

University of Edinburgh

College of Humanities and Social Science

PROCEDURES FOR THE APPLICATION AND AWARD OF THE DEGREE OF PhD (BY RESEARCH PUBLICATIONS)

1. Candidate's Eligibility¹

1.1 Candidates meeting the following criteria may, at the discretion of the College, be allowed to apply for the award of the degree of PhD (by Research Publications).

a. Graduates of the University of Edinburgh of at least 5 years standing **OR** Current members of staff of the University of Edinburgh (or of one of the University's Associated Institutions, of not less than three years standing);

AND

b. Been active researchers in their field of expertise for a minimum of five years before seeking permission to register for this degree

AND

c. Should not submit material published more than ten years prior to the date when they are given permission to register for the degree.

1.2 Permission to register will not normally be granted to applicants who are in a position to submit for the PhD by Research or other professional doctorate or who already possess a PhD.

2. Application Process

2.1 Applicants must apply for candidature to the CPGSC² on the appropriate form (Appendix 1).

2.2 The applicant should initially submit the following to the College Postgraduate Office:

a. Application Form

b. CV

c. Published Articles/Books to be assessed (see Paragraph 3.3)

d. A 500 word synopsis outlining the extent, range, quality and coherence of the proposed submission.

2.3 Initial Assessment. The College will then ask the relevant School to appoint an internal assessor to give the Committee an opinion on the appropriateness of the submission. The assessor may be the Head of School or the most appropriate subject specialist.

a. The internal assessor is not expected to read or examine the submission in full, but is asked to assess whether or not the submission appears to meet the criteria for the award of the degree as specified in regulations (Regulation 6) and Postgraduate Assessment Regulations (Research) (1.1 and 2.6), and is therefore, prima facie worthy of examination. The assessor should review it along the following lines:

¹ From DRPS Regulation 6, see Appendix 2.

² Or equivalent, if these guidelines are used by other colleges

- i. Does the submission form a coherent whole?
 - ii. Does the submission show a sound command of established knowledge in the field and make a significant contribution to the field?
 - iii. Does it appear to have taken the same amount of time and research effort as a PhD by Research?
 - iv. Does it meet the criteria of Regulation 6?
 - v. Does the submission appear appropriate, based on the above? Can a prima facie case of examination be made?
- b. The CPGSC will consider the merits of the application on the basis of the list of works submitted for examination and the internal assessor's report. The CPGSC Examinations Sub-Committee Secretary will advise the applicant of the outcome of this initial consideration.
- c. If the applicant's candidature is approved, the CPGSC will ask the School to appoint an adviser to assist the candidate with the format of his/her submission and the nature of the accompanying statement. This person may or may not be the original internal assessor.

3. Matriculation and Submission

- 3.1 Applicants will be required to pay their fees at this stage and submit a matriculation form.
- 3.2 The applicant should submit a Notice of Intention to Submit form to the College Postgraduate Office up to two months prior to submitting his/her critical review (in lieu of thesis). On receiving the "notice of intention to submit" forms, the CPGSC will appoint examiners.
- 3.3 The Candidate must submit to the College Postgraduate Office his/her abstract, a critical review, and portfolio of work within 3 to 12 months of registration (Assessment Regulation 1.1). These documents should meet the following requirements:
- a. The submitted portfolio of published research must add up to a substantial and coherent body of work which would have taken the equivalent of three years of full-time study to accomplish. It must consist of either one or two books or at least six refereed journal articles or research papers, which are already in the public domain.
 - b. The candidate should not submit material published more than ten years prior to the date when s/he is given permission to register for the degree (Assessment Regulation Research 2.6).
 - c. The critical review should:
 - i. Summarise the aims, objectives, methodology, results and conclusions covered by all the submitted work in the portfolio;
 - ii. Indicate how the publications form a coherent body of work, what contribution the candidate has made to this work and how the work contributes significantly to the expansion of knowledge;
 - iii. Be at least 10,000 words in length, but not more than 25,000 words in length.

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d. The abstract may be the same, or based upon, the synopsis provided at the initial assessment phase, and should fit onto one page of A4.

3.4 The total submission, including the critical review, should not normally exceed 100,000 words.

4. Assessment and Examination

4.1 On receiving the “notice of intention to submit” forms, the CPGSC will appoint examiners in the normal way, and the normal PhD by Research examination processes will be followed (Part One report followed by Viva and Part Two report). Both internal and external examiners should be experienced PhD examiners. Members of staff will require two external examiners.

4.2 A member of CPGSC should attend the oral examination and subsequent discussion, as an observer. The expertise of the member appointed should be as close as possible to the candidate’s discipline.

4.3 The CPGSC will consider the examiners' reports in the normal way, and make a formal decision. The CPGSC will then communicate the final outcome to the candidate after due consideration of the Examination Sub-Committee.

Appendices:

Appendix 1: Degree by PhD (by Research Publications) Application Form

Appendix 2: Abstract of DRPS and Postgraduate Assessment Regulations (Research) 2008/9

THE UNIVERSITY OF EDINBURGH
DEGREE OF PhD (BY RESEARCH PUBLICATIONS)

Application for Approval of Candidature in terms of Regulation 3.11.5
made under Resolution 49/1999

Please complete in typescript or block letters using black ink.

Surname of applicant:
(Prof/Dr/Mr/Mrs/Miss/Ms)

Prenames:

Correspondence address:

Tel no: _____ Fax no: _____

E-mail: _____

Qualifications:

University, College or Seminary
attended

Degrees obtained with class

Date of award(s)

Professional qualifications:

Field of study: _____

Please indicate College and/or School considered most appropriate:

Appendix 2 – Extract from relevant sections of DRPS and PG Assessment Regulations (Research)

6. PhD (by Research Publications) DRPS 2009/10

- 6.1 Applicants who are graduates of the University of Edinburgh or who are current members of staff of the University of Edinburgh, or of one of the University's Associated Institutions, may, at the discretion of the College, be allowed to apply for the award of the degree of PhD (by Research Publications).
- 6.2 Applicants must be either graduates of the University of Edinburgh of at least five years' standing; or members of staff of the University of Edinburgh or of an Associated Institution of not less than three years' standing.
- 6.3 Applicants should have been active postgraduate researchers in their field of expertise for a minimum of five years before seeking permission to register for this degree, and they should not submit material published more than ten years prior to the date when they are given permission to register for the degree.
- 6.4 Permission to register will not normally be granted to applicants who are in a position to submit for the PhD by dissertation or who already possess a PhD.
- 6.5 Applicants must first apply to the appropriate College to seek approval for their candidature before they can submit their work for formal examination. At the same time as lodging their application, applicants will be expected to submit their published work and a 500-word synopsis outlining the extent, range, quality and coherence of their submission.
- 6.6 When an applicant has notified a College of a desire to register for this degree, it will appoint a suitably qualified member of staff to advise it on whether there is a prima facie case for registration to be approved.
- 6.7 On registration, an adviser will be appointed to advise the candidate on the selection, coherence and quality of the portfolio of research work to be submitted and on the nature of the accompanying abstract and critical review.
- 6.8 The grounds for the award of PhD (by Research Publications) are
 - (a) The submission of a portfolio of published work judged satisfactory by the examiners and a satisfactory performance at an oral examination.
 - (b) The submitted portfolio of published research must add up to a substantial and coherent body of work which would have taken a diligent student the equivalent of three years of full-time study to accomplish, which makes a significant contribution to knowledge in or understanding of the candidate's field of study, and which is of a scholarly standard normally expected of a candidate who submits a PhD dissertation.
 - (c) The portfolio of published work must consist of either one or two books or at least six refereed journal articles or research papers, which are already in the public domain. The total submission, including the critical review (see the Research Degree Assessment Regulations) should not normally exceed 100,000 words.
 - (d) Candidates must either be the sole author of the portfolio of published work or must be able to demonstrate in the critical review of the submitted work that they have made a major contribution to all of the work that has been produced by more than one author.

From Postgraduate Assessment Regulations (Research)

1.1 For the degree of PhD By Research Publications candidates must submit their thesis within three to twelve months of registration (excluding any periods of suspension) unless, in exceptional circumstances, an extension is granted by the Committee.

2.6 For the degree of PhD By Research Publications candidates should not submit material published more than ten years prior to the date when they are given permission to register for the degree. The portfolio of published work must be accompanied by an abstract and also by a general critical review of all the submitted work. This critical review should summarise the aims, objectives, methodology, results and conclusions covered by all the work submitted in the portfolio. It should also indicate how the publications form a coherent body of work, what contribution the candidate has made to this work, and how the work contributes significantly to the expansion of knowledge. It should be at least 10,000 words, but not more than 25,000 words in length.