

University of Wolverhampton Regulations  
for the Degree Awards of:

Master of Philosophy  
Doctor of Philosophy  
PhD by Published Work and  
Postgraduate Diploma (by Research)

Effective from 1 January 2014

# Regulations for Research Degrees

## 1. General Regulations

- 1.1 The University of Wolverhampton aligns the level of its awards and qualifications with the Framework for Higher Education Qualifications (FHEQ) published by the Quality Assurance Agency (QAA). This is a common framework within the United Kingdom. All awards and qualifications of the University of Wolverhampton will meet the standards specified by the QAA.
- 1.2 Research degrees may be undertaken in prescribed fields of study and disciplines in which the University has appropriate and relevant research expertise and resources to support high-quality research degree programmes.
- 1.3 The University's research degrees are awarded to Students who have satisfied a team of specially-appointed Examiners that both the thesis (including portfolio of creative / published work) and the oral defence of that thesis demonstrate that they have achieved the learning outcomes appropriate to the award sought.
- 1.4 All Research Students are expected to be able at all times to demonstrate an awareness of research-related topics such as respecting copyright, safeguarding intellectual property rights, ethical concerns in conducting research, health and safety, etc
- 1.5 The University Research Committee will approve and monitor:
  - 1.5.1 The methodology for the allocation of Supervisors.
  - 1.5.2 Criteria for the composition of Examining Teams to support section 5 of these regulations.
  - 1.5.3 Contents of Research Handbooks to support the conduct and behavior of Research Students, Supervisors and Examiners.
  - 1.5.4 A list of staff that can act on the authority of the Dean of Research, together with the permitted powers of delegation. In these regulations the "Dean of Research" equally refers to these approved staff.
- 1.6 These Research Regulations relate to the awarding of PhDs, MPhils, PhD by Published Work (Appendix A), and Higher Doctorates (Appendix B). They also relate to the management of the Doctoral Thesis element of Professional Doctorate degrees, and must be read in conjunction with the University of Wolverhampton Academic Regulations. (Professional Doctorates commencing academic year 2019/20 onwards will be subject to Regulations for the Degree Award of Professional Doctorate 2019/20).

## 2. The Admission of Research Students

- 2.1 The University will ensure that procedures in place for the recruitment and admission of Students are readily accessible, fair, clear and implemented consistently and that decisions regarding admissions are made by those equipped to make the required judgment and who are competent to undertake their roles and responsibilities.
- 2.2 The University will ensure the speedy conversion of appropriate applications into offers to suitable prospective Students by having transparent academic and non-academic entry requirements which lead to the enrolment of new entrants at appropriate levels in the University.
- 2.3 Applicants will be provided with timely information and advice needed for them to make informed choices best suited to their individual needs and circumstances and financial support and costs, together with the obligations placed upon them at the point at which an offer of a place is made.
- 2.4 The University will inform prospective Students as soon as possible of any significant changes, and will inform successful applicants of the arrangements for enrolment, registration and induction. The University will ensure that effective and appropriate arrangements are in place for providing feedback to applicants who have not been offered a place.
- 2.5 The University will ensure that procedures are in place for responding to applicants' complaints about the operation of the admissions process, and appeals about the outcome of a selection decision, and will ensure that all staff involved with admissions are familiar with the procedures.
- 2.6 This regulation and associated procedures are framed within the Institution's published Equal Opportunities Policy and operate to ensure equality of opportunity for all applicants to the University and its partner colleges irrespective of colour, gender, sexual orientation, ethnic origin, age, disability, religion or socio-economic background.
- 2.7 All applicants to the University will be required to complete the appropriate application form.
- 2.8 The University will not admit or allow the continuation of study for any person found to have made a fraudulent application.
- 2.9 Students who have previously been excluded from any course in the University for reasons of discipline, academic misconduct or fitness to practice will have no right to study at the University again.
- 2.10 An applicant for a research degree shall normally hold either:
  - a first or upper second class honours degree, or
  - a master's degree, or
  - evidence of prior practice or learning that is accepted by the Dean of Research.
- 2.11 Where an applicant presents a research proposal as part of the application process which is accepted by the Dean of Research, the applicant may register directly onto the Research Degree programme.

With effect from January 2014 (revised July 2019)

- 2.12 An Applicant whose entry award was not delivered in English, or non-native speaker of English shall be required to demonstrate proficiency in English at least to the level of an IELTS score of 7.0 or its equivalent to be registered as a Research Degree Student. However, if the Candidate holds a Master's degree from a U.K. University, this requirement may be waived.
- 2.13 For an Applicant wishing to pursue a Research Degree in the areas of Chemistry, Computing and Mathematics, Computer Science, or Engineering, whose entry award was not delivered in English, or non-native speaker of English shall be required to demonstrate proficiency in English at least to the level of an IELTS score of 6.5 (Writing - 6.5 and no less than 6.0 in any other component) or its equivalent.
- 2.14 Exceptionally an applicant who does not meet the criteria set out in 2.10 - 2.13 may be admitted to a Pre-Research Degree programme, providing the Dean of Research confirms the applicant has been able to present:
- evidence of a satisfactory general education and of ability to undertake the proposed research programme,
  - the names of two academic referees,
  - Demonstrate proficiency in English to at least the level of an IELTS score of 6.0
- 2.15 The Dean of Research will approve the appropriate selection criteria for each applicant, and this will be communicated to the applicant following receipt of their application.
- 2.16 Prior to confirmation of acceptance to the applicant, the Dean of Research must confirm that suitable supervision is available.
- 2.17 Where a Student wishes to transfer from another University they will be required to present evidence of progress to date in their research programme of study and in achieving the learning outcomes for the award will be required to be verified by the current Institution. The Dean of Research may approve a reduction in the registration period, within the registration periods set out in section 3.17.

### **3. The Registration of Students**

- 3.1 Registration is the annual process through which Students formally agree to be a Student member of the University for either the whole or part of the academic year.
- 3.2 The University Research Committee will agree, on an annual basis, the number of registration points at which new Students may commence their study. The minimum registration points will be two per annum,
- 3.3 Students will register for their intended research award, however will need to meet the requirements of sections 3.16, and 6 to continue to study.
- 3.4 Students are responsible for ensuring that they are fully registered at the appropriate point each year. Students not fully registered may be de-registered and barred from study.
- 3.5 All new Students will be required to provide evidence of their identity and relevant qualifications when they join the University.
- 3.6 Students requiring a visa to study in the UK must ensure that they meet, both at the beginning and for the duration of the course, requirements stipulated by the UK Border Agency and conditions of their visa.
- 3.7 Students must remain registered with the University until conferment of the award. This includes any periods following the examination (including re-submission) during which the Examiners' recommendations are implemented.
- 3.8 Continuing Students who do not re-register will be assumed to have withdrawn from their course.
- 3.9 In registering Students agree to abide by the University Regulations, Bye-Laws and their liability for annual fee payments.
- 3.10 Students can apply to be considered "at writing-up stage" only once they have completed their main studies. The maximum period of time a Student can be considered to be writing-up is 12 calendar months.
- 3.11 Students must ensure that all fees and other payments due to the University are paid within the academic year such costs are incurred. Where appropriate they may agree to use any sponsorship or bursary in part payment of fees. Students owing the University money from a previous year or course, outside any agreed limit set annually by the University, will not be permitted to register. Students unable to register, because of outstanding debts, will be obliged to take a leave of absence or withdraw.

- 3.12 Any Student who is not registered, (including those on a Leave of Absence – see section 9), will not be covered by the University Insurance policy or by the University Health & Safety policy and will be excluded from their study, research, supervision and direction at the University.
- 3.13 Students must, at all times, ensure that the data the University holds for them are accurate. The registration process allows Students to check and update key personal information in their record. Changes which occur at other times in the academic year must be notified to the University. This includes notifying the University of their withdrawal, leave of absence or transfer following procedures published by the Academic Registrar.
- 3.14 The University has a statutory requirement to share data with certain other bodies. The Academic Registrar will publish annually a list of organisations which receive data from the University.
- 3.15 Students may study at a distance for all or part of their registration, with the agreement of the Dean of Research. Such Students will be required to follow a programme of study agreed by the Dean of Research.
- 3.16 Students may study on a full or part- time basis.
- Full-time Students will normally devote on average 35 hours per week over a minimum of 45 weeks per year to the programme.
  - Part-time Students will normally devote 15-18 hours per week over a minimum of 45 weeks per year to the programme.
- 3.17 Students may vary the pace at which they proceed through their course by varying the mode of study. It is the responsibility of the Student to ensure that they are fully aware of any financial consequences that the decision to vary the pace of study may have.
- 3.18 The maximum period over which an award governed by these Research Regulations may be studied will be:

<b>Full Time Students</b>	<b>Normal</b>	<b>Maximum</b>
PhD	3 years	4 years
Professional /Practitioner Doctorate *	3 years	4 years
MPhil	18 months	2 years
Higher Masters Degree *	1 year	2 years
Pre-Research programme	6 months	6 months

<b>Part Time Students</b>	<b>Normal</b>	<b>Maximum</b>
PhD	4 years	8 years
Professional /Practitioner Doctorate	4 years	8 years
MPhil	2 years	4 years
PhD by Publication	1 year	2 years
Higher Masters Degree	2 years	4 years

- 3.19 The maximum registration period includes the period up to the submission of the theses. Where any delay is outside the control of the Student, the registration period will be adjusted to reflect the delay.
- 3.20 Where a Student chooses to change their mode of study the maximum period of registration will be calculated pro rata.
- 3.21 Where a Student has been granted permission to take a period of leave of absence, in accordance with section 9, the maximum period of registration will be extended by the relevant period.
- 3.22 Where a Student has been granted an extension to maximum registration, in accordance with section 10, the maximum period of registration will be extended by the relevant period.
- 3.23 To be eligible to continue to study for an award governed by these Regulations, a Student must not exceed the relevant maximum periods of registration set out in section 3.18 and must successfully complete the progression stage of the award being studied.
- 3.24 Where a research Student can demonstrate that s/he has achieved all or some of the learning outcomes through research training and personal development undertaken outside the University, the Dean of Research may recommend that the Student be accredited for such prior achievement and thus be deemed to have completed all or part of the specified programme of research training. This recommendation may also consider a reduced registration period.

## **4 The Management of Assessment – The Theses**

- 4.1 All Research Students must present a written thesis, presented in English, in the format agreed by the University Research Committee, on the subject of their research, for examination by a team of Examiners.
- 4.2 Research Students are required to submit their thesis for examination within the registration periods set out in 3.18.
- 4.3 The thesis may contain work previously published by the candidate, and reference to such publication shall be made in the thesis. Where publications are jointly authored by the Student and others, the Student's contribution to the publication must be specified.
- 4.4 The thesis may not contain work that has been previously submitted for another award.
- 4.5 For the award of PhD by Published Work, only work that has been peer reviewed is eligible for inclusion. The publications submitted for examination must form a coherent body of knowledge rather than a series of disconnected research outputs. 80% of this work must have appeared within six years of the date of submission. (Refer to Appendix A: Regulations for the Degree Award of PhD by Published Work)

- 4.6 For the award of Higher Doctorate a portfolio of work of high distinction should be included. It should constitute an original and significant contribution to the advancement of knowledge and/or its application and should support the case that the applicant is an authority in his/her field of study. That the latter is the case will be demonstrated by evidence of a sustained and coherent contribution to scholarship over a number of years. Such evidence will largely be provided by published work submitted but may be complemented by supporting evidence of sustained contributions to higher education, especially at the postgraduate level in such activities as successful research degree supervision and examination of research degree candidates. (Refer to Appendix B: Regulations for the Award of Higher Doctorate)
- 4.7 Following the award of the degree, an electronic copy of the theses (E-theses) will be lodged in the University's on-line repository unless an application for confidentiality has been approved by the Dean of Research.
- 4.8 The copies of the thesis submitted for examination and the final E-Thesis shall remain the property of the University but the copyright of the thesis shall be vested in the Student.
- 4.9 An application for confidentiality may be made to the Dean of Research on the following grounds:
- to enable a patent application to be lodged, or
  - to protect material that is sensitive commercially or personally, or due to its relation to questions of national security.

Approval must be sought and granted no later than the time at which examination arrangements are approved. The normal maximum period of confidentiality is two years. Where an application for confidentiality has been granted, the thesis will be retained by the University on restricted access and will only be made available to those directly involved with the project.

## 5. The management of Assessment – the examination

- 5.1 A team of Examiners will be convened to examine Students at the appropriate time. The membership of the Examination Teams will be approved by the Dean of Research and reported to the Research Awards Sub-Committee. Members of the Student's Supervisory team or scholars whose own work forms the focus of the thesis may not be appointed as an Examiner.
- 5.2 The Examining team will comprise a minimum of two Examiners. One must be external to the University and/or any linked partners. In order to ensure the integrity of the examining process, Students who are employed by the University will be examined by at least three Examiners, at least two of whom must be external to the University and/or any linked partners.
- 5.3 All oral examinations will be chaired by a representative of the University. They will be independent of the project, Student and Supervisors. Their role is to ensure that the examination is conducted fairly and in accordance with the University's regulations.
- 5.4 In cases of recorded disability where a candidate would be disadvantaged by an oral examination, alternative arrangements may be approved by the Dean of Research.
- 5.5 Once the examining team has been appointed, neither the Student nor the Supervisory team shall have any contact with the Examiners in relation to the thesis until the oral examination.
- 5.6 Following the oral examination, the Examiners will be asked to make one of the following recommendations:
  - 5.6.1 Pass.
  - 5.6.2 Pass, subject to minor corrections, in accordance with 5.8 (*Not relevant to Higher Doctorate degrees.*)
  - 5.6.3 Re-submit and/or be re-examined orally for the degree originally submitted, in accordance with 5.9 (*Not relevant to Higher Doctorate degrees.*)
  - 5.6.4 Re-submit and/or be re-examined orally the original PhD for the degree of MPhil, in accordance with 5.10 (*Not relevant to Professional Doctorate or Higher Doctorate degrees.*)
  - 5.6.5 Fail. The Student has no further opportunity for submission.
- 5.7 If the thesis is awarded a Pass subject to minor correction (5.6.2 or 5.11.2) of editorial or other stated deficiencies, the Student must resubmit the corrected work within 12 weeks. If the thesis is not resubmitted within 12 weeks, and in the absence of approved and recorded Leave of Absence, the University reserves the right not to confer the award.

- 5.8 If the thesis is not considered to be of sufficiently high standard to recommend the award submitted, but there is evidence of the potential of a successful submission, then the Examiners may recommend that the Student re-submit the thesis. Such re-submission will take place within 12 calendar months of the date of the oral examination and Students must remain registered at the University during this time. The Examiners have the discretion to request a further oral examination following re-submission of the thesis. The maximum registration period will be extended to accommodate this requirement
- 5.9 If the thesis for a PhD award is not considered to be of sufficiently high standard to recommend the full award and the Examiners do not believe there is evidence of potential to reach the appropriate standard within 12 months, they may recommend that the Student re-submit the thesis for an MPhil award. Such re-submission will take place within 6 calendar months of the date of the oral examination. The Examiners have the discretion to request a further oral examination following re-submission of the thesis.
- 5.10 A Student whose thesis has been recommended for re- submission may exercise the option of re- submitting a revised thesis for consideration for the award of MPhil. Such re-submission will take place within 6 calendar months of the date of the oral examination. In such cases, the thesis will be considered a re-submission and bound by regulation 5.12 below.
- 5.11 Where the thesis is re-submitted, the Examiners will only consider the issues that were previously referred. They will be asked to make one of the following recommendations:
- 5.11.1 Pass
  - 5.11.2 Pass, subject to minor corrections to be completed within 4 weeks
  - 5.11.3 Fail. There is no further opportunity for submission.
- 5.12 Where Examiners are unable to reach an agreed recommendation, the Dean of Research may:
- 5.12.1 accept a majority recommendation;
  - 5.12.2 accept the recommendation of the external Examiner; or
  - 5.12.3 require the appointment of an additional Examiner.
- 5.13 In the case of 5.12.3 above, or where there has been a substantial procedural error, an additional Examiner shall prepare an independent report on the thesis and may request an additional oral examination. The only outcomes available to the additional Examiner are either Pass or Fail. S/he shall neither seek nor be informed of the individual recommendations of the other Examiners.
- 5.14 Where the Examiners believe that the thesis is so unsatisfactory that no useful purpose could be served by conducting an oral examination, they may decide that the thesis be referred for further work prior to conducting an oral examination. In such cases, when the thesis is re-submitted for examination it will be examined under regulation 5.11 above.
- 5.15 All Examiners' recommendations are subject to confirmation by the Research Awards Sub-Committee and, as appropriate, the Professional Doctorate Progression and Award Board.

## 6. Continuation Regulations

- 6.1 Student progress will be considered by the Supervisory team as part of the regular Supervisory process, following criteria agreed by the University Research Committee and published in the Research Handbooks.
- 6.2 The University Research Committee will convene a Research Awards Sub-committee, which will meet at least six times each year, to consider:
  - 6.2.1 The performance of Students currently subject to the 'Proceed with Caution' process,
  - 6.2.2 The annual progress review of all Students,
  - 6.2.3 The performance of Students at the "progression" stage
  - 6.2.4 The confirmation of awards of Students completing their studies
- 6.3 All Research Students must meet their Supervisor on at least 9 occasions each year (part time Students on at least 5 occasions), using the agreed methods depending upon the location of the Student.
- 6.4 If the Supervisor judges that a Student's ability to progress is endangered, they will declare that Student to be subject to the 'Proceed with Caution' process. A Student may be subject to the 'Proceed with Caution' process under the following circumstances:
  - 6.4.1 They have not met the requirements to satisfy the Supervisor that they should proceed, as outlined in the Research Handbooks;
  - 6.4.2 They have repeatedly failed to meet deadlines or quality thresholds as specified as part of the informal Supervisory review of progress.
- 6.5 When a Student meets the criteria of the 'Proceed with Caution' process the Dean of Research will be advised, and an action plan agreed. Where a Student continues to meet the 'Proceed with Caution' criteria for two or more months, the issue will be reported to the University Research Awards Sub-committee and, as appropriate, the Professional Doctorate Progression and Award Board.
- 6.6 Where the 'Proceed with Caution' procedure does not result in an improvement in the Student's ability to progress, the Dean of Research may recommend to the Research Awards Sub-committee and, as appropriate, the Professional Doctorate Progression and Award Board, that the withdrawal procedure be initiated.

## **7. Appeals**

- 7.1 The University has an appeals procedure that is available for all research Students.
- 7.2 Prior to the submission of the thesis for examination, a Student may appeal against any recommendation not to progress to examination stage.
- 7.3 Grounds for appeal against a recommendation not to progress may include:
- Procedural irregularity in arriving at the recommendation;
  - Evidence of unfair or improper assessment by either one or more members of the Supervisory team or of the designated authority;
  - Evidence of unsatisfactory or insufficient supervision, inadequate access to basic support facilities, or lack of provision of agreed specialist or other facilities, that can be demonstrated to have had a negative impact on the Student's ability to progress.
- 7.4 A Student may appeal against the recommendation of the Examiners following examination or re-examination. Grounds for appeal against an Examiners' recommendation may include:
- Evidence that there were circumstances of which the Chair and the Examiners were not aware that affected the Student's performance at the oral examination;
  - Evidence of procedural irregularity in the conduct of the examination (including administrative error) of such a nature as to cause doubt on the reliability of the recommendation;
  - Evidence of unfair or improper assessment on the part of one or more of the Examiners.
- 7.5 Grounds for appeal against an Examiner's recommendation shall not include:
- The academic judgment of the Examiners;
  - Allegations of unsatisfactory or insufficient supervision.

## **8. Academic misconduct**

- 8.1 The University has a formal procedure for investigating allegations of academic misconduct for research Students outlined in the Research Handbooks.

## **9. Leave of absence**

- 9.1 A Research Student may apply for a leave of absence, where they declare that they are not undertaking any research activities for a period of time (i.e. a temporary withdrawal from studies).
- 9.2 No single period of Leave of Absence will be granted for a period in excess of 12 months. The total period of Leave of Absence allowable is 24 months. Students cannot take consecutive periods of Leave of Absence for longer than 12 months and must re-engage with their research studies for a minimum of 3 months after taking the maximum 12 months allowable. Any request for leave of absence shall be referred to the Dean of Research or nominee and reported to the University Research Awards Sub-committee and, as appropriate, the Professional Doctorate Progression and Award Board.
- 9.3 Periods of leave undertaken due to statutory childcare (including maternity leave, paternity leave, shared parental leave and adoptive leave) will not be counted towards the maximum total period of 24 months, although the maximum registration period will be amended accordingly.
- 9.4 Periods of leave undertaken due to statutory jury service will not be counted towards the maximum total period of 24 months, although the maximum registration period will be amended accordingly.
- 9.5 Whilst on a leave of absence, a Student will have restricted access to University services and facilities, including their Supervisor in respect of their research work, but will be encouraged to keep in touch with their Supervisor for pastoral support
- 9.6 A leave of absence will be granted in month-long blocks, and then added to the registration period.
- 9.7 Leave of absence will not be granted retrospectively.
- 9.8 Students on a Tier 4 visa taking Leave of absence will be required to return to their home country.
- 9.9 Students in receipt of a studentship are not entitled to any bursary payments whilst on Leave of Absence.
- 9.10 In very exceptional circumstances, a Director of Studies may ask for a student's maximum registration period to be extended in accordance with section 10.

## 10. Exceptional Extension to Registration Period

- 10.1 A Director of Studies, on behalf of a research student, may apply for an extension to the maximum registration period only in very exceptional circumstances (e.g. because of a setback for which the University takes full responsibility). Extensions will not be granted for 'unexceptional' circumstances such as everyday life events, work pressure, financial difficulties, academic failure, and poor project/time management.
- 10.2 Any request for an extension shall be referred to the Dean of Research and Academic Registrar (or nominees) and reported to the University Research Awards Sub-committee and, as appropriate, the Professional Doctorate Progression and Award Board.
- 10.3 An extension will be granted in month-long blocks. A new maximum registration date will be calculated that takes account of the period granted by the Dean of Research.
- 10.4 The total period of extension allowable will not normally exceed 12 months.
- 10.5 Research Students may be liable for fees for any extended period of registration.
- 10.6 An extension shall not be granted retrospectively.

## 11. Posthumous and Aegrotat awards

- 11.1 The University may award consider an Aegrotat or Posthumous award, on the recommendation of the Dean of Research. In reaching the decision the Dean of Research will normally convene an Examination Panel in accordance with section 5.
- 11.2 In addition to PhD and MPhil, the Examiners may recommend the award of Postgraduate Diploma (by research), if they believe the work is close to but not sufficient for an MPhil. *(Not relevant to Professional Doctorate degrees.)*
- 11.3 In considering whether to accept such a thesis, the relevant committee will assure itself that the work available is of sufficient quality to demonstrate to Examiners that the candidate had achieved the objectives of the research programme.
- 11.4 In considering the request for an Aegrotat award, the University Research Awards sub-committee will assure itself that appropriate efforts have been made to support the Student and to retrieve the programme of study, and that the Student is unlikely to be able to complete the programme in the foreseeable future.
- 11.5 Research submitted for consideration for a Postgraduate Diploma (by Research) cannot subsequently be employed by the candidate towards an MPhil or PhD.

# **APPENDIX A: Regulations for the Degree Award of PhD by Published Work**

The University of Wolverhampton (hereinafter referred to as 'the University') may award the degree of PhD by Published Work where the candidate has made an independent and original contribution to new knowledge through the discovery of new facts, demonstrated an understanding of research methods appropriate to the chosen field and has presented and defended a thesis by oral examination to the satisfaction of the examiners. The academic standards associated with the degree award of PhD by Publication shall be comparable with those of the degree award of Doctor of Philosophy.

## **A) REGISTRATION**

### **Application**

Initial registration for the PhD by Published Work is through the Research Proposal.

### **Period of Study**

A PhD by Published work is studied part-time. The normal period of study for a PhD by Published Work shall be 12 months part-time from the date of approval of the Research Proposal. The maximum period over which a PhD by Published Work may be studied is 24 months part-time.

### **Academic Advisor**

If the relevant Research Student Board approves an application, they will appoint at least one Academic Advisor who will be a serving member of the University. The advisor(s) shall provide general guidance on the presentation of the published works for examination and advice on the written commentary.

## **B) ELIGIBLE MEMBERS OF STAFF**

Eligible members of staff are defined for this purpose as academic staff of the University of Wolverhampton appointed to a full-time contract or occupying a substantive part-time post equivalent to at least 0.2 of a full-time contract.

Staff undertaking a PhD by Published Work must be in such employment at the time of approval of the Research proposal and at the time of submission of the PhD. They will have been in post for at least one year prior to submission of the Research Proposal.

### **C) LEARNING OUTCOMES AND PEER REVIEW**

The learning outcomes expressly refer to peer-review and sole or lead authorship (see also (d), below). The learning outcomes must all be demonstrated in the written commentary and/or peer reviewed original research-based published works. (see also Research Student Handbook, section 10.2 Learning Outcomes for the Award of PhD, PhD by Publication, and Professional Doctorate)

Note that published works that have not been peer reviewed cannot be submitted for a PhD by Published Work. An output shall be regarded as published work only if it is traceable through ordinary catalogues, tables of contents, critical reviews, abstracts or citation indices and if copies are or have been available to the general public including, for example, public exhibitions with published catalogues and public performances with published programmes. As a consequence of this requirement, reports provided exclusively for the public or private sector may not be submitted unless they have been published and are available generally. Proofs of works not yet accepted for publication shall not be submitted.

The published works submitted for examination will constitute a corpus of work that contributes a coherent body of knowledge rather than a series of disconnected research outputs.

### **D) SUBMISSION FOR PHD BY PUBLISHED WORK**

The written submission for a PhD by Published Work is comprised of:

- i) Published works, and
- ii) Commentary and body of work.

#### **Word Count**

A guide to the word count can be found in the table below.

<b>Subject Area</b>	<b>Published works</b>	<b>Commentary</b>	<b>Total word count for written submissions</b>
Science, Engineering and Technology	Up to 35,000 words	At least 10,000 words	45,000 words
Humanities (Arts, Social Sciences, Education & Business)	Up to 70,000 words	At least 20,000 words	90,000 words

#### **Published Works**

For the purpose of these regulations, 'published work' shall refer to journal papers, chapters, monographs, books, scholarly editions of a text, enduring records of creative work (which may be in any field including fine art, design, architecture, musical composition, dance or performance) or other original artefacts.

The number of publications will depend on both the academic area and the type of publication included in the submission, but as a guide the submission should normally comprise between three and ten publications.

Any submission for a PhD by Published Work will involve a coherent portfolio of published work, with appropriate currency. This will be ensured as follows:

- At least 80% of the published works submitted must have been published within six years of the date of submission for examination. Where appropriate, a maximum of 20% of outputs may have appeared within 10 years prior to submission. The 80% is calculated as the proportion of separately published outputs rather than as a proportion of total word count.
- Publications included in the submission for a PhD by Publication should not have been used in the submission for another research degree

Where more than one chapter from a single edited book is included, there is a strong expectation that, taken together, these will comprise less than half of the published works submitted for examination.

### **Commentary and body of work**

The commentary will be presented in English. The published works will also be in English unless a specific exemption is sought from the University Research Committee at the time of submission of the Research Proposal. Permission to include publications in a language other than English will normally only be granted **provided** that the thesis advisor has reading knowledge of the language of the publications **and** that the inclusion of such publications would not prejudice or limit the selection of appropriate examiners or Independent Chair. The formatting requirements of the commentary should mirror those of the PhD as outlined in the Research Student Handbook, Appendix 5: Submission of the Thesis.

The written commentary provides a context for the published work, a statement (or re-statement) of the argument / research questions (including theoretical and methodological underpinnings) that the published works together put forward. This should explain how the findings from the collection of published works address the research question. The commentary should also state (or restate) the original contribution(s) to knowledge that the published works together advance.

### **Co-authored works**

Where jointly authored works are to be submitted for the degree, the candidate shall submit (as appendices to the commentary) a formal statement for each applicable work endorsed by the co-authors clearly identifying the candidate's intellectual ownership and contribution to each published work. The statement(s) shall quantify the candidate's contribution to the formulation, execution, analysis and publication of the research.

In addition, the written commentary must clarify the candidate's contribution and identify the basis for their claim to the intellectual content of any jointly authored works. Candidates should expect their individual contribution to multi-authored works to be a focus of the oral examination.

## **D) THE MANAGEMENT OF ASSESSMENT**

The assessment will be conducted in accordance with sections 4 & 5 of the Research Degree Regulations. An examination team shall be established and will comprise an independent Chair, one internal examiner, and two external examiners.

### **Examiners' recommendations**

Following the oral examination, the examiners will be asked to make one of the following recommendations:

- i) Pass.
- ii) Pass, subject to the correction of minor editorial or other stated deficiencies in the commentary, to be made within twelve weeks. The degree will not be awarded until confirmation that the corrections have been completed is received. Where the candidate does not submit the corrected commentary within twelve weeks and in the absence of recorded extenuating circumstances, the University reserves the right not to confer the award.
- iii) Fail.

## **E) FAILURE OF PHD BY PUBLISHED WORK**

Where the examiners' recommendation is fail, the candidate may make a further application at any time, provided that such an application includes additional works based upon further study and research. The period of study shall be 12 months from the date of approval of the new Research Proposal. The candidate shall submit a new copy of the published works and commentary for examination. A new team of examiners will be appointed.

# **APPENDIX B: Regulations for the Award of Higher Doctorate**

## **1) Introduction**

The University of Wolverhampton awards higher doctorates for a substantial portfolio of work of high distinction as defined in the following Regulations for the award of such degrees.

1.1) Applications may be made for the following higher doctorates:

- Doctor of Arts (DArt)
- Doctor of Business Administration (DBA)
- Doctor of Design (DDes)
- Doctor of Engineering (DEng)
- Doctor of Letters (DLitt)
- Doctor of Laws (LL.D.)
- Doctor of Music (DMus)
- Doctor of Science (DSc)
- Doctor of Social Science (DSocSc)
- Doctor of Technology (DTech)

Applicants are required to state the higher doctorate for which they wish their work to be considered.

## **2) The Nature of Submissions**

2.1) Higher Doctorates are awarded to individuals who have demonstrated a command over a field of study and who have made a significant original contribution to the advancement of knowledge or to the application of knowledge (or to both).

2.2) Higher Doctorates are awarded on the basis of a submission of a substantial portfolio of research-based work. The applicant must have published research outputs in the accepted media within their field of significant quality and number and be involved in peer reviews of their subject.

2.3) The work submitted must be of high distinction and must establish that the applicant is a leading authority in the field or fields of study concerned. Applicants must evidence a sustained and coherent contribution in their field over a number of years that is consistent with the applicant playing a leading role in their subject area. Applicants must demonstrate leadership in their field, the nature of which must be set out clearly in the applicant's statement.

### **3) Eligibility**

3.1) The following shall be eligible to make application for the Higher Doctorate degree:

- a) Any member of the University's staff who at the time of application have been employed by the University for not less than three years.
- b) An honorary or visiting member of staff of the University of Wolverhampton who have served for not less than four years
- c) Any alumnus of the University of Wolverhampton or the former Wolverhampton Polytechnic
- d) A person who has carried out research at or in association with the University of Wolverhampton for a period of at least fifteen years, which has led to publications that will form a substantial component of the body of work presented in support of the application

3.2) Such applicants should be holders, of at least seven years' standing, of a doctoral degree awarded by a UK University (or equivalent body), or of a qualification of equivalent standard.

### **4) Application**

4.1) The conferment process for Higher Doctorate awards is a thorough and therefore lengthy one. Candidates who wish to have their award conferred in a particular calendar year are therefore advised to make application at least nine months beforehand.

4.2) A candidate must make an initial application to the Dean of Research to submit for the degree.

4.3) An initial application must consist of one copy of each of the following, all of which must be produced and submitted electronically in PDF format:

- a) A completed application form, the current version of which may be obtained from the University.
- b) A curriculum vitae.
- c) A list of published works. Each submitted publication should have the following symbols entered against it, as appropriate: R = refereed U = un-refereed S = sole author P = principal author J = joint author. The list of publications as a whole should be arranged in a logical sequence and grouped where appropriate.
- d) A submission title.
- e) A statement of approximately 1,000 words setting out the applicant's view of the nature and significance of the work submitted. This detailed statement must summarise the case for support, bringing the separate strands of the work together into a coherent theme in the context of the subject and the conclusion must bring out the main points and make the case for the award.
- f) A full statement of the extent of the applicant's contribution to work submitted, involving joint authorship or other types of collaboration. The statement must be set out in such a way that it is absolutely clear what constitutes the applicant's own original and significant contribution to the field.

- g) A statement describing any previous submission of the works for a degree of this or any other University.
- h) The names of two academic referees who shall not be members of the University.

4.3) On submission of an initial application the Dean of Research, with advice from appropriate Faculty Research Committee (FRC), will consider whether the application is eligible of proceeding to examination.

4.4) Ineligible applicants will be informed if it is not possible to progress the application outlining the reason(s) why.

4.5) If the application is premature and is rejected, this shall not prevent the candidate from applying on a further occasion at a later stage. This would not normally be earlier than 2 years after the first application was rejected.

4.6) If any documents are missing to support the application then the applicant will be informed of what is required and given 60 working days in which to supply the outstanding documents. If documents are not received during this timeframe, then the application will be rejected and the applicant informed.

## 5) Candidature

5.1) Eligible applicants will be informed that their candidature has been approved and shall be invited to submit for examination three hard copies of the portfolio of published works upon which the application is based.

5.2) All material other than books must be secured in chronological order in one or more hard-backed folders, each containing a title and contents page. The contents of a submission must be in English unless specific permission to the contrary has been given by the University.

5.3) The applicant will also be required to pay the candidature fee of £1000.

5.4) The submission may take the form of books, contributions to journals, patent specifications, reports, specifications and designs, compositions, digital artefacts, research datasets and may also include other relevant evidence of original work:

- a) **Books:** Those focused on the specialism(s) and research area(s) of the applicant; those which have become standard undergraduate and postgraduate texts; those bodies of work edited by and/or contributed to by applicants.
- b) **Papers:** While contributions to the full range of published material in a candidate's field may be submitted, the greatest weight is likely to be given to publications of substance appearing in learned journals (including electronic journals) and which are subjected to academic peer refereeing; conference papers which ultimately appear in appropriate scholarly media are acceptable.

- c) **Other Contributions:** Patent specifications, reports, designs, compositions, digital artefacts and other relevant evidence of original work may be submitted as part of an applicant's portfolio. Work yet to be published, provided that there is firm evidence of its having been accepted for publication (such as the copy of a proof or some other pre-printed stage) may be considered as part of a candidate's case, although a preponderance of work in press may convey the impression of insufficient research maturity.

5.5) A list of potential examiners may be included as part of the submission although it is at the discretion of the Higher Doctorate Conferment Panel as to whether any persons on that list are approached at any stage.

## **6) Internal Examination**

6.1) On receipt of a submission that proceeds to examination, the Dean of Research following approval by the University Research Committee (URC) will convene a Higher Doctorate Panel to examine the evidence.

6.2) The Panel will determine whether a prima facie case for proceeding to External examination has been established.

6.3) The panel will consist of the Dean of Research (or delegate, in case of a conflict of interest), a member of the University's Offices of the Vice Chancellor, at least two other members of the University whose expertise is relevant and at least one specialist in the field from outside the University.

6.4) The panel may take whatever advice it considers to be appropriate, including the use of external advisors.

6.5) If satisfied that a prima facie case has been established, the Panel will nominate two external examiners.

6.6) Examiners will be selected according to the following criteria:

- a) Examiners must be experienced in research in the specific area of the candidate's submission and have experience as a specialist in the topic(s) to be examined;
- b) At least one of the examiners must hold a higher doctorate, equivalent qualification, or a similar academic standing and recognition;
- c) All examiners will be external and wholly independent of the University.

6.7) URC must approve any examination arrangements before any further action can be taken. When approval has been given, the full application and accompanying submission will be sent to the examiners for scrutiny.

6.8) If the Higher Doctorate Panel declares that a prima facie case is not established, the application will not be permitted to go forward for examination.

6.9) For applicants who fail to establish a prima facie case, debriefing advice will be available from a nominated member of the panel.

## **7) External Examination**

7.1) The University will send the submission to the two approved examiners each of whom shall make an independent report to the University.

7.2) The award of the degree shall be based wholly or to a substantial extent on original work of distinction carried out independently by the candidate.

7.3) There is no requirement under the University's Regulations for candidates to undergo a viva voce examination.

7.4) Following receipt of the examiners' reports, the panel will reconvene to consider the recommendations and proceed as follows:

- a) If the examiners are unanimous, the panel will consider the reports and, if the recommendations are supportive of the award, ask the University Research Committee to ratify the award
- b) In the event of a disagreement between the examiners, the panel may either appoint a third examiner or reject the submission.

7.5) In circumstances where an additional examiner is appointed, the panel may then accept a majority recommendation and proceed as in (a) above.

7.6) The recommendation of the panel and the examiners' reports will be put before URC who will decide whether a recommendation to confer the award will be made to Academic Board. The candidate will be advised of the decision of URC at this stage.

7.7) Upon recommendation of the panel that the award be conferred the applicant must submit one copy of the portfolio on which the application is based in electronic format. The hard copy portfolios shall be returned to the applicant.

7.8) The University shall retain the portfolio in the open access online repository which is available for anyone to consult. A candidate is therefore advised to mark the portfolio as copyright.

7.9) In the case of applications which are unsuccessful, a nominated member of the panel shall inform candidates of the weaknesses which are deemed to exist in the case made for the higher doctorate and advise them whether it is in their best interests to resubmit at some future date.

7.10) By the nature of higher doctoral submissions, unsuccessful candidates may be permitted to re-apply with a revised and updated application in not less than two years from the date of the initial application.