

## Guidelines for PhD by publication

1. The University of Stirling approved the submission of contextualised publications for award of a PhD at the meeting of the University Court in June 2007. The purpose of making this change to the regulations is to make it possible for students to select a method of submission for PhD which is most appropriate for the discipline in which they are studying.
2. These guidelines on arrangements for the PhD by publication have been drawn up by the University's Research and Enterprise Office. It is the intention in all aspects of these arrangements that, where appropriate, the procedures relating to the PhD by publication mirror those already in place for the PhD in the University, so ensuring equivalence of standards.
3. The submission for a PhD by publication must demonstrate evidence of an original and significant contribution to knowledge within the discipline, in peer-reviewed published works.
4. The candidate should present a portfolio of between four and six interconnected, published research papers contextualised by a coherent narrative. Such publications may include papers, chapters, monographs, books, scholarly editions of a text, technical reports, creative work in relevant areas, or other artefacts.
5. Students will register and undergo the usual programme of research and generic training, over the usual period, but may choose to submit publications with a linking narrative, rather than the standard thesis. It is essential that the four to six research papers are interlinked by contextualised narrative, but within the standard regulation limit of 80,000 words.
6. Candidates should indicate at the point of submission of thesis title that the work is a PhD by publication.
7. The fee payable for a PhD by publication will be exactly the same as the fee for a PhD by thesis.
8. The majority of the publications should be based on research carried out whilst the student is registered with the University.
9. The candidate should normally be the first named author on a publication. Where a candidate includes jointly-authored publications in their submission, they should describe their contribution to the published work. This statement should be bound with the other submitted materials.

10. Candidates for a PhD by Publication will require support and guidance on writing the contextualisation which will critically appraise the publications to be submitted. Principal supervisors of a PhD by publication should be academics with a record of success in publishing work. The role of the supervisor will be to:
  - (i) guide the candidate in the development and selection of publications for inclusion in the submission;
  - (ii) guide the candidate as to whether further publications are needed;
  - (iii) support and advise on the development of the critical supporting document;
  - (iv) guide the candidate in relation to the coherence of the body of work to be submitted;
  - (v) advise the candidate in relation to any research training requirements.
11. A submission for a PhD by publication should involve publications normally published no more than 5 years prior to the first date of student registration.
12. Work which is 'in press' i.e. where the author has a publishing contract, is interpreted as 'published'.
13. Publications included in the submission for a PhD by publication must not have been used in the submission for another research degree.
14. The inclusion of book chapters is permissible, but where the submission consists of book chapters and refereed articles, the latter should dominate. Books and book chapters must be clearly research based. Conference papers normally would not be acceptable; hence a submission dominated by conference papers would not be acceptable.
15. Electronic publications may be included, but candidates should provide evidence that they will continue to be publicly available for the foreseeable future in their present form and that they are of demonstrable quality and impact. Web links for the journal publishing the paper should be included in the introductory pages to ensure copyright requirements are covered. Deposit of the submission in the Digital Repository will be required.
16. The introduction should set the published work in the context of existing literature and should evaluate the contribution that the research in the submitted publications makes to the advancement of the research area. The interconnecting sections should stress the coherence of these publications, linking them to the theory and methodology adopted.

17. The contextualisation of the works could include:

- a summary of each publication submitted;
- an outline of their interrelationship, including a synthesis of the work as demonstrated by the publications as a complete coherent study;
- a comment on the standing of any journals and the reception of the publications as indicated by citations and book reviews;
- a summary of the aims, objectives, methodology, results and conclusions covered by the submitted work;
- a critical reflection of the research methodology and methods:
- a critical review of the significant and original contribution the work makes to the academic field in question; and
- a demonstration of the original and independent contribution to knowledge and a rationale to prove at least equivalence to that normally demonstrated by the submission of a thesis.

18. Binding - the contextualisation and the relevant publications must be capable of being submitted in hard binding.

19. Assessment for the PhD by publication will follow equivalent criteria and be of an equivalent nature to that for the PhD, as detailed in the University's 'Regulations for Higher Degrees by Research'. Candidates will be expected to have a viva examination. However, the Examiners will not be able to award a degree of MPhil.

