GUIDELINES FOR PHD
BY PUBLICATION
2019-20
Guidelines for PhD by Publication
2019-20

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<td>14</td>
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<tr>
<td>C12. Fees</td>
<td>14</td>
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</table>
Major changes for 2019-20
This document is currently under review, therefore, changes will be made to these guidelines throughout the year. Please refer to the Graduate School website for the latest version of this document. Changes for 2019-20 are below:

<table>
<thead>
<tr>
<th>Section</th>
<th>Amendment/Addition</th>
</tr>
</thead>
<tbody>
<tr>
<td>All</td>
<td>Details in the regulations relating to the admissions processes for Routes 1 &amp; 2 have been updated to clarify what is required pre-enrolment.</td>
</tr>
<tr>
<td>All</td>
<td>Numbering throughout has been updated so it is easier to identify if information is related to Route 1 (A), Route 2 (B) or Route 3 (C).</td>
</tr>
</tbody>
</table>

This document is owned and updated by the Manchester Metropolitan University Graduate School on behalf of Academic Board. Queries should be directed to the Graduate School (gsresearchdegrees@mmu.ac.uk).

Introduction
Manchester Metropolitan University produces a suite of documents that outline the formal regulations and procedures for postgraduate research degrees.

The Guidelines for PhD by Publication provides specific guidance on the three PhD by Publication routes that are currently available to active researchers and practitioners.

This document should be read alongside the:

- Regulations for Postgraduate Research Degrees
- Institutional Code of Practice for Postgraduate Research Degrees
- Research Degrees Handbook.

These documents are all available on the Graduate School website.

Overview
The University offers three routes for candidates undertaking a PhD by Publication:

- Two routes for candidates who are active researchers and have already produced several research publications or outputs (the PhD by Published Work, Routes 1 and 2).
- One route for practitioners engaged in professional practice (the PhD by Professional Practice).

Please note, for the purpose of this document, the term ‘Publications’ has been used to reflect a variety of research outputs including:

- Substantial or sole contributor to a book
- Chapters in books
- Papers/articles in refereed journals
- Papers presented to conferences which are available in the published proceedings of the conference or are otherwise published
- Patent applications or granted patents
- Exhibitions or performances of which a permanent record has been made.
A PhD by Published Work or Professional Practice is no less rigorous than that pursued through the traditional route. The PhD must, through a portfolio of research outputs/publications, submitted together with an accompanying analytical commentary, demonstrate a contribution to knowledge and evidence of the development of research skills appropriate to the focus of the research and the knowledge domains within which the research was conducted at Level 8.

Studying for a PhD is an educational experience in the course of which skills are developed through the supervisor/student relationship. A PhD by any route thus requires:

- Appropriate supervision of the candidate
- The completion, where appropriate, of an approved supporting programme
- The preparation and submission of a thesis (which includes an analytical commentary to support the publications)
- An oral examination (viva voce) to establish that a coherent significant contribution to knowledge or scholarship, that is of an acceptable national standing, has been made in a particular field.

The publications submitted as part of a PhD by Publication must provide evidence of the candidate’s capacity to pursue further research, represent a coherent contribution to research in a given field and demonstrate a depth of scholarship, criticality and originality comparable with that required in a traditional PhD.

Only published work that is available and accessible in the public domain will be eligible for consideration. Published work would normally have been subject to external peer review. Course readers/documents, academic, industrial or government documents produced for internal purposes are not eligible.

The award of PhD by Published Work or by Professional Practice is subject to the provisions of the Regulations for Postgraduate Research Degrees and the Institutional Code of Practice for Postgraduate Research Degrees being met in all respects.

All students registered for a research degree will complete a progression review after 12 months (or 24 months part-time) in order for the University to judge whether they have made sufficient progress on their research studies to continue their registration. Where the duration of a research programme is 12 months or less, i.e. the PhD by Published Work (Route 2), students will not be required to complete a progression review.

**PhD by Published Work (Route 1)**

Designed for active researchers both internal and external to the University

**Introduction**

This route is for candidates who have some research publications that are already in the public domain and, during the course of the registration for the PhD, will produce more publications and complete the accompanying analytical commentary under the guidance of a supervisory team.

**A1. Application to study for PhD by Published Work (Route 1)**

Candidates should apply for a PhD by Publication using the Application Form to Study for a Postgraduate Research Degree.
Discussion should take place with a proposed Director of Studies prior to submitting an application to agree and confirm the suitability of the publications.

Applications may be made at any time throughout the academic year.

A2. Publication prior to registration
At least 60% of the publications the candidate wishes to submit as part of the PhD should normally have been published prior to enrolment and have been published within two years prior to the submission of the application. In exceptional cases, where the candidate has shown evidence of active publication beyond the two year period, such publications may also be considered, provided such material is germane to the subject area in question. Normally, this period would not be extended beyond three years prior to application.

A3. Experience of publication
A decision on the choice, number and type of publications forming the proposed submission to the PhD should be taken by the candidate’s proposed supervisory team and the candidate in advance of enrolment.

A Contribution to Publication (RDPUB) form must be attached to each publication, indicating the extent (%) of the candidate’s contribution, which should be signed by any co-author(s) of the publication, and their particular role/contribution towards the publication.

There is no defined number of publications. Candidates and the supervisory team need to be satisfied that the range and number of publications are sufficient, are of good quality and are comparable to that required for a PhD in the field. The publications must together demonstrate that the work forms a coherent and significant contribution to knowledge or scholarship. This should be of an acceptable national, or preferably international, standing. For a substantial proportion of all the publications submitted, the candidate must be the sole or senior author.

A4. Application for registration
Once enrolled, candidates will be required to submit the application for registration (RD1) form together with the research proposal, the publications and completed contribution to publication (RDPUB) forms (which were submitted prior to enrolment) for each publication.

The research proposal should cover:

- The aims and description of the research
- The coherent and significant contribution to knowledge
- Details and number of the publications
- An indication/summary/abstract of the publication contents
- Key references to existing literature.

It is important that a clear indication is provided of the research skills of the candidate that demonstrates capability as an independent researcher.

This information should then be submitted by the candidate to the Faculty Research Degrees Team for consideration by the Faculty Research Degrees Committee.
A5. Transfer from MPhil or PhD to PhD by Published Work
Candidates who are currently undertaking a Master’s (MPhil) or PhD by the ‘traditional’ route may not transfer to a PhD by Published Work except in exceptional circumstances.

A6. Supporting programme
Candidates should follow an approved supporting programme or, where appropriate, seek exemption by the Faculty Research Degrees Committee from such a programme by providing evidence of appropriate competence and/or knowledge.

A7. Supervision
Candidates shall be supervised by a supervisory team consisting of a Director of Studies and normally at least one other supervisor. The aim of the supervision is to enable the development of the critical overview of the work, to prepare the candidate for the oral examination, and to provide the candidate with insight into the skills required to supervise future students.

A8. Registration period
The registration period is normally as follows:

<table>
<thead>
<tr>
<th>Mode</th>
<th>Submission date</th>
<th>Expected Completion and Award date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Full-time</td>
<td>24 months</td>
<td>36 months</td>
</tr>
<tr>
<td>Part-time</td>
<td>48 months</td>
<td>60 months</td>
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</table>

The Faculty Research Degrees Committee would, however, be prepared to consider an application for early submission where there is evidence that work is proceeding exceptionally well. An application for early submission should be submitted at the same time as the application for approval of examiners (RD6).

A9. The structure and format of the submission for PhD by Published Work (Route 1)
The submission should clearly demonstrate a significant contribution to knowledge as is expected of a PhD by the traditional route. The submission must contain or accompany an analytical commentary, the equivalent of a thesis, which will normally be between 10,000-15,000 words and will critically explore the relationship between the published work submitted and the current body of knowledge in the field.

The structure and format of the submission may vary and include original material and a range of media.

Some examples are:

- ‘Books’ plus analytical commentary
- ‘Performances’ plus analytical commentary
- ‘Exhibitions’ plus analytical commentary
- Journal articles plus analytical commentary
- A combination of the above plus analytical commentary.
The candidate should negotiate the structure of the analytical commentary with their supervisory team. However, an indicative structure is noted in Section A10 below.

In all cases, the analytical commentary should be bound the same as a traditional thesis. See the Research Degrees Handbook for further details. Where possible, i.e. where journal articles are the presented media, these should also be bound within the analytical commentary. Where this is not possible, i.e. books, etc., these may be presented separately.

A10. Indicative structure of the analytical commentary (thesis)
1) An abstract (300 words).
2) An introductory section, raising awareness of the current state of the field, comprising a written critical overview, a literature review/appraisal, and an indication of how the publications relate/contribute to an existing body of knowledge/scholarship and research methods.
3) The publications and, where appropriate, evidence of publication (where publications are in the press, letters of acceptance from the editor or a copy of the contract with the publisher must be included) and a statement providing a clear indication of the candidate’s contribution to each publication.
4) A critical account of how the publications make a coherent and significant contribution to knowledge and scholarship.
5) A demonstration of critical reflection on methodological issues and an indication of the future direction of research needed/to be carried out by the candidate in the field.

The normal requirements for the presentation of a thesis as set out in the Research Degrees Handbook should also be met.

The weightings of sections 2) – 5) above may vary depending upon the subject area of the field. Any significant variation to the structure of the commentary must be approved in advance of submission by the Faculty Research Degrees Committee.

The above should demonstrate the coherence of the research undertaken, written in a style which is accessible to readers.

A11. Examiners and the examination arrangements
The normal requirements for the nomination and appointment of examiners, submission and examination of the thesis, and for the oral examination must be met as outlined in the Research Degrees Handbook.

The examiners shall make recommendations according to the current Regulations for Postgraduate Research Degrees and Guidelines on the Examination of Postgraduate Research Degrees available on the Graduate School website.

A12. Fees
Candidates are required to pay tuition fees in accordance with University Regulations.
PhD by Published Work (Route 2)
Designed for internal and external candidates who can demonstrate excellence of publication in their field

Introduction
This route, unlike Route 1, is for candidates:

a) With a strong academic career as evidenced by publication; or

b) Who have produced a significant body of work outside a traditional academic context. This body of work must principally be the candidate’s own work.

For Route 2, all publications upon which the candidature is to be based should already be in publication and available in the public domain.

Candidates must be graduates (or equivalent) of at least five years standing and have already obtained a Master’s degree. In exceptional cases, candidates can show evidence of having received research training or equivalent experience in their working environment.

No formal supervision or additional research is required by this route and it is expected that the candidate’s submission will demonstrate that, through the course of their research, they have considerable professional knowledge in their field at least equivalent to that gained by PhD students through the supervision process. The candidate does not have a supervisory team. An internal advisor will be appointed by the University to assist and guide the candidate where necessary to compile the analytical commentary.

The material submitted for the PhD shall be examined in the normal way, and must be sufficiently extensive as to provide convincing evidence that the research constitutes a coherent and significant contribution to knowledge or scholarship in a particular field, that is of an acceptable national, or preferably international, standing.

B1. Application to study for PhD by Published Work (Route 2)
Candidates should apply for a PhD by Publication using the Application Form to Study for a Postgraduate Research Degree

Discussion should take place with a proposed advisor prior to submitting an application to agree and confirm the suitability of the publications.

Applications may be made at any time throughout the academic year.

B2. Application for registration
Once accepted on the degree, the candidate must enrol with the University and pay the appropriate tuition fees.

In order to register for a PhD by Published Work (Route 2), candidates will be required to submit the following documentation to the Faculty Research Degrees Team:

(i) A completed “Prima-facie” Application to Register for the Degree of Doctor of Philosophy by Published Work (Route 2)’ (RD1 PUB2) form

(ii) Completed contribution to publication (RDPUB) forms (which were submitted prior to enrolment). A separate form must be completed for each individual publication
(iii) A full list of the publications to be included in the final submission

(iv) Two copies each of the publications

(v) A brief argument for the contribution to knowledge in a particular field. This should be no more than 1,000-2,000 words.

The Head of Faculty Research Degrees will appoint two experienced and research active members of academic staff of the University as reviewers to scrutinise the publications and the proposal, and to produce a report for the next meeting of the Faculty Research Degrees Committee, to determine whether there is a prima-facie case for proceeding with the candidature. In cases where the University is unable to assess the work due to lack of experience in the field, an external reviewer(s) will be appointed.

If the application for registration is approved by the Faculty Research Degrees Committee the candidate will then be formally registered to submit for the degree of PhD. Acceptance by the Committee does not guarantee the award of the degree of PhD.

B3. Experience of publication

A decision on the choice, number and type of publications forming the proposed submission to the PhD should be taken by the candidate’s proposed supervisory team and the candidate in advance of enrolment.

A Contribution to Publication (RDPUB) form must be attached to each publication, indicating the extent (%) of the candidate’s contribution, which should be signed by any co-author(s) of the publication, and their particular role/contribution towards the publication.

There is no defined number of publications. Candidates and the supervisory team need to be satisfied that the range and number of publications are sufficient, are of good quality and are comparable to that required for a PhD in the field. The publications must together demonstrate that the work forms a coherent and significant contribution to knowledge or scholarship. This should be of an acceptable national, or preferably international, standing.

B4. Contribution to publications

The Faculty Research Degrees Committee require information on the candidate’s contribution to the publications. For a substantial proportion of all the work submitted, the candidate must be the sole or senior author. For a significant proportion of any jointly authored work that is submitted, the candidate should be the main contributor. In all cases, the contribution to publication (RDPUB) form must be completed in respect of each publication indicating the extent (%) of the candidate’s contribution and their particular role/nature of the contribution towards the publication, which should be signed by any co-author(s) of the publication. In the case of joint authorship, the number of publications expected will be apportioned accordingly. The candidate must also show evidence of recent publication activity prior to submission. Candidates who have not actively published within a five year period prior to submission are not normally eligible to apply.
B5. Registration period
The registration period is normally as follows:

<table>
<thead>
<tr>
<th>Mode</th>
<th>Submission date</th>
<th>Expected Completion and Award date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Full-time</td>
<td>6 months</td>
<td>18 months</td>
</tr>
<tr>
<td>Part-time</td>
<td>12 months</td>
<td>24 months</td>
</tr>
</tbody>
</table>

B6. The structure and format of the submission for PhD by Published Work (Route 2)
The submission should clearly demonstrate a significant contribution to knowledge as is expected of a PhD by the traditional route. The submission must contain or accompany an analytical commentary, the equivalent of a thesis, which will normally be between 10,000 - 15,000 words and critically explores the relationship between the published work submitted and the current body of knowledge in the field.

The structure and format of the submission may vary and include original material and a range of media.

Some examples are:
- ‘Book’ plus analytical commentary
- ‘Performances’ plus analytical commentary
- ‘Exhibitions’ plus analytical commentary
- Journal articles plus analytical commentary
- A combination of the above plus analytical commentary.

The candidate should negotiate the structure of the analytical commentary with their academic advisor; however, an indicative structure is noted in Section B7 below.

In all cases the analytical commentary should be bound the same as a traditional thesis. See the Research Degrees Handbook on the Graduate School website for further details. Where possible, i.e. where journal articles are the presented media, these should also be bound within the analytical commentary. Where this is not possible, i.e. books, etc., these may be presented separately.

B7. Indicative structure of the analytical commentary (thesis)
1. An abstract (300 words).
2. An introductory section, raising awareness of the current state of the field comprising a written critical overview, containing a literature review/appraisal and indicating how the publications relate/contribute to an existing body of knowledge/scholarship and research methods.
3. The publications or other appropriate evidence of publication (where publications are in the press, letters of acceptance from the editor or a copy of the contract with the publisher must be included) and a statement providing a clear indication of the candidate’s contribution to each publication.
4. A critical account of how the publication(s) make a coherent and significant contribution to knowledge and scholarship.
5. A demonstration of a critical reflection of methodological issues and an indication of the future direction of research needed/to be carried out by the candidate in the field.

The normal requirements for the presentation of thesis, as set out in the Research Degrees Handbook, should also be met.

The weightings of sections 2) – 5) may vary depending upon the subject area of the field. Any significant variation to the structure of the commentary must be approved in advance of submission by the Faculty Research Degrees Committee.

The above should demonstrate the coherence of the research undertaken, written in a style which is accessible to readers.

B8. Examiners and the examination arrangements

The normal requirements for the nomination and appointment of examiners, submission and examination of thesis, and for the oral examination must be met as outlined in the Research Degrees Handbook.

The examiners shall make recommendations according to the current Regulations for Postgraduate Research Degrees and Guidelines on the Examination of Postgraduate Research Degrees available on the Graduate School website.

B9. Internal academic staff candidates

Members of academic staff of the University who are registered for a PhD by Publication (Route 2) may still be permitted to be a Director of Studies for other research degree candidates within the University if they meet the standard requirements to be appointed Director of Studies.

B10. Fees

Candidates are required to pay tuition fees in accordance with University Regulations. In this case, it is expected that a minimum of one year’s tuition fees should be paid.
PhD by Professional Practice (Route 3)
This route is designed for candidates who are practicing in a working research environment with the objective of producing outputs in a professional context, which have not been subject to the academic peer review process.

Introduction
This route, unlike PhD by Published Work, is suitable for candidates who are established professionals engaged in professional practice in any discipline.

The material submitted for the PhD shall be examined in the normal way, and must be sufficiently extensive as to provide convincing evidence that the research constitutes a coherent and significant contribution to knowledge or scholarship in a particular field at level 8.

C1. Application to study for PhD by Professional Practice
Candidates should apply for a PhD by Professional Practice using the Application Form to Study for a Postgraduate Research Degree.

Discussion should take place with a proposed Director of Studies prior to submitting an application to agree and confirm the suitability of the publications.

Once accepted, the candidate should enrol with the University and pay the appropriate tuition fees.

C2. Application for registration
Following enrolment, in order to register for a PhD by Professional Practice, candidates must submit the following information:

(i) A completed application for registration (RD1) form

(ii) A research proposal including a brief argument for contribution to knowledge in a particular field. This should be no more than 1000 – 2000 words.

The above documentation should be submitted by the candidate to the Faculty Research Degrees Administrator at least four weeks prior to the next meeting of the Faculty Research Degrees Committee.

The Head of Faculty Research Degrees will appoint an experienced and research active member of academic staff of the University as a reviewer to scrutinise the proposal and produce a report for the next meeting of the Faculty Research Degrees Committee.

C3. Contribution to submission
For a substantial proportion of all the work submitted, the candidate must be the sole or senior author. For a significant proportion of any jointly authored work/practice that is submitted, the candidate should be the main contributor.

C4. Registration
If the application for registration is approved by the Faculty Research Degrees Committee, the candidate will then be formally registered to submit for the degree of PhD by Professional Practice (Route 3). Acceptance by the Committee does not guarantee the award of the degree of PhD.
C5. Registration period
For candidates who have a portfolio of outputs that is already completed, the registration period is normally as follows:

<table>
<thead>
<tr>
<th>Mode</th>
<th>Submission date</th>
<th>Expected Completion and Award date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Full-time</td>
<td>24 months</td>
<td>36 months</td>
</tr>
<tr>
<td>Part-time</td>
<td>48 months</td>
<td>60 months</td>
</tr>
</tbody>
</table>

For candidates who are still working towards their portfolio of outputs at the enrolment, the registration period is normally as follows:

<table>
<thead>
<tr>
<th>Mode</th>
<th>Submission date</th>
<th>Expected Completion and Award date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Full-time</td>
<td>36 months</td>
<td>48 months</td>
</tr>
<tr>
<td>Part-time</td>
<td>72 months</td>
<td>84 months</td>
</tr>
</tbody>
</table>

C6. The structure and format of the submission for PhD by Professional Practice
The submission should clearly demonstrate a significant contribution to knowledge as is expected of a PhD by the traditional route.

The submission is in two parts:

a) The portfolio of work
b) An analytical commentary.

C7. The portfolio
The portfolio should contain work suitable for professional consumption and/or worthy of publication. The body of work would be what can be reasonably achieved within three years of postgraduate full-time study or part-time equivalent. The portfolio should contain at least one major extended work or group of works. Where the submission involves, for example, a live performance or exhibition, a permanent record of the work should be submitted in the form of photographs, DVD or other medium along with the analytical commentary.

C8. The analytical commentary
The analytical commentary of the submission provides the evidence for the contribution of the professional practice to the field (i.e. the level of intellectual engagement, context and originality). The commentary might be constituted in a number of different discursive forms to demonstrate the contribution to knowledge that is expected of a level 8 award. The analytical commentary should provide, where appropriate, a critical reflection on the approaches, methods and theories deployed, an explanation of the technical procedures employed, and may discuss the works’ aesthetic premises in its relevant historical, theoretical or critical contexts.

It should normally be between 20,000-40,000 words and critically explore the relationship between the portfolio of work submitted and the current body of knowledge in the field. It should demonstrate the coherence of the research undertaken, written in a style which is accessible to readers.

In all cases the analytical commentary should be bound the same as a traditional thesis. See the Research Degrees Handbook on the Graduate School website.
C9. Indicative structure of the analytical commentary (thesis)
1. An abstract (300 words).
2. An introductory section, raising awareness of the current state of the field comprising a written critical overview, containing a literature review/appraisal and indicating how the outputs in the portfolio relate/contribute to an existing body of knowledge/scholarship and research methods.
3. The portfolio items (where publications are in the press, letters of acceptance from the editor or a copy of the contract with the publisher must be included) and a statement providing a clear indication of the candidate’s contribution to each publication.
4. A critical account of how the portfolio makes a coherent and significant contribution to knowledge and scholarship.
5. A demonstration of a critical reflection of methodological issues and an indication of the future direction of research needed/to be carried out by the candidate in the field.

The normal requirements for the presentation of thesis as set out in the Research Degrees Handbook should also be met.

The weightings of sections 2) – 5) may vary depending upon the subject area of the field. Any significant variation to the structure of the commentary must be approved in advance of submission by the Faculty Research Degrees Committee.

The above should demonstrate the coherence of the research undertaken, written in a style which is accessible to informed readers.

C10. Submission of the portfolio and analytical commentary

The submission of the portfolio and the analytical commentary for the examination shall be at the sole discretion of the candidate. While a candidate would be unwise to submit the work for examination against the advice of the supervisory team, it is their right to do so. Equally, candidates should not assume that a supervisor’s agreement to the submission of the work guarantees the award of the degree.

C11. Examiners and the oral examination

The normal requirements for the nomination and appointment of examiners, submission and examination of the work, and for the oral examination must be met as outlined in the Research Degrees Handbook.

If the portfolio includes the examiners attending an exhibition or performance then normally the time between the examiners seeing the work and the final examination should not exceed six months.

The examiners’ shall make recommendations according to the current Regulations for Postgraduate Research Degrees and Guidelines on the Examination of Postgraduate Research Degrees available on the Graduate School website.

C12. Fees

Candidates are required to pay tuition fees in accordance with University Regulations.