

Guidance for Doctorate by Doctorate by Published, Established or Creative Works

This guidance is to be used in conjunction with NTU Quality Handbook Section 11 – Research Degrees.

Information on eligibility, monitoring and progression, probation, suspension, extension, withdrawals, examination teams and determining awards can be found in the NTU Quality Handbook Section 11.

Scope of the guidance

- 1.1 The degree of Doctorate by Published Work may be awarded based on existing published output that shows evidence of originality and independent critical judgement at the level appropriate for the award. All work should normally have been published in the last ten years and have currency in the academic community (e.g. traceable in catalogues and/or peer-reviewed).
- 1.2 The body of published work may contain a portfolio of peer-reviewed academic papers, books, cited works or other materials that have been placed in the public domain as articles that have been published or accepted for publication. All publications, including electronic publications, used in the final submission must be published prior to the submission date. Confidential research reports or reports of restricted circulation are not citable for the award. Conference papers and non-peer-reviewed papers are not normally considered to be acceptable for submission, depending on the requirements for specific disciplines.
- 1.3 The body of published work contained within the portfolio would be expected to include 5-6 peer-reviewed published output of individual and/or collaborative research from published findings in appropriate outlets. It would normally be expected that at least three peer-reviewed outputs (paper, book chapter or discipline equivalent output) would be assessed at 3* or above and the remainder assessed to be 2* or above. These may be jointly authored.
- 1.4 The degree of doctorate by Creative Work may be awarded based on existing creative output that shows evidence of originality and independent critical judgement at the level appropriate for the award. All work should normally have been created in the last ten years and have currency in the academic and creative communities (e.g. traceable in catalogues and/or peer-reviewed). All publications, including electronic publications, used in the final submission must be published prior to the submission date.
- 1.5 The creative work suitable for submission is defined broadly here through an indicative, rather than definitive, list encompassing: original artworks, artefacts, productions, musical compositions, dance, exhibitions, designs, video/audio outputs and computer programmes, a collection of poetry, a collection of short fiction, a novel or novella, creative non-fiction, a script, experimental writing; or a digital text or interactive media; or graphic fiction. For alternative genres (such as interactive fiction, graphic fiction, or text-based objects), candidates should consult with supervisors and internal assessors regarding the scope of the project, though work of a similar scope and broadly equivalent length is expected. The precise selection of previously exhibited, performed or published work undertaken by the applicant will depend upon the discipline concerned.
- 1.6 The degree of doctorate by Established Work may be awarded on the basis of existing output that shows evidence of originality and independent critical judgement at the level appropriate for the award. All work should normally have been created in the

last ten years and have currency in the academic and professional communities (e.g. traceable in catalogues and/or peer-reviewed).

- 1.7 The established work suitable for submission is defined broadly here through an indicative, rather than definitive, list encompassing: original artworks, artefacts, productions, musical compositions, dance, exhibitions, designs, video/audio outputs and computer programmes, a collection of poetry, a collection of short fiction, a novel, creative non-fiction, a script, or interactive fiction, a portfolio of peer-reviewed academic papers, books, cited works or other materials that have been placed in the public domain as articles that have been published or accepted for publication, and potentially confidential research reports or reports of restricted circulation. The precise selection of established work undertaken by the applicant will depend upon the discipline concerned. Any publications, including electronic publications, used in the final submission must be published prior to the submission date.
- 1.8 This guidance provides specific information about matters that differ from those of standard PhD and DProf Awards.

2. Eligibility

- 2.1 The Doctorate by Published, Established or Creative Works is open to candidates who are, either:
 - a) Graduates of at least five years' standing; or
 - b) Current employees of an institution accredited for research degrees or of another research organisation recognised for this purpose by the Deputy Vice-Chancellor (Research & Enterprise) or nominee of at least three years standing at the date of submission.
- 2.2 All applicants will be required to submit a proposal to the Doctoral School which will be considered by the relevant School Research Degrees Committee (SRDC).
- 2.3 The proposal would normally include:
 - a) Details of the existing body of published, established or creative work to be considered for the research award; and
 - b) A one-thousand-word statement which sets out the significant contribution to knowledge; and
 - c) A statement that outlines the applicant's contribution to the body of the existing published or creative works.
- 2.4 The School Research Degrees Committee will make a recommendation to the Doctoral School regarding the admission of the candidate.
- 2.5 In exceptional circumstances, a candidate may be admitted with the approval of the University Research Degrees Committee (URDC).

3. Registration procedures

- 3.1 All applications will be reviewed by the appropriate School Postgraduate Research Tutor (PGRT) or Professional Doctorate Course Leader (as appropriate) and a potential supervisor.
- 3.2 If a potential supervisory team can be found, then the applicant will be called for interview. The interview panel should comprise three members – normally the relevant School Postgraduate Research Tutor (PGRT) or Professional Doctorate

Course Leader, the Associate Dean for Research (or their nominee) and a nominated Director of Studies. The interview panel will require the candidate to provide evidence of the level of their individual contribution to any collaborative work to be submitted (e.g. signed letters from co-authors or corroborating parties specifying the applicant's contribution to the published work). The candidate must establish a *prima facie* case for their project, indicating coherence of the works and their proposed contribution to knowledge, or for the doctorate by Established Work, to professional practice.

- 3.3 The Doctoral School can provide advice on the appropriate application form. The applicant's proposal would normally include:
- a) details of the existing published, creative or established work that the applicant wishes to be considered and referenced in a recognised and appropriate style;
 - b) a statement of not more than five thousand words, indicating how and in what respect the work has made a significant and coherent contribution to the current state of knowledge or professional practice;
 - c) a statement indicating the extent to which the work has been carried out by the applicant and a clear indication of any parts of the work which have been carried out in collaboration with other parties / authors. Further, if the work is the result of collaborative research, a statement must be provided by the collaborating researcher(s), confirming the contribution made to the work by the applicant;
 - d) a statement by the applicant as to whether or not the work or any part thereof has been submitted, successfully or unsuccessfully, for a degree of this or any other University.
- 3.4 The chair of the interview panel will report to the appropriate SRDC. The committee will make any recommendations for admission to the Deputy Vice-Chancellor (Research & Enterprise) or nominee. All admissions decisions rest with the Deputy Vice-Chancellor (Research & Enterprise) or nominee.
- 3.5 Candidates must be made aware that while the interview panel may judge the portfolio of submitted works as a satisfactory basis for enrolment, this does not guarantee that the examiners will agree; the final decision on quality of submission and outcomes rests with the examination team.

4. Registration periods

- 4.1 A candidate on a doctorate by Published Work, doctorate by Creative Work or doctorate by Established Work must enrol as a candidate of the University and continue to re-enrol on an annual basis until conferment of the award has taken place.
- 4.2 For maximum and minimum periods of registration, candidate's registration is deemed to run from the date on which they commence their studies.
- 4.3 The minimum and maximum periods of registration are as follows:

Award	Mode	Minimum Length	Maximum Length
Doctorate Published, Established and Creative Work	by and Part-time	12 months	24 months

- 4.4 Maximum registration periods include any thesis pending period.

- 4.5 The University does not stipulate normal periods of registration for its research degrees within the minimum and maximum. A candidate who has made unusually rapid progress with a programme of research may apply to the SRDC for permission to submit a thesis in advance of the minimum period of registration set out above.
- 4.6 A candidate on a doctorate by Published Work, doctorate by Creative Work or doctorate by Established Work will normally be registered for not less than one year and not more than two years. In exceptional cases, a minimum registration period of 6 months may be allowed by a SRDC for a well-prepared candidate with a strong set of existing work.
- 4.7 Candidates who cease to be employed by the University, or who cease to qualify as Category C staff, will remain eligible for the Doctorate by Published Work, Doctorate by Creative Work or Doctorate by Established Work award, providing that they complete within the normal two year maximum and comply with all other regulations and requirements. Category C staff are defined as individuals employed by an organisation other than a Higher Education Institution, whose contract or job role (as documented by their employer) includes the undertaking of research, and whose research is primarily focused in the submitting unit on the relevant census date.

5. Requirements for the submission of work

- 5.1 The candidate's submission shall consist of an introductory chapter / critical study and full, high quality, copies of the actual publications / creative works / established work (to be accompanied by translations if the original is not published in English, except for some disciplines such as Modern Languages). Additionally, the submission 'package' should include:
 - a) an abstract of approximately 300 words;
 - b) a list of the submitted publications / works with references (and word count for each paper as appropriate);
 - c) application for the appropriate award (using the Application for the Award of Doctor of Philosophy on the basis of Published, Established and Creative works (RDPW) form);
 - d) a statement regarding joint authorships (corroborating the extent of the candidate's contribution) which, whenever possible, should contain signed statements from all co-authors indicating the candidate's contribution to the various stages of research and publication or dissemination (e.g. design of the project, conduct of the research, analysis of results, preparation for publication in the case of standard works). A template for this statement can be obtained from the Doctoral School. Where it is not possible to supply such statements, candidates should indicate why that is so. It is anticipated that successful candidates will, in some of the works, have contributed significantly at all stages of research and publication or dissemination.
- 5.2 The introductory chapter / critical study shall be between 10,000 – 20,000 words in length. The purpose of the introductory chapter is both to analyse the individual publications or works comprising the submission and to state their significance, but also to show the interrelationship between them as a coherent body of work. The discussion in the introductory chapter / critical study should normally: link submitted papers or works to theory; address adopted methodologies; review existing literature in the broader field; include review evidence, citations and status / reception of the works.
- 5.3 The body of work to be submitted should represent an equivalent rigour of research to that considered of a traditional PhD or Professional Doctorate in the appropriate discipline. The work submitted must be in the public domain or otherwise effectively shared or disseminated.

- 5.4 The submission should be accompanied by the creative, published or established work itself, presented or having been presented in an appropriate public context, and/or a durable, visual record of it.
- 5.5 For practice-based submissions where creative writing may be produced, or creative practice is undertaken, the following practice must be accompanied by some form of textual analysis, documentation, explanation or reflection, in order to support its position and the original insights or contribution to knowledge that it provides. Therefore, the final submission must consist of **one** of the following:
- a) A significant body of original creative work **and** a written critical study. This critical study will address the relevant critical, theoretical, historical, contextual and/or technical context of the creative work. The 'critical' component will occupy between approximately one third and two thirds of the total length of the thesis and will be no fewer than 30,000 words. The total word count should be approximately 80,000 words or equivalent.
 - b) A significant body of original creative work **and** a written critical study. The creative and critical components will consist of two interdependent responses to a particular concept or theme. The 'critical' component will occupy between approximately one third and two-thirds of the total length of the thesis and will be no fewer than 30,000 words. The total word count should be approximately 80,000 words or equivalent.
 - c) An integrated creative-critical submission equivalent to approximately 80,000 words. If choosing this option, the interwoven creative and critical components will create a distinctive whole.
- 5.6 In the context of this research degree, 'equivalence' means an equivalent amount of published, established or creative works that demonstrate equivalent levels of academic rigour, research process and originality to a written doctoral thesis. These indicative lengths are intended as a helpful guide to candidates and supervisors; it is recognised that the length of the creative component will vary according to the type and number of different mediums employed within the project.
- 5.7 The following equivalent word lengths are provided as an approximate guide only, and the length of the thesis should be discussed with supervisors and the Doctoral School in line with disciplinary requirements and the specific nature of the submission:
- a) A book-length poetry collection of around 56 pages is approximately equivalent to 50,000 words.
 - b) A script of around 100 pages is approximately equivalent to 50,000 words.
 - c) A graphic fiction (including images) of around 50 pages is approximately equivalent to 50,000 words (if only the text of a graphic fiction is submitted for assessment, the usual word count should be retained).
 - d) Digital text or interactive media of around one hour for a single play-through is approximately equivalent to 50,000 words.
- 5.8 Both the creative and critical elements of the work must be incorporated into the thesis wherever possible. If this is not feasible, additional material (e.g. a recording of a performance, a website or an artwork, digital files on a data storage device) may be submitted for examination but supplementary hard-copy material must be submitted and bound into the thesis as evidence. This might include photographs and scans or coding documents.
- 5.9 The creative work may be presented at any point in the thesis or it can be embedded within the critical discussion. It is always useful to address the relationship between the creative and critical elements in the thesis in the introduction or in a preface or

'bridging' chapter. Candidates choosing paragraph 5.7 options (b) or (c) may, but are not required to, discuss their own creative practice directly.