



CDU PhD by Prior Publication Guidelines

(Guidelines based on literature, sector standards, and input from CDU stakeholders across faculties and schools)

What is a PhD by prior publication?

The PhD by prior publication (PPP) is an award that may be appropriate for someone with an established career or research profile, who has not gained a PhD but has demonstrated significant contribution to a specific knowledge area, via a substantial body of rigorously peer reviewed research output. (For some further insights see the CDU PhD by Publication Guidelines).

The PPP thesis typically comprises initial and final chapters that cohesively link the candidate's key first author publications, which are presented as the middle chapters along with accompanying text. These outputs along with the thesis narrative clearly articulate the significant original contribution of the body of work to a focused area of knowledge.

(NB. Due copyright and IP the PPP thesis must adhere to specific presentation protocols. After a student has enrolled CDUs Office of Research and Innovation (ORI) and the CDU library can provide advice on these).

In addition to relating wider research outputs such as books and other outputs, the PPP thesis should include a minimum of 6-8 first author high quality journal articles (see later section for non-traditional research outputs) that demonstrate the outstanding knowledge contribution. While this may vary by discipline, these significant articles should present primary research and new knowledge, rather than literature review.

Credibility and quality of the journal articles' contribution to knowledge can be demonstrated by relating the associated journal ranking, e.g. top 10%, or top quartile Q1 ranked journals, e.g. <https://www.scimagojr.com/>, as well as other objective quality indicators.

Credible impact evidence should also support the PPP thesis narrative, including citation metrics for outputs overall and for the headline PPP articles, e.g. Google Scholar, ResearchGate; SciVal and other relevant indicators. Additional impact indicators include reference in policy documents, regulation, etc. (After a student has enrolled, the ORI team can offer further insights on impact).

The PPP thesis follows the same examination process and criteria as a traditional PhD in which the SOCK is the key factor. However, the PPP usually covers a longer period (i.e. greater contribution made over a period greater than four years). Candidates will also usually be required to give an oral presentation or viva voce as part of the examination process in order to verify the validity of their contributions.

Eligibility criteria for the PPP

Determining a potential applicant's suitability to undertake a PPP, as well as the award criteria will include consideration of:

- A well-established career/research profile, which has demonstrated an outstanding contribution to a specific knowledge area
- Publications that cluster into a particular field and demonstrate significant original contribution to knowledge (SOCK). This SOCK will generally refer to new research that has impact and verifiable outcomes relating to knowledge, often in relation to the economy and/or society and/or environment.
- Where appropriate (e.g. research involving people or animals), the candidate must demonstrate that the related research was approved by committees responsible for ensuring research integrity and ethics and was conducted in accordance with the Australian Code for the Conduct of Research, or similar.
- A minimum of 6-8 first authored high-quality journal articles, up to a maximum of 12, which form the focus of the PPP thesis contribution narrative and demonstrate the significant knowledge contribution. (NB. High quality refers to top-quartile Q1 journals, i.e. ranked in the top 25% of academic journals in a particular subject area).
- Publications with other quality indicators such as high citation counts, or other demonstrable impact might be relevant for inclusion, e.g. a highly cited articles from lower ranked journals, but in such cases including a higher number of high-quality outputs might be applicable.
- It may be possible to include outputs where the applicant is not first author, but these require careful consideration. For example:

- For multiple author publications where the applicant is not first author, the applicant must demonstrate how they made a major contribution to the work (conception and design of the project, data collection, analysis and interpretation of research data, and drafting the work), e.g., as outlined in a co-author statement.
- Other outputs like book chapters, conferences, reports, etc., can be related to support overall contribution and impact. However, these would usually receive mention rather than being part of the actual thesis, since such outputs do not undergo the same rigorous peer review process associated with most top-tier journals.
- Publications should have contemporary relevance and will have been published within the past 15 years.
- Publications must not incorporate work that has previously been submitted for the award of a degree or have arisen directly from research work performed within another award.
- Publications should demonstrate originality of contribution. Literature review papers would not therefore normally be eligible for inclusion in the PPP thesis.
- In some disciplines, such as Arts, where research outputs often do not take the form of published written works, alternate outputs can be considered. For example:
 - original creative works
 - live performance of creative works
 - recorded/rendered creative works
 - curated or produced substantial public exhibitions and events
 - research reports for an external body
 - portfolio/collection

These are often referred to as non-traditional research outputs (NTROs). NTROs comprise activities or artefacts that may be included in the PPP provided a strong exegetical case is made regarding how they demonstrate original contribution to knowledge. Furthermore, NTROs equivalent credible quality indicators should be provided, which could include quantifying the scale of works based on where they

were exhibited, scale of audience, etc. (CDU Faculty of Arts and Society Associate Dean of Research can advise further on NTROs)

Applying for the PPP

In a PPP application a potential candidate should consider and demonstrate how they satisfy the criteria outlined above, and present a well-thought case for their PPP eligibility, which should include:

- Full references, with DOI links, and abstracts of the selected PPP focused quality research outputs (selected from their publications/outputs overall), which will form the key elements of the proposed PPP thesis.
- The relevant associated quality indicators for each of these outputs (e.g. Scimago journal ranking), as well as evidence of the impact of the research output.
- A summary of the anticipated SOCK narrative proposed for each output, as well as for the thesis overall.

Selecting a PPP supervisor

The proposed PPP principal supervisor must also have a strong, credible research profile that includes high quality outputs and a background that relates to the proposed PPP knowledge area.

Before agreeing to supervise a student, a potential supervisor should evaluate the applicant's eligibility against the PPP evaluation criteria, including reviewing and confirming the ranking of the proposed high quality research outputs. Where appropriate a proposed supervisor may advise the applicant by offering guidance on developing their PPP case.

Following PPP application submission, it will undergo a review process that will include screening by the associated Discipline Chair.

Students enrol at CDU between 6 and 12 months and full-time and part-time enrolments are available.

For further information please contact Research.Degrees@cdu.edu.au

