PhD by Prior Publication Policy

Responsible Officer

Deputy Vice-Chancellor (Research)

Approved by

Vice-Chancellor

Approved and commenced

November, 2015

Review by

November, 2016

Relevant Legislation, Ordinance, Rule and/or Governance Level Principle

Rule 4 - Rules of Graduate Research
Governance Level Principle 11 – Employment
Governance Level Principle 12 – Academic Standards

Responsible Organisational Unit

Division of the Deputy Vice-Chancellor (Research)

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1 Objective

The objective of this Policy is to outline the principles and procedures under which a current staff member of the University of Tasmania can apply for, enrol in and submit for examination a PhD thesis by prior publication. ‘Publication’ is intended, where relevant, to include non-text and non-traditional research outputs, which conform to the conditions outlined under section 3.4 of this Policy.

2 Scope

This Policy applies only to current University Staff (defined as current academic and professional staff, adjunct and clinical title holders) who have been employed by or associated with the University for at least five years on a continuous basis.

3 Policy Provisions

The University recognises that individual staff may, over a period of several years produce a substantive body of knowledge in the form of peer reviewed publications that merits the award of Doctor of Philosophy. A PhD by Prior Publication permits candidates to include academic work conducted prior to candidature.

3.1 Admission requirements

In addition to the standard requirements for entry to a Doctoral Degree as defined in the Higher Degree by Research Admissions Policy, in the case of application for admission into a PhD by prior publication, applicants must also:

- present a coherent body of work comprised of pre-existing peer-reviewed outputs of recognised academic excellence that meets or exceeds the requirement for the award of Doctor of Philosophy as defined in Rule 4
- have been employed by, or associated with, the University for normally at least five years on a continuous basis, and be a staff member or adjunct/clinical title holder at the time of submission of the thesis for examination, and
- provide evidence of ongoing mentoring (ie. supervision) or peer collaboration and review by a University of Tasmania research academic (or academics) with PhD qualifications during the period that the publications were produced. This requirement could be demonstrated by co-authorship of publications with research academics.

3.2 Procedure for applying for admission

Requests to submit a PhD thesis for examination based on publications arising from work conducted prior to commencing candidature will be assessed on an individual basis.

Initially, the staff member or adjunct/clinical title holder will consult with the Graduate Research Coordinator (GRC) in their Academic Unit /College to develop a case. If the GRC is satisfied that the case is of sufficient merit, a detailed thesis structure, including a short contextual statement, copies of the nominated papers (and suggested content of proposed new papers for the hybrid model), and a timeline...
must then be developed by the staff member or adjunct/clinical title holder under the
guidance of the proposed supervisor(s), signed off by the GRC, Head of Academic
Unit, and Associate Dean, Academic Director or Director Research (ADDR) and
submitted directly to the Dean of Graduate Research for approval. On approval,
candidature will be confirmed.

3.3 Conditions of Candidature

Candidates enrolled in a PhD by Prior Publication must abide by the Rules, Policies,
Procedures and Guidelines relevant to Higher Degrees by Research.

Exceptions to the terms laid out in those policies include:

- additional requirements for admission to candidature: see section 3.1 of this
  policy.

- In relation to candidature:
  - Confirmation of candidature (as outlined in section 3.7 of the Higher Degree
    by Research Candidature Policy) occurs at admission to candidature
  - In lieu of an annual review of progress, candidate progress will be reviewed
    by the full supervision team and GRC every 3 months
  - Candidates enrolled in a PhD by Prior Publication are not required to enrol
    in the Graduate Certificate in Research.

3.3.1 Degree Period

The candidate must be enrolled in the Degree for a minimum of 9 months Equivalent
Full Time (EFT) and maximum of 12 months EFT. Requests for extensions to the
maximum degree period will be dealt with under clause 11.4 of Rule 4 Rules of
Graduate Research.

3.4 Conditions related to publications to be included in the thesis

Only publications that contribute to the university’s HERDC submission are eligible
for inclusion in the thesis (see the HERDC Publication Reference Types). This
includes creative and other forms of research output, such as software.

Publications must have been produced from research conducted in accordance with
the University of Tasmania Responsible Research Framework.

Publications submitted for the degree of PhD by Prior Publication must not have been
submitted as part of, or arisen directly from, the research work performed within
another award (e.g. Masters by Research, Fellowship, or similar research-based
award).

With few exceptions, submitted publications must have been published within the six
years immediately preceding the request to submit.
The candidate must obtain approval from the journal/book publishers to reproduce all publications to be included in the thesis.

All submitted publications must have the candidate as the primary author.

Where publications have multiple co-authors, publications must be accompanied by a statement of co-authorship that clearly shows the candidate was the major (50% or more) contributor to the work (conception and design of the project, analysis and interpretation of research data, drafting significant parts of the work or critically revising it so as to contribute to the interpretation).

3.5 Research Integrity and Ethics

All research projects referred to in the publications submitted for the award of PhD by Prior Publication must have been approved by the relevant University of Tasmania committee(s) responsible for ensuring research integrity and ethics.

3.6 Thesis format

Publications for inclusion in the thesis must form a cohesive body of knowledge arising from a program of research and be bookended by:

- a comprehensive yet concise and critical introduction to the work showing how the individual publications are linked by a common theme
- substantial literature review (which may be a recent published narrative or systematic review by the candidate), and
- general discussion/conclusions chapter.

In all other respects, the thesis must conform in length, format and structure to a thesis following the Guidelines for Incorporating Publications into a Higher Degree by Research Thesis.

3.7 Thesis Examination

The thesis will be subject to normal examination processes as per the Higher Degree by Research Thesis Preparation, Submission and Examination Policy. The guidelines provided to the examiners will state explicitly that the thesis award and format has been approved by the University of Tasmania Academic Senate.

4 Responsibilities

The Dean of Graduate Research is responsible for:

- ensuring that high quality administrative processes and appropriate candidate support are provided and monitored
- ensuring that candidates receive a high standard of supervision
- the strategy and associated policies for the retention and successful completion of HDR candidates,
ensuring that the University maintains appropriate standards in relation to
candidature matters (including admission, appropriate infrastructure,
supervision and examination).

Executive Deans are responsible for:

- the strategic management of Academic Unit financial, supervision, and
infrastructure resources as per the Academic Structures Policy, Delegations
Policy and Schedules.

Heads of Academic Unit are responsible to Executive Deans for:

- the administration of the Academic Unit including planning, budget, strategy,
human resources and performance as per the Academic Structures Policy,
Delegations Policy and Schedules.

Graduate Research Coordinators are responsible to the Heads of School for:

- monitoring candidate progress as per section 3.2.3 of the Higher Degree by
Research Graduate Research Coordination Policy.

5 Definitions and Acronyms

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<tr>
<th>Term/Acronym</th>
<th>Definition</th>
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<tbody>
<tr>
<td>Academic Unit</td>
<td>Means the secondary organisational unit in the academic structure of the University, reporting directly to the College Executive Deans, as per Ordinance 14 – Academic Structure.</td>
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<tr>
<td>ADDR</td>
<td>Associate Dean or Director Research.</td>
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<tr>
<td>Candidate</td>
<td>A person enrolled at the University as a candidate for a Degree.</td>
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<tr>
<td>College</td>
<td>Means (a) the primary organisational unit in the academic structure of the University, as per Ordinance 14 – Academic Structure (b) the University College</td>
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Dean of Graduate Research: The Dean of Graduate Research is the person who has responsibility for:

- establishing the academic framework for research training at the University and
- for working with Faculties and Institutes to ensure the University maintains appropriate standards for research training at the University (including admission, appropriate infrastructure, supervision and examination).

EFT: Equivalent Full Time.

Executive Dean: Means: (a) the Executive Dean of the relevant College, or
(b) in relation to the University College, the Principal of the University College

GRC
Graduate Research Coordinator.

Head of Academic Unit
Means the head of the relevant Academic Unit

HERDC
Higher Education Research Data Collection.

PhD by Prior Publication
Permits candidates to submit a thesis that comprises a series of publications produced prior to (a short period, 3-12 months) candidature.

PhD by Publication
Where the series of publications (published and in press, but not submitted/under review) was produced during a standard candidature.

Primary author
A primary author is primarily responsible for the planning, execution and preparation of the work for publication.

University Staff
Current academic and professional staff, adjunct and clinical title holders.

6 Supporting Documentation

• Academic Structure Policy
• Authorship of Research Policy
• Delegations Policy
• Guidelines for Incorporating Publications into a Higher Degree by Research Thesis
• Higher Degree by Research Admissions Policy
• Higher Degree by Research Candidature Policy
• Higher Degree by Research Supervision Policy
• Higher Degree by Research Thesis Preparation, Submission and Examination Policy
• Research Ethics Policy
• Responsible Conduct of Research Policy

7 Versioning

<table>
<thead>
<tr>
<th>Former Version(s)</th>
<th>Version 1 – PhD by Prior Publication Policy; approved November, 2015, amended in December 2016 to incorporate Colleges.</th>
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<tr>
<td>Current Version</td>
<td>Version 2 – PhD by Prior Publication Policy; approved November 2015, amended in December 2017 to reflect College structure and nomenclature.</td>
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