

PhD by Publication and Practice

Research and Knowledge Exchange: Graduate School

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These guidelines are designed for active researchers who are either internal or external to the University and provide guidance on the three alternative routes available to undertake a PhD at Manchester Metropolitan University

MANCHESTER METROPOLITAN UNIVERSITY

RESEARCH AND KNOWLEDGE EXCHANGE

GUIDELINES FOR PHD BY PUBLICATION AND PHD BY PRACTICE

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Introduction

The 'traditional' routes to a PhD following completion of a first degree are either to register for an MPhil, leading to subsequent transfer to PhD; or to complete a taught Master's degree followed by direct registration for a PhD. In the course of pursuing a traditional PhD, publications may be produced. However, there are alternative routes to obtaining a PhD for candidates who are active researchers and who have already produced one or more research publications/outputs, which are available in the public domain. In the field of Art and Design, PhD by Practice may be an option for practitioners engaged in professional practice.

A PhD by Publication or Practice is no less rigorous than that pursued through the traditional route. The PhD must, either through a portfolio of work or through 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.

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

- appropriate supervision of the candidate;
- the completion, where appropriate, of an approved supporting programme;
- the preparation and submission of a thesis (analytical commentary); and
- a viva voce examination 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.

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.

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 a PhD by Publication or by Practice is subject to the provisions of the Regulations for Postgraduate Research Degrees being met in all respects.

PhD BY PUBLISHED WORK (Route 1)

(Designed for active researchers both internal and external to the University)

The following guidelines are intended to assist candidates wishing to undertake a PhD by Published Work (Route 1).

Introduction

This route is for candidates who have some research publications, which 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.

1 Publication prior to Registration

Registration for PhD by Publication (Route 1) is available to candidates who have a record of publishing. 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 the submission of an application for registration to the Academic Board Research Degrees Committee. The publications should normally 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 2 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 3 years prior to application.

2 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. Candidates need to ensure that the number and range of publications is sufficient to demonstrate that their work forms coherent, significant contribution to knowledge or scholarship, that is of an acceptable national standing, has been made in a particular field. The Academic Board Research Degrees Committee will need to be satisfied that the number and range of publications contributing to the PhD is adequate before it will approve an application for registration.

3 **Contribution to Publications**

For publications, which are not single authored by the candidate, the candidate must provide information to the Academic Board Research Degrees Committee on the candidate's contribution. For a substantial proportion of all the publications submitted, the candidate must be the sole or senior author. In all cases, a form (RDPUB) must be completed in respect of each publication, indicating the extent of the candidate's contribution, which should normally be signed by any co-author(s) of the publication.

4 **Application for PhD by Publication**

In order to register for a PhD by Publication (Route 1), candidates must go through the University's Admissions process for research degrees and complete the Application Form to Study for a Postgraduate Research Degree. Once accepted, the candidate should enrol with the University and pay the appropriate tuition fees.

Candidates will then be required to submit the Application for Registration Form (RD1). In the outline of the research proposal, the aims and description of the research should indicate the coherent and significant contribution to knowledge expected to be made by the publications that will be submitted. This outline should include details of the publications, together with an indication/summary/abstract of their contents. The total number of publications that will contribute to the PhD should be indicated. The Research Degrees Committee will need to be satisfied that the number of publications is adequate and that together the publications make a coherent and significant national contribution to knowledge or scholarship. Key references to existing literature must be included within the research proposal.

Copies of the publications to be submitted, i.e. those that are already written and in press, and the accompanying RDPUB forms indicating the candidate's contribution to each publication, must be submitted with the application (RD1).

This information should then be submitted by the candidate to the Faculty Research Degrees Administrator at least four weeks prior to the next meeting of the Academic Board Research Degrees Committee.

The Faculty Research Degrees Co-ordinator will appoint an experienced and research active member of academic staff of the University to scrutinize the proposal, the publications and

produce a report for the next meeting of the Research Degrees Committee. In cases where the University is unable to assess the work due to lack of expertise in the field, an external reviewer will be appointed.

A Copy of form RD1 and RDPUB form may be obtained from the Graduate School Website at: <http://www2.mmu.ac.uk/graduate-school/graduate-school-intranet/online-forms/research-degrees-forms/>

5 **Backdating of Registration**

Backdating of registration, beyond when the RD1 is submitted to the Faculty Research Degrees Administrator, to take account of research undertaken leading to publication, may normally be for a period of up to two years, from the date of receipt of the application for registration. The Research Degrees Committee may exceptionally consider a request for backdating beyond two years, up to a maximum limit of three years, providing satisfactory evidence is provided to support the request. Backdating shall normally not be granted in respect of more than 60% of the publications contributing to the PhD.

6 **Transfer from MPhil or PhD to PhD by Published Work**

Candidates who are currently undertaking a Masters (MPhil) or PhD by the 'traditional' route may **not** transfer to a PhD by Published Work except in exceptional circumstances.

7 **Supporting Programme**

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

8 **Supervision**

Candidates shall be supervised by 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 also provide the candidate with insight into the skills required to supervise future students.

9 **Registration Period**

The registration period is normally as follows:

Mode	Submission date	Conferment date
Full-time	24 months	36 months
Part-time	48 months	60 months

The Committee would, however, be prepared to consider an application for shortening the minimum period of registration where there is evidence that work is proceeding exceptionally well. An application for shortening should be submitted at the same time as the application for approval of examiners.

10 **The structure and format of the submission for PhD by Publication**

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:

- A 'book' plus analytical commentary
- A 'performance' plus analytical commentary
- An 'exhibition' plus analytical commentary
- Journal articles plus analytical commentary

The candidate should negotiate the structure of the analytical commentary with his/her supervisory team, however, a conventional structure is indicated in Section 11 below.

In all cases, the analytical commentary should be bound the same as a traditional thesis. See the Student Handbook on the Graduate School Website at: <http://www2.mmu.ac.uk/graduate-school/graduate-school-intranet/regulations-cop-supporting-material/> 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, ie, books, etc, these may be presented separately.

11 **Conventional 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 Regulations should also be met

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

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

12 **Submission of the Analytical Commentary (thesis)**

The submission of the thesis for examination shall be at the sole discretion of the candidate. While a candidate would be unwise to submit the thesis 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 a thesis guarantees the award.

13 **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.

The examiners' shall make recommendations according to the current Regulations for Postgraduate Research Degrees of the University available on the Graduate School Website at: <http://www2.mmu.ac.uk/graduate-school/graduate-school-intranet/regulations-cop-supporting-material/>

14 **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)

The following guidelines are intended to assist candidates wishing to undertake a PhD by Publication (Route 2).

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 Masters degree, or 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 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 at least national standing.

1 Application for Registration for PhD by Publication (Route 2)

In order to register for a PhD by Publication (Route 2), candidates must go through the University's Admissions process for research degrees and complete the Application Form to

Study for a Postgraduate Research Degree. Once accepted, the candidate should enrol with the University and pay the appropriate tuition fees.

Candidates will then be required to submit the following documentation to the Faculty Research Degrees Administrator:

- (i) A completed RD1 form – *Prima-facie* Application to Register for the degree of Doctor of Philosophy by Published Work (Route 2);
- (ii) completed RDPUB form(s) – 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; and
- (v) a brief argument for the contribution to knowledge in a particular field. This should be no more than 1000 – 2000 words.

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

The Faculty Research Degrees Co-ordinator will appoint two experienced and research active members of academic staff of the University, as reviewers to scrutinize the publications, the proposal and to produce a report for the next meeting of the 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.

2 **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 Academic Advisor and the candidate. Candidates need to ensure that the number and range of publications is sufficient to demonstrate that their work forms a coherent, significant contribution to knowledge or scholarship, that is of an acceptable national standing, in a particular field. The Academic Board Research Degrees Committee will need to be satisfied that the number and range of publications is adequate before it will approve an application for registration.

3 **Contribution to Publications**

The Research Degrees Committee will need 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 form (RDPUB) must be completed in respect of each publication indicating the extent of the candidate's contribution, which should normally 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 5 year period prior to submission are not normally eligible to apply.

4 **Registration**

If the application for registration is approved by the 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.

The candidate does not have a supervisory team but an internal advisor will be appointed by the University to assist and guide the candidate where necessary to compile the analytical commentary (thesis).

5 **Registration Period**

The registration period is normally as follows:

Mode	Submission date	Conferment date
Full-time	6 months	12 months
Part-time	12 months	24 months

6 **The structure and format of the submission for PhD by Publication**

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:

- A 'book' plus analytical commentary
- A 'performance' plus analytical commentary
- An 'exhibition' plus analytical commentary
- Journal articles plus analytical commentary

The candidate should negotiate the structure of the analytical commentary with his/her Academic Advisor, however, a conventional structure is indicated in Section 7 below.

In all cases the analytical commentary should be bound the same as a traditional thesis. See the Student Handbook on the Graduate School Website at: <http://www2.mmu.ac.uk/graduate-school/graduate-school-intranet/regulations-cop-supporting-material/> 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, ie, books, etc, these may be presented separately.

7 Conventional 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 an 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 publications make a coherent and significant contribution to knowledge and scholarship.

5) 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 thesis as set out in the Regulations should also be met.

The weightings of sections 2) – 5) may vary depending upon the subject area of the field. Any significant variation must be approved by the Research Degrees Committee.

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

8 Submission of the Analytical Commentary (thesis)

The submission of the thesis for examination shall be at the sole discretion of the candidate. While a candidate would be unwise to submit the thesis for examination against the advice of the Academic Advisor, it is their right to do so. Equally, candidates should not assume that the advisor's agreement to the submission of a thesis guarantees the award.

9 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.

The examiners shall make recommendations according to the current Regulations for Postgraduate Research Degrees of the University available on the Graduate School Website at: <http://www2.mmu.ac.uk/graduate-school/graduate-school-intranet/regulations-cop-supporting-material/>

10 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.

11 Fees

Candidates are required to pay tuition fees in accordance with University Regulations. In this case it is expected that a minimum of one years' tuition fees should be paid.

PHD BY PRACTICE (Route 3)

(Designed for candidates who are practicing in a working research environment with the objective of producing outputs in a professional and/or studio context)

The following guidelines are intended to assist candidates wishing to undertake a PhD through the practice route.

Introduction

This route unlike PhD by Publication is suitable for candidates who are established professionals as well as suitably qualified recent postgraduates who are engaged in professional practice in the arts or design fields. The programme of research may be carried out in any context for practice, for example, fine art, design, architecture, media arts, creative writing, film, television, dance, performance, music and composition.

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.

1 Application for Registration

In order to register for a PhD by Practice (Route 3), candidates must go through the University's Admissions process for research degrees and complete the Application Form to Study for a Postgraduate Research Degree. Once accepted, the candidate should enrol with the University and pay the appropriate tuition fees.

A candidate wishing to be considered for a PhD by practice should then submit the following information in a typed or printed format:

(i) A completed 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 University Research Degrees Committee.

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

2 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.

3 Registration

If the application for registration is approved by the University Research Degrees Committee the candidate will then be formally registered to submit for the degree of PhD by practice (Route 3). Acceptance by the Committee does not guarantee the award of the degree of PhD.

4 Registration Period

The registration period is normally as follows:

PhD by Practice (Route 3)

Mode	Submission date	Conferment date
Full-time	36 months	48 months
Part-time	72 months	84 months

5 The structure and format of the submission for PhD by 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.

6 **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 and should be substantially achieved during the registration period. Where the submission involves a performance or exhibition, etc, a permanent record of the work should be submitted in the form of photographs, CD-Rom, DVD or other recorded material along with the analytical commentary.

7 **The Analytical Commentary**

The analytical commentary of the submission provides the evidence for the contribution of the practice to the field (i.e. the level of intellectual engagement, context and originality) might be constituted in a number of different discursive forms. These might be process-based, personal narratives or traditional academic writing in combination with practice-led elements of the submission.

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 10,000 -30,000 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 Student Handbook on the Graduate School Website at: <http://www2.mmu.ac.uk/graduate-school/graduate-school-intranet/regulations-cop-supporting-material/> for further details.

8 **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.

9 **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.

If the Portfolio takes the form of a public exhibition, broadcast or performance then normally the time between the examiners seeing the work and the final examination should not exceed 6 months.

The examiners' shall make recommendations according to the current Regulations for Postgraduate Research Degrees of the University available on the Graduate School Website at: <http://www2.mmu.ac.uk/graduate-school/graduate-school-intranet/regulations-cop-supporting-material/>

10 **Fees**

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