**Submission for a Research Degree by Published Works**

The definition of published works is any research output in the public domain. This alternative format of thesis submission allows a postgraduate research student to submit a thesis for examination which incorporates:

* Sections that are in a format suitable for submission for publication in a peer reviewed journal;
* Materials which are solely and/or partly authored by the student and may be already published, not yet published, not yet published but of publishable standard, accepted for publication, or submitted for publication in externally refereed contexts such as journals and conference proceedings;

Material incorporated should be:

* Appropriately integrated, either in the body of the work or as an appendix to which reference is made;
* Adequately identified and referenced.

Any work submitted within the published works thesis must be substantially different from any work which may have previously been submitted for any degree at this or any other institution.

**Submission of thesis by published works**

***Structure***

Candidates should discuss the structure of their thesis with their supervisor in the first instance.

The thesis should include detailed and critical analysis of the work and methods used since sections formatted for publication/dissemination may not already include this level of detail. The structure of the published works thesis should therefore include the following:

An extended abstract which contextualises the published works and original contribution to knowledge;

A review of previous research including sections summarising and synthesising previous research in the field of investigation;

Methodology detailing the methods employed during the research and a detailed critical analysis of those methods and the information they provided;

Presentation of results and analysis in a format suitable for presentation in a peer-reviewed journal and/or in conventional thesis chapters as in the standard PhD thesis;

Summary/conclusion drawing together the various outcomes of the work into a coherent synthesis and indicating directions for future work;

References and appendices should be included as in the standard PhD thesis.

***Statement about Joint Authorship***

The University recognises that, in many disciplines, jointly authored papers are the norm rather than the exception. Where multi-authored papers are submitted candidates must identify the joint principal authors and describe their contribution in sufficient detail to make the extent of this contribution clear to the Assessors. To be able to clearly demonstrate their contribution, the postgraduate researcher would normally be first author on such papers. Statements from any joint principal authors that they agree with the description of the extent of this contribution to the joint paper(s) must be included with the submission.

***Published works***

A significant proportion of the researched materials should be derived from original research undertaken, or be based substantially on works published, after the date the student first registered for a research degree at the University of Nottingham

The work must constitute a body of publication tending towards a coherent and continuous thesis, rather than a series of disconnected publications. As such, any publications should be adapted and integrated within the structure of the thesis. Any sections of the thesis which are published or in publishable format should be clearly identified.

As the published works thesis includes copies or offprints of journal articles, book chapters etc. which already have page numbers, the pages of the publications themselves should not be included in the pagination sequence of the submission. Candidates should insert a sheet of A4 paper before each publication on which is displayed the publication number, publication title, and the page number of the thesis. For example, if the publications section starts on page 50, insert an A4 sheet of paper before the first publication on which is printed the name and number of the publication and page 50. The first publication will then follow, with its own pagination. Before the second publication insert another A4 sheet on which is printed the name and number of the second publication and page 51 and so on. This applies equally to the soft bound and e-submission thesis. Particular attention will need to be made to the terms of any publishing agreement, particularly if you have transferred copyright ownership to your publisher. Permission may need to be sought to include the publication in the thesis for assessment purposes and it may be necessary to later redact the publisher-owned material from the access version of the electronic thesis.

The incorporation of publications/publication-style chapters in the thesis will inevitably lead to some duplication since each publication-style chapter will have self-contained components that will overlap with parts of the other sections of the thesis. The incorporation of published materials may generate a close match alert if the thesis is checked for plagiarism. If an unpublished chapter is submitted to a journal after the degree has been awarded, the author should alert the journal editors to the fact that the work is included in their thesis, and reference the e-version of the thesis. Occasionally, publishers request that open release of the thesis full text is deferred until after the paper’s publication in the journal. If necessary this can be requested when you submit your e-thesis to through e-Prints.

**Criteria for the Award of a Higher Degree on the Basis of Published Works**

As with the standard PhD thesis, examiners should satisfy themselves that the alternative format thesis meets the requirements of the doctoral degree as prescribed in the regulations. The fact that a thesis contains material that has been published or accepted for publication does not guarantee that the examiner(s) will recommend the award for which the candidate is being examined.

The following are the main points the Assessors will take into account when considering a candidate's submission:

The published work must, taken together, be of substance equivalent to that which may be reasonably expected of candidates who have fully applied themselves to research for not less than 2 (but normally 3) calendar years full-time, in the case of PhD, and one year (but normally 2 years full-time) in the case of MPhil. The submission should represent at least as great a contribution to the subject as would be expected of an MPhil or PhD awarded on the basis of research and thesis.

For the award of PhD, the published works, when taken together, must make an original contribution to knowledge. Their originality may consist of the discovery of new facts or the critical examination of existing facts or ideas or in devising and conducting investigations into ideas supplied by others. The number of papers included in the published works thesis is not prescribed, but should reflect the quantity, quality and originality of research and analysis expected of a candidate submitting a standard thesis. It is likely that the work submitted for examination will have an indicative word limit of 70,000 to 100,000 words although this may vary according to discipline and the substance of the published works included. Candidates will be required to demonstrate that they satisfy the Doctoral Level Descriptor, which will be given to the Examiners for their guidance prior to the examination.

For the award of MPhil, the published works, when taken together, must show evidence of knowledge of the general field of scholarship to which the particular subject belongs. An indicative word limit for the published works will be no more than 60,000 words. Candidates will be required to demonstrate that they satisfy the Master Level Descriptor, which will be given to the Examiners for their guidance prior to the examination.

The subject matter of the publications should be clear, precise and specific.

The publications must be related to a common theme; the theme should be clearly identified and the close link between the theme and each of the cited publications should be apparent.

The examiners should give consideration not only to the published works in the submission, but also the content of the contextual analysis, which may describe how the cited publications are linked to the common theme, but which may also identify how the candidate is making a contribution to knowledge.

Further information about the D Level and M Level Qualification Descriptors is available in The University of Nottingham Qualifications Framework at <http://www.nottingham.ac.uk/quality-manual/QAstructures/UNQF-AppendixA.htm>.

SM/January 2016