

## CHAPTER 5

### Regulations for the Award of PhD based on Prior Publications

These regulations for the award of PhD based on Prior Publications mirror closely those described already in chapters 1 to 4, thus ensuring the same high quality, of research degree award.

The award of PhD based on prior publication allows people who have not followed the traditional academic route towards a PhD to obtain academic recognition for having, through the course of their career, undertaken and produced a coherent body of research to doctoral level. For example this may include people in practice-based disciplines. The PhD based on prior publication differs from the traditional PhD in that it is normally based upon ***research already undertaken before registration*** for the PhD.

This research has normally already led to a number of publications with a coherent thematic focus or a body of publicly-accessible creative outputs. These publications or creative outputs should not include publications or works that were derived from research already submitted for any other degree.

The applicant would also have already developed research skills prior to registration which would be demonstrable through the research publications/outputs. The research skills obtained are therefore recognised and evaluated in retrospect and would be expected to be equivalent to those of a traditional PhD student at the thesis submission stage.

#### 5.1 Eligibility Criteria for Registration

In order to be eligible for registration for a PhD based on Prior Publications the candidate will normally have:

- at least a 2.1 honours degree (level 8) or equivalent
- between 3 and 10 peer-reviewed publications which demonstrate the candidate's original contribution to knowledge.

Prior publications may include peer-reviewed:

- papers,
- books or book chapters,
- book chapters in edited collections,
- monographs,
- scholarly editions of a text,
- technical reports,
- architectural-type outputs,
- creative works including performances, exhibitions, compositions and curatorial events.
- and/or other artefacts.

All publications must be already published or have completed review and have proof of the publication date, at the time of application. Publications that are undergoing peer-review or may be at a future date from current research are ineligible.

Different chapters from the same book are considered as one publication.

Self-authored works with no peer-review, written or practice-based, are ineligible for submission.

The final thesis based on these publications must be of a standard equivalent to that of a traditional PhD and as described in Section 4.3.1.

## 5.2 Preliminary Application

The candidate should first make contact with a potential supervisor. An experienced PhD supervisor, as described in Chapter 1, is appointed by the Head of School to

- Guide the candidate in the selection of publications for inclusion in the thesis for submission;
- Support and advise on the development of the critical supporting documentation;
- Guide the candidate in relation to the coherence of the body of work to be included in the thesis;
- Advise the candidate in relation to any research training they may require.

Together the candidate and the potential supervisor should prepare the preliminary application,

The candidate should submit an electronic copy, in one pdf file, of the preliminary application to the relevant Head of Research. The pdf file must include:

- The PGR 1B [Application for PhD from Prior Publications] form, with Parts A, B1 and B2 completed;
- 3 relevant examples of publications, or any other items which are likely to be included in the final submission for the PhD based on Prior Publications.
- All publications must have been submitted for peer review and the review process should be detailed or evidenced in the application.
- If ethical approval for the work was obtained from another institution, a copy of that approval should be included in the preliminary application.

## 5.3 The Preliminary Evaluation

The Head of Research will nominate one internal reviewer, and one external reviewer from a list of previously approved external examiners provided by the Graduate Research School Office. If, from the list provided, a suitable external examiner is not available, then the Head of Research can nominate an external examiner in consultation with the Head of School. The relevant Academic Board will approve the nominations.

The relevant Head of Research forwards all approved nominations (Form PGR 1B [*Application to PhD from Prior Publications*] with Parts A and B1 and B2 completed) to the Graduate Research School Office. The Graduate Research School Board considers the nominations and has final approval of such requests having taken account of the views of the relevant Academic Board. Once the nominations have been approved, the relevant Head of Research forwards the preliminary application, together with the evaluation form (Part C of Form PGR 1B) to the external reviewer.

The external reviewer will consider

- The quality and coherence of the publications to be submitted for examination for a PhD based on Prior Publications;
- The likelihood of the proposed submission meeting the criteria for the award of a PhD;

The external reviewer will complete the evaluation and return it to the relevant Head of Research with one of the following recommendations; that the candidate

1. Be permitted to register for a PhD based on Prior Publications;
2. Not be permitted to register for a PhD based on Prior Publications;
3. Be advised on the nature of publications which might, at a future date, permit them to register for a PhD based on Prior Publications.

The relevant Head of Research will co-ordinate a meeting of the evaluation panel and will forward all documentation to the panel.

The evaluation panel comprises

- The relevant Faculty Dean or nominee
- The relevant Head of Research
- The external reviewer
- The Internal reviewer
- The lead supervisor

The panel will consider

- The report and recommendations from the external reviewer
- The quality and coherence of the publications to be submitted for examination for a PhD based on Prior Publications;
- The likelihood of the proposed submission meeting the criteria for the award of a PhD;
- If provision can be made for adequate supervision.

The panel may make one of the following recommendations to the Graduate Research School Board; that the candidate

1. Be permitted to register for a PhD based on Prior Publications;
2. Not be permitted to register for a PhD based on Prior Publications;
3. Be advised on the nature of publications which might, at a future date, permit them to register for a PhD based on Prior Publications.

The relevant Head of Research will send the completed PGR 1B to the Graduate Research School Office.

## 5.4 Registration

Applicants passing this preliminary stage will be registered for a PhD based on Prior Publications. A part-time fee will apply to their registration. The normal duration of registration of part-time study leading to submission of a PhD based on Prior Publications will be a maximum of 2 years from first registration.

Students registered for the PhD based on prior publications are exempt from the training elements and confirmation processes of the PhD programme. However, training in Research Integrity is mandatory for all research students, including those registered for the PhD based on prior publications. At the end of year 1, the candidate should submit a thesis for examination or undertake an annual evaluation.

If ethical approval for the work was not obtained prior to registration then, within the first six months of registration, the lead supervisor must receive approval from the TU Dublin Research Integrity and Ethics Committee at [researchethics@TUDublin.ie](mailto:researchethics@TUDublin.ie) This is compulsory for all research projects in TU Dublin.

## 5.5 Thesis Format

The general format for all theses is given previously in Chapter 4. In the case of a PhD based on Prior Publications, the thesis must be of a standard equivalent to that of a traditional PhD in the relevant academic area and demonstrate the candidate's original contribution to knowledge. The structure of a thesis will depend on the discipline area and supervisors will advise students on a recommended structure. The layout of a thesis for a PhD based on Prior Publications would be as follows:

- Initial pages as per sections 4.4.2.1 to 4.4.2.7 above;

- The first chapter presents a supporting and overarching document, which draws the publications together and critically appraises them. The overarching critical document, of (30,000 word-limit), should set the published work in the context of existing literature, critically describe the candidate's research methodology and evaluate the contribution that the research in the publications makes to the advancement of the discipline area. It should draw out and stress the coherence of these publications, linking them to the methodology adopted;
- Each publication should be presented in the format recommended in section 4.4 above and a separate chapter should be used for each publication. The number of publications will depend on both the academic area and the type of publication included in the thesis, but there should normally be between three and ten peer-reviewed publications included

The publications included should normally involve work published in the 15 years before the date of submission. These publications should not have been used in submission for another award from TU Dublin or any other higher education institution.

Where a candidate includes jointly-authored publications in their thesis, they should provide a statement declaring the extent to which each publication is their own work and this should be certified by all authors concerned. This statement should also include confirmation that there are no intellectual property issues. This statement should be bound within the thesis.

## **5.6 Thesis Submission and Examination**

The process involved in submitting and examining the thesis is set out in chapter 4 of this document.