

1. Procedure for Submission: Submission occurs in two stages

1.1 Stage One: Intention of Submission

The candidate must submit a notice of intention for evaluation of the Doctor of Philosophy by Thesis and Publication Route, using the IPS/Exam-01:T&P Form, 6 months before the submission of the 10 copies of the thesis. Only the School/Centre can determine whether a candidate is able to use this method through a Special Panel of Assessors.

Procedure for Submission is as follows:

- *Candidate fills up Form IPS/Exam-01:T&P and submits to his supervisor for endorsement;*
- *Supervisor endorses and submits Form IPS/Exam-01:T&P to the School/Centre's Assistant Registrar;*
- *The application is presented at the School/Centre's Board which will select a Special Evaluation Committee (SEC) to:*
 - *decide on the integrity of the application;*
 - *evaluate the published works; and*
 - *decide on the competence of the candidate in terms of the techniques covered in the thesis.*
 - *The candidate may be requested to make a presentation to prove that the body of work has an acceptable contribution to the field and that the methodologies are appropriate.*
- *The members of the SEC are*
 - i) Dean (Chairperson);*
 - ii) Members of the School/Centre's Postgraduate Studies Committee;*
 - iii) Supervisor;*
 - iv) Two members (within or outside the School/Centre) elected by the School/Centre's Board who are experts in the field.*
- *Upon approval by the SEC, the application will be submitted to the MPSU for endorsement based on the report and recommendations by the SEC.*

1.2 Stage Two: The Examination

- *One External Examiner and One Internal Examiner;*
- *Panel of Examiners for Viva Voce that includes:*
 - *Chairman [Deputy Vice-Chancellor(Academic and International Affairs)/Dean of IPS/Professor];*
 - *Dean of School/Centre or representative;*
 - *External Examiner;*
 - *Internal Examiner;*
 - *Supervisor;*
 - *Co-Supervisor;*
 - *Assistant Registrar.*
- *The panel is also valid for candidates who are staff of USM;*
- *The candidate can be required to present his/her research log book.*

2. Guidelines on Documentation

2.1 Stage One: Submission of the Form IPS/Exam-01:T&P to the School/Centre Special Evaluation Committee must be supported with the following documents:

- *Critical Review for the submission by this route;*
 - *Publications*
 - *At least three referred publications in listed journals as determined by the respective schools/centres of study; and for the Arts Field, one publication in a referred journal and two publications as listed by the respective schools/centre of study.*
- and*

- *A Statement about Joint Authorship.*

Stage Two: *The final document which is to be sent to the Examiners must contain all the documents described below which are to be bound together.*

- *Thesis/Dissertation;*
- *Publications; and*
- *A Statement about Joint Authorship.*

2.2 Description of Documentation

a. Critical Review: Stage One Only

A statement (1000 words) presenting the case for the submission of a Doctor of Philosophy by Thesis and Publication Route. The statement must demonstrate the interrelationship between the publications and the research work carried out and how it contributes to the field of study.

Thus the statement must contain/demonstrate:

- *that the work is original and has significant contribution to knowledge;*
- *a chronology of the published works and a summary of each publication submitted;*
- *a synthesis of the work as demonstrated in the publications including an outline of the interrelationship between each publication and the body of text in the thesis; thus presenting the entire document as an integrated whole; and*
- *an outline to show how the published works integrate to contribute to the given research area.*

b. Thesis

The thesis to be submitted consists of published works and a text comprising of between 25,000 to 40,000 words. The text must integrate the collection of published and unpublished works (if relevant) based on a strong common theme and contextualised by a coherent narrative which also critically appraises the publications submitted.

c. Publications

List of Published Works

A list of published works in journals as identified by the School/Centre must be submitted together with Form IPS/Exam-01:T&P. Documents to be submitted to the School/Centre SEC are

- *The criteria for publications are as follows:*
 - *Published work that are in public domain and does not include publications with restricted circulation;*
 - *Publications or proof of acceptance for publication (e.g. "in press");*
 - *Publications must be based on research carried out whilst the candidate is registered with the university;*
 - *Reviews and conference papers/proceedings are NOT acceptable; and*
 - *Based on a Publication List for T & P Doctor of Philosophy Award, which is developed and endorsed by the respective School/Centre's Board;*
- *Submissions from the Science and Technology based Schools/Centres (see List 1) must contain at least 3 interrelated peer reviewed journal articles on works carried out principally by the candidate;*
- *Submissions from the Arts based Schools/Centres (see List 2) must contain at least 1 peer reviewed journal article and 2 major articles which are interconnected on works carried out principally by the candidate;*

- *A comment on the standing of the journals and the reception of the publications as indicated by citations and book reviews if relevant; and*
- *An undertaking that the publications have not been submitted previously as part of a degree.*

d. A Statement about Joint Authorship

- *The candidate must identify the principal authors and describe fully his/her own contribution in each publication submitted. The contribution by the candidate can be assessed by his/her input in the:*
 - i) design of the investigation;*
 - ii) conduct of the research;*
 - iii) analysis of the outcome; and*
 - iv) preparation of the manuscript for the publication.*

There must be unanimous agreement amongst all co-authors regarding the contributions by the candidate and the statement must be endorsed by the supervisor and all the co-authors.

3. Format of Thesis

- *Abstract: Bahasa Malaysia and English*
- *Introduction and Literature Review:*
This section should present the published work in the context of the existing literature and should evaluate the contribution of the research in the submitted publications made to the advancement of the research area. It should also contain the problem statement and objectives of the submitted work as a whole.
- *Materials and Methods of Published and Unpublished Work:*
One of the difficulties faced by Examiners in evaluating a submission by this route is that the publications may not contain sufficient detail for a critical appraisal to be made. Thus, evidence on the robustness of the work and details of the methodology employed in conducting the research MUST be presented.
- *Results and Discussion:*
Unpublished Work (if relevant)
- *Integrated Conclusion:*
This chapter must introduce the aims and hypothesis of each publication and then thematically links the unpublished work with the published work into a cohesive body of work, followed by a discussion and conclusion of the work.
- *Bibliography*
- *Appendix:*
Must contain all raw research data.

4. Role of Supervisor

A candidate for a Doctor of Philosophy by Thesis and Publication Route will require the support of his/her Main Supervisor in writing the thesis. The supervisor is encouraged to

- *guide the candidate on the publications for inclusion in the submission;*
- *advise the candidate on the preparation of the Critical Review and Thesis; and*
- *guide the candidate to ensure coherence of the body of work.*

5. Examination

5.1 Examination Process

There will be one Internal and one External Examiner and there is a compulsory oral examination (viva voce).

5.2 Role of Examiners

The number of examiners is one External Examiner and one Internal Examiner and there is a compulsory viva voce. The Examiners' main tasks are to

- evaluate the quality of the work embodied in the thesis and publication;*
- establish that the text in the thesis is integrated with the publications presented;*
- assess the contribution to knowledge of the thesis and publications;*
- evaluate the methodology by which the research was conducted;*
- ensure that the publications are within the timeframe and facilities available of the candidature period; and*
- assess the candidate's contribution in the case of multiauthored works.*

The Senate has also agreed that the current thesis submission regulations apply in the event that a candidate fails to satisfy the examiners.