

Staff Undertaking Doctoral Qualification Policy

Approved at University Research & Innovation Committee 16th November 2017

Background

Against the University's Strategy2020 objective to grow academic reputation, the University has set an internal KPI target of 70% for the proportion of academic staff in possession of a PhD (or equivalent qualification) by 2020.

Further, in academic year 2015/16, the University launched a new academic appointment and promotion framework, with generic academic role profiles created, which saw the introduction of a new essential criteria of PhD qualification (or equivalent) at appointment or promotion to grade 6, academic lecturer.

The University is dedicated to achieving the 'academic staff with PhD' target by applying the University's recruitment and selection process against the new essential criterion for PhD. However, in line with the University's values and enablers, it is also committed to supporting its existing staff, who do not yet hold a PhD (or equivalent level qualification) to undertake and complete successfully within the required timeframe where appropriate.

This policy has been created to ensure that staff are supported to complete their PhD in a fair and consistent manner, across all six Schools and in line with University values.

Context

There are three possible routes for academics to become qualified to Doctoral level. Standard PhD, PhD by Publication or a DBA/Professional Doctorate.

The most appropriate route will vary between individuals and disciplines. If an academic is already research-active but simply does not have a PhD, then a PhD by publication would be the best route due to the length of time to (1 year), however it does require the applicant to have a

body of research publications (normally at least 6 high quality research outputs).

If the academic plans to undertake their research in relation to business, including the business of the University, then the DBA would be the appropriate route to take. Due to the nature of the DBA, the length of the programme is 4 years part-time.

If the academic has no or very little experience of research then the standard PhD would be appropriate as this is seen as a research training degree and is aimed at discipline-specific research topics. The PhD is 5 years part-time therefore is considered a major long-term commitment.

The expectation is that a full-time standard PhD should take three years to complete, whilst a part-time PhD takes five years.

Therefore, assuming that a full-time PhD student is contributing a normal working week to undertake the PhD (i.e. equivalent to a member of full-time (1FTE) academic staff working 35 hours per week), then for a member of staff to undertake a PhD on a part-time basis, we could expect them to require 0.6 FTE (~21 hours per week or 780 Academic Workload Framework (AWF) units), to complete within the expected five years.

The following calculation of research time allocation is based on an individual undertaking the standard PhD on a part-time basis over a five year period. An individual undertaking one of the other PhD routes should be apportioned the same allocation of research time on an annual basis, for the entire period of their PhD [whether that be one year (by publication); four years (by DBA/Prof Doc) or five years (standard PhD)]

Contribution of time to ensure successful completion (0.6 FTE)

Staff member contribution – own personal time (0.35 FTE)

As a commitment to undertaking the PhD, it is reasonable to expect that the member of staff would contribute a considerable portion (0.35 of the 0.6FTE required) from their own personal time, in order to complete successfully and within the expected five-year timeframe. This equates

to ~12.25 hours per week from personal time.

School Contribution - (0.25 FTE)

It is also reasonable to expect that the School contributes the remainder of the time (0.25 of the 0.6) for a period up to five years, to enable the staff member to complete the PhD successfully and thus contribute to the School and University's key performance measures. This equates to ~8.75 hours per week and in effect, means that the staff member is working for the School at 0.75 FTE for the five-year period it takes to complete their PhD.

Proposed Breakdown of School Contribution – (0.25 FTE)

In the Academic Workload Framework (AWF), each member of academic staff is allocated 65 units (**0.05 FTE**) for Scholarship. In the case of a member of staff undertaking a PhD, it would be reasonable to consider this scholarship allocation as contributing to the PhD.

Additionally, as an early career researcher, and in line with both the 'University's Research staff charter' and the 'guidelines for allocation of Napier-funded research time', it is reasonable to expect that staff with research potential should receive at least **0.1 FTE** allocation of protected, uninterrupted, Napier-funded research time (formally referred to as-T stream), in exchange for a commitment against a set of research-specific deliverables (in case of staff undertaking a PhD, this would be satisfactory progress against the University's RD framework).

The remaining **0.1 FTE** contribution should come from the School in the form of staff development in support of the subject area/ discipline in which the PhD topic is being conducted.

Model for successful completion of five-year part-time PhD:

0.6FTE (21 hrs per week) =

**0.35 FTE - Staff members' own personal time
(12.25 hrs per week)**

+

**0.25 FTE - School contributed time*
(8.75 hrs per week)**

**School contribution is made up of:*

0.1 FTE (3.5 hrs) Napier-funded research time

0.1 FTE (3.5 hrs) Staff development time

0.05 FTE (1.75 hrs) Scholarly activity time

Financing a part-time PhD – Annual Fees

If a member of staff is enrolled on an Edinburgh Napier delivered research degree, it is suggested that the annual part-time enrolment fee should be waived in its entirety for the full five-year period, by the School. This is on the basis that the PhD completion will add value to the overall quality of the school (research and teaching) and to the University's Research Excellence Framework submission through research degree figures, within the research environment component of the submission.

For staff members undertaking a research degree which is delivered by another institution, the staff member is normally responsible for the annual fee in its entirety for the full five years. There may be exceptions, at the discretion of the Dean of School, under which the School would consider contribution to the fees.

Continuation of Support / Review Process

Continuation of support will be reviewed annually on the basis of satisfactory progression through the PhD against the usual measures, as outlined in the University Research Degree Framework. Staff undertaking PhDs are also subject to the normal performance mechanisms.

Staff are encouraged to complete their PhD in as short a timescale as possible and certainly within the maximum five-year expected period.

It is the responsibility of the Director of Research to monitor funding and time allocations within the School to support the appropriate number of staff undertaking PhDs at any one time.

Directors of Research should also consider this policy alongside the 'guidelines for allocation of research time', to ensure that the School does not exceed the allowance of annual Napier-funded research time

allocations available in any given year.

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