



ACADEMIC REGULATIONS

Doctor of Philosophy by Published Work

LIVERPOOL HOPE UNIVERSITY

These Regulations were formally approved by Senate in June 2025 for implementation for students entering the award from October 2025 onwards; they are binding on staff and students across Liverpool Hope University

These Regulations constitute the definitive set of general precepts according to which the University requires research degrees to operate. The Code of Practice supplements the formal regulations by providing detailed guidance on a variety of issues including a commentary on how the regulations are to be interpreted as appropriate.

1 Routes covered by the Regulations

These Regulations will apply to the degree of Doctor of Philosophy by Published Work at FHEQ Level 8 across all Faculties of the University.

2 Cohorts covered by the Regulations

- 2.1 These Regulations will apply to students who register for the PhD by Published Work from October 2025.
- 2.2 The degree of PhD by Published Work may not be undertaken at a partner institution.
- 2.3 The degree may be taken virtually and therefore the University will not sponsor visas for overseas students on this award.

3 Eligibility for Initial Registration

- 3.1 Applicants will be admitted to a PhD by Published Work if they are either an employee or an alumnus of Liverpool Hope University. Other external applicants must have current and established research links with a member of Liverpool Hope in order to be considered.
- 3.2 For admission to a programme of study leading to the award of a PhD by Published Work successful applicants will normally:
 - [a] Hold a Bachelors Degree at 2.1 Honours standard or above.
 - [b] Hold an equivalent non-UK qualification if applying from another country and satisfy the English Language requirements stipulated by the University.
 - [c] Successful applicants will need to demonstrate that they have between 5 and 8 prior publications.
- 3.3 Applicants who do not satisfy the academic requirements for admission to a PhD by Published Work may be considered for entrance to the programme in exceptional

circumstances by the Pro Vice Chancellor Research. The applicant will be required, to provide evidence of their research expertise and therefore accommodate the shortfall in the standard requirements.

- 3.5 The Code of Practice provides further guidance governing the admissions process, including, timelines for processing applications and the criteria for judging whether a student is suitable for admission to this PhD programme.
- 3.6 It is not possible to transfer into a PhD by Published Work from another route.

4 Duration of the Programmes

4.1 Durations

- 4.2.1 It is expected that the submission will be made within 12 months of registration. The minimum period of registration is 6 months and the maximum duration 24 months.
- 4.2.2 The submission of the dissertation must be within the maximum duration defined for the program; the overall maximum completion time allows for approved extensions and interruptions during the student's period of registration and is absolute.
- 4.2.3 Extensions to the maximum duration can be granted only by the Chair of Senate following a recommendation from the Continuation and Award Board for Postgraduate Research students.
- 4.2.4 Students are expected to register at the start of their studies and again at the start of each academic year.
- 4.2.5 Inclusion of Published Work by the candidate confirms that ethical approval was obtained for the work at the time of production. Liverpool Hope may require evidence that research has received ethical approval where appropriate.

5. Interruption of Studies

- 5.1.1 Students may formally request that their studies be interrupted for a period of up to 6 months on the basis of evidence demonstrating that ill-health or other circumstances which would prevent them from pursuing their research.
- 5.1.2 Such requests shall be initially considered by the Primary Supervisor, following which the Head of School/ Moderator shall submit a recommendation to the Continuation and Award Board for Postgraduate Research Students.
- 5.1.3 Following the granting of an interruption by the Board, the Student Administration unit shall formally notify the student of the change to their status, the date on which the student is expected to resume study, and the revised date by which the thesis is expected to be submitted.
- 5.1.4 The Primary Supervisor shall contact the student again before the expected date of return to seek confirmation of whether the student intends to return on schedule or wishes to seek an extension to the interruption. The process detailed in 6.1.2 will be followed in accordance with time limitations set out in 5.2 of these regulations.
- 5.1.5 Extending a period of interruption beyond 12 months would extend the students study beyond the maximum durations stipulated in 4.1 of these regulations and therefore this is not permitted unless with the permission of the Chair or Senate. The maximum duration of study must therefore be considered when agreeing an interruption of studies.

6. The Appointment of Supervisors and Examiners

7.1 The Supervisory Team

- 7.1.1 All candidates must be supervised by a suitably qualified Primary and Secondary Supervisor, appointed in accordance with Code of Practice.
- 7.1.2 The Code of Practice shall provide guidance about the expected frequency and duration of supervisory meetings, the means by which such meetings are recorded, how supervisors and students might prepare for meetings, and the conduct of meetings.

7.2 Internal Examiners

- 7.2.1 Each student [with the exception of students who are also members of staff at the University] shall be allocated at least one internal examiner.
- 7.2.2 No member of staff shall serve as internal examiner unless they have been formally recognised as an **Academic Supervisor** by Research Degrees SubCommittee.
- 7.2.3 No member of staff shall serve as internal examiner and supervisor for the same student.
- 7.2.4 The Code of Practice shall provide guidance about procedures and criteria to be used by Research Degrees SubCommittee when preparing recommendations for the approval of internal examiners.

7.3 External Examiners

- 7.3.1 Each student shall be allocated at least one external examiner.
- 7.3.2 All nominations for external examiners shall be formally approved by the Pro Vice Chancellor [Research], on the basis of a recommendation from Research Degrees SubCommittee.
- 7.3.3 No External Examiner shall have previous close involvement with Liverpool Hope University [or a partner institution at which students are registered for Liverpool Hope research degrees] that might compromise objectivity or impartiality of judgement. Specifically, the proposed examiner should not, in the 5 years prior to nomination, have been a member of staff, a governor, or a student of Liverpool Hope University [or a partner institution].
- 7.3.4 The Code of Practice shall provide guidance about procedures and criteria to be used by Research Degrees SubCommittee when preparing recommendations for the approval of external examiners.

8 **Assessment of the Thesis, and Eligibility for Awards**

8.1 Summary of Procedures

- 8.1.1 A student shall be required to:
 - [a] formally notify the Liverpool Hope Registrar [or Nominee] of their Intention to Submit a thesis [the notification normally to be received at least 2 months before the expected submission date], and then
 - [b] submit the thesis, and then

- [c] defend the thesis via an oral examination, and then
 - [d] undertake such revisions to the thesis, as may be required by the examiners.
- 8.1.2 If the Registrar [or nominee] judges that the Intention to Submit a Thesis form has been validly completed, they shall
- [a] arrange for Student Administration to change the student's status to "Submission Pending";
 - [b] authorise the Postgraduate Research Team to initiate the process for the selection and appointment of the examining team.
- 8.1.3 A thesis submitted for the degree of PhD by Published Work shall normally contain 4-8 published works. The published works should be introduced by a 20,000 written submission which contextualises the submitted published works, highlighting their originality and contributions to the field. The published works must be current, for this purpose current means published within 5 years of the examination date. The published works should have a common theme and be linked in a coherent manner in order to provide clear evidence of the creation of new knowledge in the area. Where appropriate the published works should appear in peer-reviewed journals and be primary research articles. Co-authored published works will require justification of the student's significant contribution.
- 8.1.4 The thesis shall be examined, and the oral examination conducted, by at least two examiners:
- [a] normally, at least one internal examiner from Liverpool Hope University [who shall not be the academic supervisor]; and
 - [b] at least one external examiner.
 - [c] where the candidate is a member of Hope staff (academic or support) both examiners will be external;
- 8.1.5 Before the oral examination, each examiner shall be required to submit an independent written report to the Postgraduate Research Team.
- 8.1.6 The oral examination shall be chaired by an Independent Chair, who shall be a senior member of academic staff at Liverpool Hope University with experience of the University's procedures for examining research students.
- 8.1.7 The outcome of the oral examination shall be determined as follows:
- [a] the Independent Chair shall submit a joint recommendation from the internal and external examiners to the Registrar or Nominee;
 - [b] the examiners' recommendation shall place the student in one of the categories listed in paragraph 8.2 below and, where appropriate, shall specify a date by which the thesis must be submitted;
 - [c] if the Registrar [or nominee] judges that the recommendation form has been validly completed, they shall arrange for the Student Administration unit to:
 - i. amend the student's record on the University's database;
 - ii. publish the result;
 - iii. copy the outcome to the School;
 - iv. arrange for the outcome to be reported to the Continuation and Award Board for Postgraduate Research Students.
 - [e] in all cases, the result shall formally outline the overall recommendation of the examiners, and give the deadline by which further work must be completed;
 - [f] where the examiners have recommended that the student is entitled to an award without making further amendments to the thesis, the result shall

also formally state the deadline by which, in order for the student to be eligible to graduate -

- a 100-word lay summary of the thesis, suitable for publication in the graduation programme, must be received by the Registrar.
- [g] the internal examiners shall be required to supply the student with detailed feedback agreed by the full examining team.

8.1.8 The Code of Practice shall provide guidance about:

- the nature of the examiners reports to be submitted before the oral examination, and when they should be submitted;
- the conduct of the oral examination;
- guidelines for selecting the most appropriate outcome of the oral examination.
- the timing and nature of feedback supplied to students by the examiners after the oral examination.

8.2 Outcomes of the Oral Examination [Candidates for the Degree of PhD by Published Work]

8.2.1 *Normal Outcomes*

Following the oral examination, one of the following outcomes shall normally be agreed.

[a] Award of PhD by Published Work

- The candidate has satisfied the academic requirements for the award of a PhD by Published Work [but may be required to make minor typographical corrections to the thesis commentary prior to submission of the final copy].

[b] Award of PhD by Published Work Subject to Minor Amendments

- The candidate has satisfied the academic requirements for the award of a PhD by Published Work. However, the candidate is required to make minor amendments to the content of the introductory narrative, the candidate being required to submit a revised thesis normally no later than three months after the formal publication of the outcome of the examination.
- The candidate will only become eligible for the award of PhD by Published Work when the University is satisfied that the thesis has been appropriately amended and the appropriate documentation has been signed by the internal and/or the external examiner.

[c] Fail

- The candidate has not satisfied the academic requirements for the award of a postgraduate research degree, is not entitled to resubmit the thesis, and so must terminate studies with no entitlement to an award.

8.3 Reassessment Procedures

8.4.1 Extended Deadlines for Resubmitting the Thesis

The Continuation and Award Board for Postgraduate Research Students shall be empowered to recommend to Research Committee that, due to evidence of ill health or other mitigating circumstances, a student may be granted an extension of up to 1 month for minor amendments to be made.

8.4.2 Candidates Required to Make Minor Modifications to the Thesis.

- [a] The revised thesis shall normally, but with the recorded approval of the external examiner, be assessed by the internal examiner[s], and the outcome notified to the Student Administration unit.

- [b] Normally, the only outcomes possible following such minor amendments shall be:
 - the candidate has now satisfied the academic requirements for the award of a PhD by Published Work, but may be advised to make typographical corrections or other non-substantive changes;

9 The Continuation and Award Board for Postgraduate Research Students

9.1 Membership

- 9.1.1 The Board will comprise:
 - the Chair of Research Degrees Sub-Committee, who will Chair the Board;
 - the Faculty Research Co-ordinators;
 - the Programme Lead for Professional Doctorates;
 - the University Moderator for each partner institution at which students are registered for Liverpool Hope Research Degrees;
 - the Registrar or nominee [who will be responsible for providing expert regulatory and procedural guidance to the Board];
 - Representatives from the Postgraduate Research Team;
 - a member of the Student Administration unit [to note decision for entry to the university's database, in preparation for the publication of results].
- 9.1.2 Each Board meeting will be serviced by one of the Postgraduate Research Administration team.

9.2 Terms of Reference

9.2.1 The Main End of Session Meeting

The Board will meet at the end of each academic session to:

- [a] receive, consider and confirm the recommendations for continuation submitted by supervisors following the “annual review”, “confirmation of registration” and, in exceptional cases, “application to transfer registration” processes;
- [b] receive, consider and confirm any recommendations for **awards** submitted by examiners since the previous Board meeting.
- [c]. receive, consider and confirm any recommendations for **interruption of study, extension of study, and change of mode of attendance** submitted by examiners since the previous Board meeting and, if necessary, make recommendations to Research Committee.

9.2.2 Other Meetings

The Board will meet at least three times a year in order to:

- [a] receive, consider and confirm any recommendations for **continuation** submitted by supervisors following the “confirmation of registration” and “application to transfer registration processes”;
- [b] receive, consider and confirm any recommendations for **awards** submitted by examiners since the previous Board meeting.

- [c] receive, consider and confirm any recommendations for ***interruption of study, extension of study, and change of mode of attendance*** submitted by examiners since the previous Board meeting and, if necessary, make recommendations to Research Committee.

The Code of Practice shall specify procedures for holding ad hoc meetings of the Board as necessary.

10 **Appeals**

Students who wish to appeal against a decision of the Continuation & Award Board, including instances where the Board is confirming a recommendation following the outcome of an examination, shall proceed in accordance with the University's Academic Appeals Procedures.

11 **Posthumous Awards**

11.1 **Standard Award of Doctor of Philosophy by Published Work**

11.1.1 If a student dies after the Examiners has confirmed that the student is entitled to a Doctor of Philosophy by Published Work degree, but before graduation:

- [a] the award shall be formally conferred at a University ceremony;
- [b] the person formally identified to the University as the student's Next of Kin shall be entitled to receive the Degree Certificate;
- [c] the Dean of Students shall, in liaison with the Next of Kin, determine the most appropriate mechanisms for the University to celebrate the student's achievement and issue the Certificate.

11.1.2 The title of the award shall be exactly the same as for standard PhD by Published Work graduates.

11.2 **Posthumous Award of Doctor of Philosophy by Published Work**

11.2.1 If a student dies after submitting a thesis for the degree of PhD by Published Work, but before undertaking the oral examination:

- [a] the thesis shall be read by the External and Internal Examiners, and reports prepared in accordance with the University's Regulations and Code of Practice;
- [b] if the Examiners agree that the quality of the thesis is such that the oral examination would normally be likely to result in the student being awarded a Doctor of Philosophy degree [albeit following Minor Modifications], the student shall be entitled to the award of a Doctor of Philosophy by Published Work degree. However, the formal award title shall include "Posthumous" as a suffix.

11.2.2 If a student dies after progressing to the "submission pending" stage of a PhD by Published Work programme, but before submitting the oral examination:

- [a] drafts shall be read by the External and Internal Examiners, and reports prepared;
- [b] if the Examiners agree that the quality of the drafts is such that the final thesis would normally be likely to result in the student being awarded a Doctor of Philosophy by Published Work degree [albeit following Minor Modifications], the student shall be entitled to the award of a Doctor of Philosophy by Published Work degree. However, the formal award title shall include "Posthumous" as a suffix

12. Aegrotat Awards

12.1 All Awards

12.1.1 No student shall be eligible for an Aegrotat award unless:

- [a] the student applies for such an award [*exceptionally, the student's nominated Next of Kin may make an application, as long as the student has explicitly confirmed in writing to the University that this person is able to communicate on their behalf*];

AND

- [b] the University judges that there is sufficient evidence to demonstrate that the student's illness, disability or injury is:
 - [i] sufficiently severe to prevent the student from continuing with their studies, and
 - [ii] sufficiently permanent that it would not be possible for the student to complete their degree following an interruption of studies;

AND

- [c] the student [*or exceptionally, the student's nominated Next of Kin, confirms in writing that they understand the award is final, and that, having accepted the award, it would not be possible subsequently to:*
 - [i] appeal against the award, or
 - [ii] request to complete their programme of study, or
 - [iii] apply for admission to another programme of study at the University.

12.2 Aegrotat Award of Doctor of Philosophy by Published Work

12.2.1 If, after the student submits a thesis for the degree of PhD by Published Work, but before undertaking the oral examination, the University confirms the eligibility of the student for consideration for an Aegrotat award:

- [a] the thesis shall be read by the External and Internal Examiners, and reports prepared in accordance with the University's Regulations and Code of Practice;
- [b] if the Examiners agree that the quality of the thesis is such that the oral examination would normally be likely to result in the student being awarded a Doctor of Philosophy degree [albeit following either Minor Modifications], the student shall be entitled to the award of a Doctor of Philosophy by Published Work degree. However, the formal award title shall include "Aegrotat" as a suffix.
- [c] if the nature of the student's condition would prevent the student from attending a ceremony in person, the person formally identified to the University as the student's Next of Kin shall be entitled to receive the Degree Certificate on the student's behalf.

12.2.2 If, after the student progresses to the "submission pending" stage of a PhD by Published Work programme, but before submitting the thesis, the University confirms the eligibility of the student for consideration for an Aegrotat award:

- [a] drafts shall be read by the External and Internal Examiners, and reports prepared;
- [b] if the Examiners agree that the quality of the drafts is such that the final thesis would normally be likely to result in the student being awarded a Doctor of Philosophy by Published Work degree [albeit following Minor Modifications], the student shall be entitled to the award of a Doctor of Philosophy by Published Work degree, but the formal award title shall include "Aegrotat" as a suffix;

[c] if the nature of the student's condition would prevent the student from attending a ceremony in person, the person formally identified to the University as the student's Next of Kin shall be entitled to receive the Degree Certificate on the student's behalf.