

Regulations for Members of Staff in Candidature for the Degree of Doctor of Philosophy

1. On the recommendation of the Faculty Graduate School directorate, and with the approval of the Associate Dean (Education) in their capacity as Chair of Faculty Education Committee following consultation with the relevant Head of School or Professional Service, a member of staff may be admitted on a part-time basis to staff candidature for the degree of Doctor of Philosophy (PhD). Staff candidature requires either submission by published works as set out in Section A paragraphs 3 to 14 below, or submission by thesis as set out in Section B paragraphs 15 to 18 below.
2. For the purpose of these Regulations, a member of staff is defined as having been employed by the University of Southampton¹ for at least 12 months, and as having at least a further 12 months of unexpired contract. In exceptional cases, the Dean of the Faculty², in consultation with the Director of the Doctoral College, may waive one or more of these requirements, reporting the decision to Faculty Education Committee under restricted items.

Candidates who have been members of staff for less than half of their maximum period of candidature at the time of leaving the University of Southampton's employ will, from then on, be regarded as standard doctoral candidates, and the option of Submission by Published Work (Section A) is not permissible.

Such candidates shall be transferred to PhD – Standard Route candidature and will be examined by a panel of one internal examiner, one external examiner and an Independent Chair from a different Faculty and discipline from that in which the candidate was employed and/or in candidature for the degree.

Candidates who are members of staff for more than half of their candidature, but leave the University of Southampton's employ before their final submission and examination, shall continue to be treated as staff candidates for the purposes of these Regulations.

Section A: Submission by Published Work

3. The opportunity to submit for a PhD by published work is offered only to University staff as an alternative to the standard PhD route. It recognises the research activities of members of staff who have not completed a PhD. The work examined for a PhD by published work should be broadly comparable to that submitted for other doctoral degrees in the University of Southampton, based upon research with a common theme in the form of a series of publications.

Admission

4. The following Admissions Regulation should be applied in conjunction with the University's [Regulations for Admission to Degree Programmes](#), the University's Admissions Policy, and paragraphs 13 to 19 of the University's [Code of Practice for Research Degree Candidature and Supervision](#):

¹ "University of Southampton" includes any institution accredited by the University of Southampton to supervise the degrees of Master of Philosophy and Doctor of Philosophy as awarded by the University of Southampton. In any instance where a student is in candidature at an accredited institution, the University of Southampton External Research Degrees Committee (ERDC) will undertake the role of "Faculty Education Committee", "Faculty Graduate School Committee", and "Faculty" as defined within these Regulations.

² The principal role of ERDC, which operates as a committee of Senate, is to make decisions on the admission, candidature, progress and examination of all students for research degrees in the Accredited Institution, within the academic areas approved for this purpose by the University of Southampton. ERDC may recommend the award of degrees to Senate.

A member of staff wishing to submit for a PhD by published work should have a preliminary discussion with their Head of School prior to making a formal application, to discuss the suitability of the publications. A *curriculum vitae* setting out evidence of suitable expertise; a brief outline of the proposed content of the thesis; and a letter of support from the Head of School providing explicit confirmation that the member of staff's workload has been discussed and that the staff member has (or will be) given capacity to undertake a PhD by published work, should be submitted to the Faculty Graduate School directorate via the Faculty Graduate School Office. The Faculty Graduate School directorate should satisfy itself as far as possible that there is sufficient material to register the member of staff for a PhD by published work. Once approved, paragraphs 5 to 14 of Section A of these Regulations shall apply.

Candidature

5. The minimum period of study shall be three months, and the maximum period of study shall be twelve months.
6. A member of staff in staff candidature submitting for a PhD by published works is not liable for supervision fees, but shall pay an examination fee at the time of submission as provided in the [Fees, Charges and Expenses Regulations](#) (Section IV of the University Calendar).
7. Each candidate will be allocated an academic mentor by the Faculty Director of the Graduate School. The academic mentor, who should have a substantial publication record, will provide guidance during the preparation of the candidate's published work for submission, including the writing of the supporting statement.

Submission of published work

8. The submission of published work for a PhD by published work shall:
 - a) have already been published, or have been accepted for publication. Evidence of acceptance for publication must be submitted to the Faculty Graduate School Office at the time of submission;
 - b) normally comprise of: a research monograph; one or more authored books or papers in refereed journals; chapters in edited books; technical reports; scholarly editions of text; or creative work in relevant areas;
 - c) not have been submitted in support of a successful award or pending application for any award of any higher education institution;
 - d) consist of enough publications to be broadly comparable to a PhD thesis (that is, it is evidently the result of sustained work normally in a single field to which it makes an original contribution), and to meet the criteria for the award of a PhD as set out in paragraph 5 of the University's [Code of Practice for Research Degree Candidature and Supervision](#). The number of publications will vary between disciplines, but it is expected that most submissions will include between three and seven publications;
 - e) consist of publications where a significant proportion of the work has been carried out by the candidate since they joined the staff of the University of Southampton; and have normally been published within the 10 years previous to the date of submission;
9. During the period of candidature, the candidate shall prepare the following material for submission with their published work:
 - a) a commentary not exceeding 12,000 words which explains: the aims and nature of the research; the coherence between the materials; how the materials fit within the context of other work in the field; and the nature and extent of their original contribution;
 - b) a full bibliography of all relevant published work, attached as an appendix;

- c) a statement declaring, in the case of collaborative work, the extent of the candidate's own contribution, signed by all co-authors. It is expected that the candidate will normally have been the primary author on their submitted work;
 - d) a summary sheet numbering the submitted publications and a copy of each publication.
10. For the award of Doctor of Philosophy, candidates must have demonstrated the criteria as detailed in paragraph 5 of the University's [Code of Practice for Research Degree Candidature and Supervision](#). The examination will follow the same procedure as set out in the University's [Code of Practice for Research Degree Candidature and Supervision](#), with the exception of the variations set out in paragraphs 11 to 14 of Section A of these Regulations.

Examiners

11. Two external examiners and one internal examiner shall be appointed for a staff candidate submitting for a PhD by Published Work (also see Section A paragraph 2 above).

Recommendations of the Examiners

12. A *viva voce* will also take place, following which the examiners may make one of the following recommendations
- a) The degree of Doctor of Philosophy is awarded.
 - b) The degree of Doctor of Philosophy be awarded subject to minor amendments to the accompanying commentary being made by a date specified. Minor amendments include: minor errors/omissions of substance, typographical errors, occasional stylistic or grammatical flaws, corrections to references, addition/modification to one or two figures, and minor changes to layout, and require no new research; these changes need only be certified by the internal examiner. The date specified for the submission of such minor amendments should normally be no later than three months after the formal notification to the candidate.
 - c) The degree of Doctor of Philosophy be awarded subject to the correction of modest errors/omissions of substance being made to the accompanying commentary by a date specified (the procedure for certification of the amendments should clearly be specified in the report). Such amendments may require limited further analysis but will not affect the originality of the work. They will be of a scale to require certification by both the internal and external examiners, though normally not so extensive that a further *viva voce* is required. The date specified for the submission of such modest amendments should normally be no later than six months after the formal notification to the candidate, although the examiners may request a longer time period of nine months for which an academic rationale should be provided for consideration by the Faculty Director of the Graduate School.
 - d) That the candidate be required to attend a further *viva voce* within three months of the date of the original examination.
 - e) That the candidate be permitted to make, by a date specified, a revised submission (which may include different publications) for re-examination, including an additional *viva voce*, on one subsequent occasion. The date specified for the revised submission should normally be no later than twelve months after the formal notification to the candidate. The candidate will be liable to pay a re-examination fee at the time of submission as set out in the [Fees, Charges and Expenses Regulations](#) (Section IV of the University Calendar).
 - f) That, in the case only of a candidate who has failed to satisfy the examiners, permission may be given to the candidate to apply, within a specified time for the award, of the degree of Master of Philosophy. Submission may be allowed without re-

examination, subject to any minor amendment to the accompanying commentary which may be required by the examiners. Alternatively, at the request of the examiners, submission of a revised accompanying commentary may be subject to re-examination, including a *viva voce*. In such circumstances, the work must meet the normal criteria for the award of the MPhil degree.

- g) That the degree is not awarded and that resubmission is not permitted.
13. It should be noted that where the recommendation of the examiners is for re-examination at a later date as set out in Section A paragraph 12 (e) above, options d) and e), are not available as outcomes at the later re-examination.
 14. A candidate who fails to submit corrections or revisions to the accompanying commentary by the date set by the examiners shall normally be regarded as having failed the examination and paragraph 59 of the [Regulations for Research Degrees](#) shall apply.
 15. A candidate must satisfy the examiners in both the submitted work and the *viva voce*. A candidate may fail either the submitted work or the *viva voce* or both and the examiners may recommend re-examination only in that part in which the candidate student failed. This may not apply if the additional work required substantially modifies the previously submitted work; on the other hand, where the submitted work has demonstrated adequate practical work but insufficient theoretical knowledge, then a *viva voce* re-examination only may be required.

Section B: Submission by Thesis

16. A member of staff wishing to submit a thesis in candidature for PhD - Standard Route must apply to the Faculty Graduate School directorate for candidature under the [Regulations for Research Degrees](#) and the [Code of Practice for Research Degree Candidature and Supervision which will apply to their](#) candidature. This includes the requirement to have doctoral candidature confirmed through the use of a confirmation panel.
17. Faculty approval for staff candidature via the PhD – Standard Route must take into account the staff member’s existing workload. Therefore, a letter of support from the Head of School, providing explicit confirmation that the member of staff’s workload has been discussed and that the staff member has (or will be) given capacity to undertake a PhD, should be submitted to the Faculty Graduate School directorate, via the Faculty Graduate School Office,
18. Members of staff registered in staff candidature under Section B Submission by Thesis of these Regulations will be liable for standard part-time UK supervision fees.
19. Staff candidates will be examined by two external examiners and an internal examiner (also see Section A paragraph 2 above).

Revision History

No revisions for 2005/06

Minor revisions for 2006/07

No revisions for 2007/08

No revisions for 2008/9

No revisions for 2009/10

Revisions approved by UPC in July 2011

Reviewed in July 2012; no changes made

Amendments approved by UPC in May 2013 and by Senate in June 2013

Reviewed and revised in 2013/14 – amendments approved by AQSC 19 February 2014 and Senate 18 June 2014

Reviewed in July 2015; no changes made

Amendments approved by AQSC in May 2016 and by Senate in July 2016

Amendments approved by AQSC in May 2017 and by Senate in June 2017

Amendments approved by AQSC in May 2018 and by Senate in June 2018

Amendments approved by AQSC in May 2019 and by Senate in June 2019