

Article-based PhD: Guidelines for the College of Business, Public Policy and Law

University Guidelines for Research Degree Programmes (Graduate Studies)

An article-based PhD is based on a collection of papers (including published papers or papers submitted or accepted for publication) which describe a coherent programme of research undertaken by the student while registered for the PhD. It also contains an introductory chapter, explanation of the research question, relevant literature and methodology and a concluding chapter.

As a general guideline, a minimum of three peer-reviewed articles should be included, with the PhD candidate normally being primary author on the major part of the work. Joint publications may be included, but the candidate must make explicit their contribution to the work.

Specific guidelines (College of Business, Public Policy and Law)

Students wishing to undertake and submit an Article-based PhD must adhere to the University guidelines and to these guidelines drawn up by the College of Business, Public Policy and Law.

Entry requirements	As per College Calendar for Structured PhD degrees
Admission process	As per College Calendar for Structured PhD degrees
Submission process	As per University Guidelines for Structured PhD degrees
Examination process	As per University Guidelines for Structured PhD degrees

Selection of PhD programme

The article-based PhD format is available to registered students on full or part-time PhD programmes within the College of Business, Public Policy and Law.

Subject matter of published articles

It is expected that the articles presented shall deal with the same research question or set of linked questions. A detailed discussion of each paper and the context and relationship of the work described in each, so that the overall research contribution is clear to GRC members and examiners, is expected.

Number of peer-reviewed articles required

A minimum of three original, full-length (i.e. approximately 10,000 words) research papers is required. At least two of the articles should have been accepted for publication in international, peer-reviewed journals, while further articles may be under review by international, peer-reviewed journals. The journals should not be affiliated with the student's academic unit, whether a research centre, discipline, school or college and the supervisor should not sit on the editorial board of the journals or have any involvement in the peer-review process. The choice of journals should be overseen by the GRC.

In line with University guidelines, only articles which are based on research that has been undertaken by the student while registered for the PhD are admissible.

The PhD candidate should be responsible for the major research contribution of the work.

- In principle, in the School of Law, the candidate should be the sole author. However, subject to the agreement of the PhD supervisor and the Graduate Research Committee, two joint publications may be included but the candidate must be the primary (first) author on at least one of these, and the co-author may not be the student's supervisor. In the School of Business and Economics three joint publications may be included but the candidate must be the primary (first) author on at least two of these.

The candidate must make explicit their contribution relative to that of any co-authors, and make clear the role of the co-author. Where a peer PhD candidate is a co-author the role of each PhD candidate must be clearly distinguished and normally only one may claim primary authorship.

Articles that are accepted for publication or under review are counted towards the minimum provided suitable evidence of acceptance is provided.¹ For an article that is under review, the student should confirm that the article has passed the desk-reject stage and has been sent on for peer-review. As conference papers typically describe preliminary research findings and are subject to less rigorous peer review, these may be included in the thesis to show the progression of the research contribution, but do not count to the minimum of three published papers. Also, papers that have been published in non peer-reviewed journals, case comments, short articles and book chapters may be included in the thesis, but do not count to the minimum of three.

Structure of the Article-based PhD

As per the University Guidelines, in addition to the minimum requirement of three articles, the article-based PhD must also contain an introductory chapter, explanation of the research question, relevant literature and methodology and a concluding chapter. A full bibliography is also required. The word-count specified in the University Guidelines for Research Degree Programmes of 80,000 words applies.

Subject to discussion with the PhD supervisor(s) and the Graduate Research Committee, the PhD will normally be structured as follows:

- An introductory chapter will locate the candidate's work within the existing scholarship. This chapter will explicitly articulate the key research question(s) addressed by the candidate and the chosen methodological/theoretical framework, as appropriate;
- A literature review chapter may be included if a thorough critical review of previous scholarship and literature on the topic is not comprehensively addressed in the three articles;
- A chapter corresponding to each of the three articles;
- A concluding chapter, which draws the substantive material in the articles together so as to demonstrate their coherence and the full extent of their contribution to knowledge;
- A full bibliography.

Process and time limit on PhD format selection

The format of thesis presentation (monograph or article-based) will be decided jointly between the primary supervisor and student and as advised by the GRC. Selection of format can be at any stage of the PhD and the student can revert back to the traditional monograph at any time.

Note that the decision to opt for a published article-based PhD should be not be based solely on meeting the minimum criteria. A monograph has the advantage of more readily supporting the development of a sustained argument, with the synthesis of the relevant literature and an integrated discussion of the methodology to clearly demonstrate the candidate's *contribution to knowledge in their field*. The articles and supplementary chapters incorporated into an article-based PhD *must achieve the same end*.

Role of the GRC

To advise the student/supervisor.

¹ Suitable evidence would be a formal letter from the editorial board of a Journal, or an online pre-publication or proof document available on the public website of the Journal.

The PhD examination process

The Article-based PhD is examined in the usual way as per University Guidelines. The candidate must demonstrate that in pursuance of the Article-based PhD, he/she has met all of the following criteria:

- Has made a significant contribution to knowledge and scholarship
- Has demonstrated a capacity for original and critical thought
- Can display an appropriate depth and breadth of knowledge and understanding of the relevant field(s) of study in the thesis and at the viva examination
- Has gained significant expertise with respect to basic and advanced methodologies and techniques
- Has presented a thesis with the appropriate structure and written style
- Has completed work that is suitable for publication.

Evidence as to whether or not these criteria are met is found in the thesis, but the oral examination or viva is critical to confirmation that the required standards have been achieved.