

Introduction

1. These pages comprise Regulations for the degree of PhD (by Published Works) of the **University of Wales (hereafter referred to as 'the University')** offered at **Accredited and Affiliated Institutions ('Institutions')** and at **Collaborative Centres ('Centres')**.
2. The Regulations apply to candidatures commencing on, or after 1 September 2011. Candidates registered at Institutions/Centres prior to this date are encouraged to contact the appropriate Academic Registry¹ in order to obtain advice on the Regulations which apply to their studies.
3. All candidates who are registered under the following Regulations should be aware that Institutions/Centres may have in place additional supporting guidelines and related documentation, and again advice should be sought from the appropriate Academic Registry. Any such additional supporting guidelines and related documentation are subordinate to the Regulations.
4. The criteria for the award of the Degree of PhD (by Published Works) shall be the same as those established for the Degree of PhD by Research.
5. **For the purpose of these Regulations, 'published works' may be defined as works** (including creative works and electronic publications) which are in the public domain. They may refer to articles, papers, chapters, monographs, books, scholarly editions of a text, edited collections of essays or other materials, software and creative work (including fine art, design, architecture, music, or performance) or other original artefacts. The language of publication shall be either Welsh or English. The precise selection of work undertaken by the candidate will depend upon the discipline concerned. Works submitted for examination should not normally have been published more than ten years previous to the date of registration.
6. For the purpose of these regulations, a work shall be regarded as published only if it, or a record of it (in the case of some creative artefacts), is publicly available and traceable through catalogues, abstracts, citation indices or equivalent sources of information. This will normally require the work, or a record of the work, to be publicly registered with an ISSN/ISBN number or equivalent, such as a publicly available archive of a gallery, performance space or other venue.

Eligibility of Candidates

7. Except as provided in Regulation 8 below, any candidate for the degree of PhD (by Published Works) shall be either a graduate of the **University of Wales of at least six years'** standing prior to registration for such a degree or a member of staff of at least **three years' standing at an Institution/Centre prior to registration for the degree.**
8. A person shall not be eligible to proceed to the Degree of PhD (by Published Works) under these regulations if he or she has been previously approved for a PhD of the University.

¹ The Term Academic Registry should be taken to mean the Academic Registry, or equivalent authority, of the Institution/Centre, at which the candidate is registered for study.

Entrance Requirements

9. The normal minimum entrance requirement for applicants for candidature for research degrees is an upper second class honours degree or Masters' degree relevant to the proposed research submission awarded by a UK or other recognised University or higher education institution, or by the Council for National Academic Awards (CNAA).
10. Applicants who do not possess the normal minimum entrance qualifications may be considered for candidature on their merits. The Institution/Centre will take whatever steps are deemed necessary, including calling for academic references, to determine the academic attainment and suitability to undertake research of the candidate.
11. In addition to the above entrance requirement, candidates must be capable of satisfying the relevant academic authorities with regard to their proficiency in Welsh or English at a level necessary to complete the programme of work in the chosen language and to prepare and defend a submission in that language. Proficiency in English of candidates whose first language is not Welsh or English is normally evidenced by a minimum IELTS score (or equivalent) of 6.5 at entry with a minimum of 6.5 in the reading and written components. Candidates will be asked to provide such evidence as is deemed necessary by the University.

Application

12. An applicant should submit an application that shall consist of the following:
 - a. Each of the published works that are at the basis of the case
 - b. A statement of no more than 3,000 words which seeks to show the coherence and academic impact of the body of work submitted
 - c. A list of the works submitted and evidence of their public availability and traceability.

In the case of creative work, the portfolio may be presented in its material or visual reality. The body of original work shall be documented by photographic or other visual process together with any necessary textual material, including labels or notes of explanation written in Welsh or English. The documentation must be in permanent retrievable form.

13. A candidate, in submitting an application, shall also be required to (a) declare that the submission as a whole is not substantially the same as any that he or she has previously made or is currently making, whether in published or unpublished form, for a degree, diploma, or similar qualification at any university or similar institution, (b) state what parts (if any) of the work or works submitted have previously been submitted for another qualification, (c) declare that, until the outcome of the current application to the Degrees and Academic Awards Board is known, the work or works submitted will not be submitted for any such qualification at another university or similar institution.
14. No candidate shall be recommended for admission without an interview conducted by an appropriate panel.

15. Admission of the candidate to the programme of study shall be subject to the approval of the Degrees and Academic Awards Board.

Date of Commencement of Research Degree

16. The date of commencement of a research degree programme of study is the date of registration.

Required periods of study

17. The required period of study for candidates pursuing a PhD (by Published Works) of the University is a maximum of one year (for a full-time candidate) and two years (for a part-time candidate).
18. The required periods of study do not include periods when study has been suspended in accordance with paragraph 20.
19. Maximum enrolment periods may only be extended in exceptional circumstances at the discretion of the relevant committee of the University, on the request of the Research Degrees Committee. Such requests will normally be considered in the light of the advice of the Director of Studies and academic authorities of the Institution/Centre.
20. Candidates may apply to the relevant committee of the University for the study period to be suspended where exceptional circumstances prevent satisfactory progress. Periods of suspension of up to six months may be recommended. Where a second period of suspension is applied for, it will only be granted if the exceptional circumstances are likely to be sufficiently resolved before the end of the second period of suspension for the candidate to complete the research programme without further application for suspension.
21. The time between the minimum and maximum period of study is known as the continuation period. Candidates may be required to pay a fee for the continuation period as determined by the Institution/Centre of study. During the continuation period, candidates should expect continued supervision at an appropriate level as defined by the Institution/Centre.

Appointment of Supervisors

22. Candidates must have no fewer than two supervisors approved by the Degrees and Academic Awards Board. One of the supervisors must be the Director of Studies who shall have overall responsibility for the work of the supervisory team and at least one member of the team

must be a member of the academic staff of the Institution/Centre with a contract equivalent to at least 0.4 of a full-time post.

23. At least one member of the supervisory team must have experience of supervising research degrees to successful completion at the appropriate level. Taken together, the team must have evidence of recent research activity in the candidate's **subject area, evidence of substantial research achievements** (for example, numbers of publications or grants or awards) as well as such other expertise as is required to complete the supervisory duties of the team.

Progress, monitoring and reports

24. The Institution/Centre will establish at least six-monthly whether candidates are:
 - a. still actively engaged on the prospective submission and making satisfactory progress;
 - b. maintaining regular and frequent contact with the supervisory team;
 - c. likely to complete successfully within the normal permissible timescale.

The Research Degrees Committee will determine whether progress is satisfactory and, where appropriate, whether re-enrolment should be permitted. A report will then be made to the Degrees and Academic Awards Board of the University.

25. This process requires that candidates and supervisory teams submit six-monthly monitoring reports to the Institution/Centre giving details of the progress made with the submission, the frequency of formal (and informal) supervisory meetings, and the planned timetable for the successful completion of the project. The report contains sections which are to be completed by candidates and sections which are to be completed by the supervisory team; although the report is normally submitted as a joint report, either candidates or supervisory teams may decide that independent reports will be submitted. Annual reports must be submitted to Research Degrees Committees prior to re-enrolment.
26. The supervisory team must recommend in the annual report either a further period of enrolment remedial work to be completed within a specified timescale or the termination of enrolment. The Research Degrees Committee should provide summative reports to the Degrees and Academic Awards Board, and should highlight particularly cases in which termination is recommended.
27. Where the report indicates that factors impeding progress have prevented the achievement of the expected objectives for the period, the Institution/Centre will decide whether, in the circumstances, progress has been satisfactory and the planned timetable is realistic.
28. Candidates are encouraged at any time to inform the Research Degrees Committee of issues affecting satisfactory progress by submitting a candidate report form.

29. Candidates at Institutions/Centres may re-enrol only after the progress report has been approved by the Research Degrees Committee and the Degrees and Academic Awards Board. Where **progress has not been deemed satisfactory, the candidate's enrolment will be terminated.** Candidates may appeal against this decision.

The Submission

30. The volume of work submitted by the candidate shall be the equivalent of three years of full-time study. Candidates may submit work(s) done in collaboration with others in support of the candidature, but such work shall be accompanied by a statement signed by each collaborator indicating the nature and amount of the work done by the candidate.
31. Candidates shall also be required to provide a critical analysis of no more than 30,000 words putting the total work submitted into the context of knowledge as it then existed and indicating also the independent, coherent and original contribution to learning in that academic field which in their opinion their work has made. Candidatures based on creative work should set it in its relevant theoretical, historical, intellectual or design context.
32. The analysis shall contain a critical reflection on the research methodology and methods used. It should also articulate a rationale to prove at least equivalence to the standard normally demonstrated by a successful PhD thesis.

The Examining Board

33. The function of the Examining Board is to ascertain that the submission for the award is at the appropriate standard, that it is the work of the candidate who is being examined and that the candidate displays the attributes expected of holders of the award.
34. Save as provided immediately below, an Examining Board must comprise the following only:
- Chair;
 - Internal Examiner;
 - External Examiner.

In cases including those where:

- i. the candidate is a member of staff of the Institution/Centre;
- ii. it proves impossible to appoint an internal examiner either from within the Institution/Centre or from another Institution/Centre of the University of Wales;
- iii. **a case is made for an examiner who has specialist knowledge of the candidate's field, but who does not meet the normal criteria for an external examiner;**
- iv. a special case has been made to, or by, the Degrees and Academic Awards Board,

The Examining Board shall instead comprise:

- Chair;

- External Examiner;
- External Examiner.

The Chair must be a senior member of staff, normally in the Centre or Institution in which the candidate is enrolled and nominated by the Research Degrees Committee. In Institutions/Centres with small numbers of staff where independence of the Chair becomes problematic, a Chair may be appointed from another such Institution/Centre of the University of Wales. The composition of the examining boards is arranged by the Research Degrees Committee, subject to ratification by the Degrees and Academic Awards Board.

35. A member of a supervisory team **must not be appointed as the candidate's examiner** although they may, with the prior consent of the candidate, be invited to attend the oral examination.
36. Where it is impossible to appoint an appropriate internal examiner from within the Institution/Centre, an internal examiner from another Institution or Centre of the University of Wales may be appointed.
37. The external examiner(s) must be aware of the nature and purpose of the degree for which the candidate is being examined and must possess specialist knowledge and expertise in the area of the research submission as well as experience in examining research degrees, ideally by published works.

Examinations

38. Candidates for the degrees of PhD (by Published Works) are examined on their submitted published work and the critical analysis.
39. The examination process consists of two stages:
 - a. preliminary independent examination of the total submission by the internal and external examiners, who are approved for the purpose by the University and who shall prepare independent interim reports on the submission;
 - b. an oral examination conducted by an Examining Board.
40. The oral examination may be waived only in the case of a resubmission and at the discretion of the Examining Board, in which case the recommendation of the Board is based on the re-examination of the critical analysis by the examiners.
41. Following the oral examination, the Examining Board is required to provide a report on the examination and to make one of the following recommendations to the Degrees and Academic Awards Board:
 - a. that the candidate be approved for the degree of PhD by Published Works;

- b. that the candidate be approved for the degree of PhD by Published Works subject to the satisfactory completion of such corrections and amendments in the critical analysis as may be required by the Examining Board. The Examining Board may stipulate that the corrections made shall be scrutinised by either or both examiners prior to the award process being initiated. Normally, corrections shall be completed within 12 working weeks from the date of official notification to the candidate of the outcome of the examination;
 - c. that the candidate be allowed to modify the critical analysis and re-submit it on one further occasion, upon payment of any required re-submission fee. In such circumstances a further oral examination may, or may not, be held, at the discretion of the Examining Board. The re-submission is to take place within a period not exceeding one year from the date of the official notification to the candidate of the outcome of the examination. (This option is not available in the case of a candidate who has resubmitted a critical analysis for examination.);
 - d. that the candidate be not approved for the award of a degree.
42. In the event that there is disagreement between the examiners, each should submit a separate report and recommendation to the Academic Registry within 10 working days of the date of the oral examination.

Appeals

43. Candidates have the right to appeal against decisions concerning termination of candidature or, in certain established circumstances, against the outcome of the examination process, in accordance with the procedures established for the purpose.²

² The University of Wales acknowledges the contribution of the University of the Arts, London, to the drafting of these Regulations.