Procedures may be viewed in full at https://www.bradford.ac.uk/student-academic-services/breaches-appeals-complaints/complaints/

15. Academic Misconduct

15.1 Academic misconduct is a breach of the University's assessment regulations. All instances of academic misconduct brought to the attention of the University will be investigated and the University reserves the right to use any fair and reasonable means to identify instances of academic misconduct.

15.2 Academic misconduct means cheating and includes plagiarism, cheating in examinations, fabrication or falsification of results or evidence, identity theft, theft of another student's work, allowing another student to copy an assignment or sections of an

assignment or any other deliberate attempt to deceive or to gain unfair advantage over other students.

15.3 For further information students should refer to Regulation 5: Academic Misconduct Regulations at https://www.bradford.ac.uk/student-academic-services/breaches-appeeals-complaints/breaches/.

16. Open Access to Data

All student data will be processed and stored in accordance with the General Data Protection Regulation (GDPR) and the University's Data Protection Policy. Further information is available on the University website: https://www.bradford.ac.uk/data-protection/

17. Ethics Committee Approval

Where appropriate, approval must be obtained from the Research Ethics Panel before commencement of a candidate's research project for specific aspects of the work. Approval must be obtained from the University Research Ethics Panel before seeking approval from an external research ethics committee.

18. Equal Opportunities

It is the responsibility of Supervisors to ensure that all candidates, regardless of their gender, ethnic origin, nationality, religion, disability or any other personal characteristic have equal access to University facilities and services.