MANUAL OF ACADEMIC REGULATIONS

AND PROCEDURES 2023-24

POSTGRADUATE RESEARCH REGULATIONS

(APPLICABLE FROM OCTOBER 2023)

Academic Quality, Standards and Conduct

Student and Education Services

MARP 2023-24

CONTENTS

PR 1 RESEARCH AWARDS 3

PR 2 PHD REGULATIONS 3

PR 2.1 CRITERIA FOR THE AWARD 3
PR 2.2 REGISTRATION PERIOD 5
PR 2.3 SCHEDULE OF WORK 5
PR 2.4 PROGRESSION REQUIREMENTS 6
PR 2.5 CONFIRMATION OF PHD STATUS 7
PR 2.6 SUBMISSION OF THESIS 9
PR 2.7 FORMAT OF THESIS 9
PR 2.8 EXAMINATION 10
PR 2.9 EXAMINATION OUTCOMES 10
PR 2.10 DISAGREEMENT BETWEEN EXAMINERS ON FIRST SUBMISSION OF THESIS 12
PR 2.11 RESUBMISSION 12
PR 2.12 DISAGREEMENT BETWEEN EXAMINERS UPON THESIS RESUBMITTED 13

PR 3 MPHIL REGULATIONS 14

PR 3.1 CRITERIA FOR THE AWARD 14
PR 3.2 REGISTRATION PERIOD 14
PR 3.3 SCHEDULE OF WORK 15
PR 3.4 PROGRESSION REQUIREMENTS 15
PR 3.5 SUBMISSION OF THESIS 16
PR 3.6 FORMAT OF THESIS 16
PR 3.7 EXAMINATION 17
PR 3.8 EXAMINATION OUTCOMES 17
PR 3.9 DISAGREEMENT BETWEEN EXAMINERS ON FIRST SUBMISSION OF THESIS 18
PR 3.10 RESUBMISSION 19
PR 3.11 DISAGREEMENT BETWEEN EXAMINERS UPON THESIS RESUBMITTED 19
PR 3.12 TRANSFER OF REGISTRATION FROM MPHIL TO PHD 20

PR 4 LLM/MA/MSC BY RESEARCH REGULATIONS 21

PR 4.1 CRITERIA FOR THE AWARD 21
PR 4.2 REGISTRATION PERIOD 21
PR 4.3 SUBMISSION OF DISSERTATION 22

PR 4.4 CONSIDERATION OF RESULTS BY BOARDS OF EXAMINATION 22

PR 5 APPOINTMENT OF EXAMINERS (ALL RESEARCH DEGREES)..... 24

PR 5.1 GENERAL REQUIREMENTS 24

PR 5.2 EXTERNAL EXAMINERS: ELIGIBILITY AND APPOINTMENT 24

PR 5.3 INTERNAL EXAMINERS: ELIGIBILITY AND APPOINTMENT 24

PR 5.4 CONFLICTS OF INTEREST 25

PR 6 POSTHUMOUS AWARDS (PHD AND MPHIL AND MASTERS BY RESEARCH)..... 25

APPENDICES TO THE POSTGRADUATE RESEARCH REGULATIONS 27

APPENDIX 1: DEFINITIONS OF POSTGRADUATE RESEARCH AWARDS 27

APPENDIX 2: THE FORM, SUBMISSION AND DEPOSIT OF THESES 29

APPENDIX 3: REGULATIONS FOR SPECIFIC DOCTORAL AWARDS OR PROGRAMMES..... 35

APPENDIX 4: FRAMEWORK FOR THE RESEARCH DEGREE VIVA 45

APPENDIX 5: ONLINE VIVA VOCE EXAMINATIONS 53

MARP 2023-24
POSTGRADUATE RESEARCH REGULATIONS

PR 1 RESEARCH AWARDS

PR 1.1 The University currently offers the following awards (see Appendix 1 of these Regulations for definitions of these awards):

Doctor of Science/Letters (DSc/DLitt)

Doctor of Philosophy (PhD - via publication, single volume or multi-part thesis, including European, integrated and professional variants)

Doctor of Clinical Psychology (DClinPsy)

Doctor of Engineering (EngD)

Doctor of Management (DMgt)

Doctor of Medicine (MD)

Master of Philosophy (MPhil)

Master of Arts, Law or Science by Research (LLM/MA/MSc by Research)

Master of Research (MRes) (*see below*)

PR 1.2 The University categorises the Master of Research (MRes) as a postgraduate research degree award. Such programmes are, however, governed by the regulations for postgraduate taught programmes for the purposes of assessment and classification, and as such the MRes is included within the Postgraduate Taught Assessment Regulations.

PR 2 PHD REGULATIONS

[*Unless otherwise specified in Appendix 3:* Regulations for Specific Doctoral Awards or Programmes*, the following regulations for the award of PhD also apply to other doctoral awards.*]

PR 2.1 CRITERIA FOR THE AWARD

PR 2.1.1 The degree shall be awarded on the examination of a thesis embodying the results of a candidate's research, and on an oral examination. The nature of the student's research programme should be on a scale which should be completed during three years, or at most four years, of full-time study or equivalent. In addition the candidate may be required to undertake such other tests as the examiners may decide.

PR 2.1.2 A successful candidate for the degree of PhD shall show convincing evidence of the capacity to pursue scholarly research or scholarship in their field of study on a scale which should be completed during three years of full-time research. The results of this research shall then be embodied in a thesis which makes an original contribution to knowledge and the completed thesis must contain material of a standard appropriate

for scholarly publication. The thesis shall comply with the requirements for the form, submission and deposit of theses.

PR 2.1.3 A successful candidate for the degree of PhD should be able to demonstrate:

(a) an ability to conceptualise, design and implement a major project for the generation of significant new knowledge, applications and/or understanding, using appropriate concepts and methods, where necessary adapting these to meet unforeseen issues;

(b) a systematic acquisition of, and insight into, a substantial body of knowledge including the primary literature in their particular area of interest;

(c) an ability to relate theory and concepts to evidence in a systematic way and to draw appropriate conclusions based on the evidence;

(d) critical investigation of their research topic resulting in the creation and interpretation of knowledge which extends the forefront of their discipline through original research;

(e) a detailed understanding of, and ability to use, applicable techniques for research and advanced inquiry in their field;

(f) that they can make informed judgements on complex issues in their field, often in the absence of complete data;

(g) that the research is of publishable quality and is of a standard which satisfies peer review;

(h) that they are competent as an independent researcher in their discipline and capable of continuing to undertake research at an advanced level, contributing substantially to the development of new techniques, ideas or approaches;

(i) an understanding of the place of the research in the wider context;

(j) an ability to recognise the limitations of the research undertaken and to be able to suggest ways of overcoming these in future research;

(k) an ability to write clearly and effectively and to meet approved criteria for formal presentation of a written thesis;

(l) the qualities and transferable skills necessary for employment requiring personal responsibility and autonomous initiative in complex and often unpredictable situations;

(m) the ability to communicate their ideas and conclusions clearly and effectively to specialist and non-specialist audiences.

PR 2.2 REGISTRATION PERIOD

PR 2.2.1 For full-time students the minimum period of registration for the degree shall normally be thirty-six calendar months from the date of commencement of studies to the date of submission of the thesis. The maximum period of registration shall be forty-eight months. Full-time students may, with the approval of the body or officer with delegated authority from Senate, be permitted to register for a shorter period, as proposed by the admitting department. A shorter period of registration, which may in no case be for a period of less than twelve months, may be justified by recognising the applicant's attainment in original research prior to application and not otherwise accredited for a degree already awarded. Normally an extension beyond the maximum period of registration will not be permitted, but can be at the discretion of the body or officer with delegated authority from Senate.

PR 2.2.2 For part-time students the minimum period of registration for the degree shall normally be forty-eight calendar months from the date of commencement of studies to the date of submission of the thesis. The maximum period of registration shall be eighty-four months. Part-time students may, with the approval of the body or officer with delegated authority from Senate, be permitted to register for a shorter period, as proposed by the admitting department. A shorter period of registration, which may in no case be for a period of less than twenty-four months, may be justified by recognising the applicant's attainment in original research prior to application and not otherwise accredited for a degree already awarded. Normally an extension beyond the maximum period of registration will not be permitted, but can be at the discretion of the body or officer with delegated authority from Senate.

PR 2.2.3 Where a student changes mode of study, the duration of their remaining study will be calculated using a full-time study to part-time study ratio of 1:1.75, rounding up to the nearest month.

PR 2.2.4 In the event of an extension request being refused, PGR students have the right to appeal to the relevant faculty Associate Dean with a final appeal to the University Academic Dean.

PR 2.3 SCHEDULE OF WORK

PR 2.3.1 Upon registration each student will be assigned a minimum of one main supervisor, who will normally be part of a supervisory team.

PR 2.3.2 The nature of the student's research programme should be on a scale which should be completed during three years, or at most four years, of full-time study or equivalent.

PR 2.3.3 The supervisor(s) and student should agree a realistic completion timetable which will enable the student to produce a thesis of the required standard within the stipulated time-scale. The supervisor(s) and student will agree milestones throughout this schedule against which progress will be monitored. Progress is monitored through appraisal meetings between the supervisor(s) and student. Further details of the appraisal process may be found in the University's Code of Practice on Postgraduate Research Programmes.

PR 2.4 PROGRESSION REQUIREMENTS

Year 1 (year 2 part-time)

PR 2.4.1 Within the first six months all research students must fulfil the following, or an equivalent, process:

(a) attend an approved induction programme;

(b) carry out an approved development needs analysis (DNA) or equivalent in consultation with their supervisors, and keep a record of agreed follow-up to the DNA;

(c) take the appropriate research training activities, informed by the DNA as guided by their supervisors;

(d) complete a research proposal or plan of work which the supervisors approve as appropriate and viable;

(e) agree a projected completion timetable with their supervisors; and

(f) any additional requirements to meet the particular needs of the individual awards.

PR 2.4.2 Any research student who does not demonstrate satisfactory progress during the first six months full-time should be: carefully monitored and supported, informed about any reasons for concern, set objectives, and their progress reviewed before the twelve month deadline. If their progress is still not satisfactory they will be referred to the Standing Academic Committee by the academic department with a recommendation for exclusion from the programme. Students who have been excluded for failing to make satisfactory progress may appeal against the exclusion under the Academic Appeals procedures as defined in the chapter on Academic Appeals.

PR 2.4.3 Confirmation of PhD status, where appropriate, may be conferred at this stage in accordance with the procedures (see PR 2.5 below).

Years 2 to 4 (or part-time equivalents)

PR 2.4.4 Continued registration of each research student in years 2, 3 and 4 on standard PhD programmes is conditional upon agreed criteria including:

(a) submission of an appraisal (progress) report, involving input from the student, supervisors and department;

(b) evidence, confirmed in the appraisal (progress) report, that the student has:

(i) attended the annual faculty-based progress briefing session;

(ii) reviewed/revised their DNA;

(iii) completed the agreed research training;

(iv) been offered adequate supervision (as outlined in the University's Code of Practice for Research students), accepted it, and attended supervisory sessions;

(v) agreed a realistic completion timetable with their supervisors;

(vi) demonstrated sufficient progress with their research/thesis; and

(vii) any additional requirements previously agreed.

PR 2.4.5 Where students fail to meet the criteria for continued registration they will be referred to the Standing Academic Committee by the academic department with a recommendation for exclusion from the programme. Students who have been excluded for failing to make satisfactory progress may appeal against the exclusion under the procedures for Academic Appeals as defined in the chapter on Academic Appeals.

PR 2.4.6 During the first six months of the second year (or part-time equivalents) any student whose PhD registration has not yet been confirmed will be referred to the PhD Confirmation Panel (see PR 2.5.3 below).

PR 2.5 CONFIRMATION OF PHD STATUS

PR 2.5.1 Each programme/department shall publish clear information for students, approved by faculty, on the procedures for confirmation of PhD. A student supervised in more than one department shall follow the procedures used by the administrating department. The make-up of confirmation panels should be approved by the HoD or nominated deputy with suitable regard to avoid conflict of interest and the relevant experience and nature of the academic contract of the nominated panellists.

PR 2.5.2 The published procedures should include details of:

(a) membership of the panel;

(b) volume, level and type of work to be submitted as evidence to the panel and justified in terms of the nature of the PhD to be awarded;

(c) normal expected period in which a student should expect to have their PhD registration status confirmed, bearing in mind the mode of study, periods of suspension and any other relevant factors; and

(d) a maximum of two attempts is available fora student to be considered for confirmation of PhD status;

(e) the expectations of each panellist (supervisor, if present; chair, if present; confirmation panellists) in terms of their input and approach;

(f) information on which forms or procedures need to be completed and followed pre panel and post panel;

(g) how support for the student will be assessed.

While programmes/departments have some discretion in determining the above, where there is deviation from the following guidance, this must be explicitly approved by faculties:

(a) if, in exceptional circumstances, a confirmation panellist is also nominated as thesis internal examiner, the HoD or nominated deputy, in signing off the thesis supervisor form, must consider that there is no material advantage or disadvantage to this for the student and the existing form will need to be changed to reflect this;

(b) there should be at least one independent panellist (i.e. neither a supervisor or a member of staff currently acting as part of a student's supervisory panel);

(c) where a supervisor is present for the confirmation panel, at least part of the panel discussion should take place without the supervisory team to enable discussions around the suitability of the current supervisory approach;

(d) where a second confirmation panel is required for a candidate, this must be both independently chaired and recorded;

(e) as with viva recordings, recordings are only available to students in case of appeal.

The first panel can either be recorded or independently chaired (i.e. the chair cannot be part of the panel making the confirmation decision). Where there is no separate chair, one of the panellists should take on the role of the chair. Where a recording is being used, students should be given the option to pause when they discuss their supervision experiences; this is also the case when supervisors discuss the candidate if the candidate is not present.

PR 2.5.3 The PhD confirmation panel:

(a) must normally be held no later than eighteen months after initial registration (twenty-four months for part-time) or entry into the research phase of a PhD with a previous taught component. Where this does not take place, an alert is sent to the Head of Department or nominated representative via the appraisal system, with due regard to the student's mode of study (i.e. on a blended learning programme or not). If the panel is held within twelve months of registration then the report of the panel should replace the first year's annual review report. Where the student's confirmation panel takes place more than twenty-four months (thirty-six months part-time) after initial registration they are liable for fees for a further twelve months from the date of the panel (pro rata for part-time students);

(b) must see and approve evidence that the student has attended induction, carried out the Development Needs Analysis (DNA), attended the agreed research training, has a viable research proposal, and has a completion timetable approved by their supervisors;

(c) must be able to confirm that the student's work is of appropriate quality and standard, and the project is viable within the registration period, on the basis of draft chapters and/or evidence of data gathered; and

(d) will have four possible recommendations – confirm as PhD; continue as a probationary PhD student; transfer to MPhil; exclusion.

PR 2.5.4 Students not successful in receiving confirmation of PhD status may appeal against the recommendation under the procedures for Academic Appeals as defined in the chapter on Academic Appeals.

PR 2.6 SUBMISSION OF THESIS

PR 2.6.1 The decision to submit a thesis for examination is taken by the student, although the opinion of the supervisor should be considered.

PR 2.6.2 A candidate shall make a declaration that the thesis is their own work and has not been submitted by this candidate in substantially the same form for the award of a higher degree elsewhere. Any sections of the thesis which have been published, or submitted for a higher degree elsewhere, shall be clearly identified. If the thesis is, in whole or in part, the result of joint research, a statement indicating the nature of the candidate's contribution to that research shall be included, confirmed by either the supervisor(s), or the principal author of the material(s) accepted for publication.

PR 2.7 FORMAT OF THESIS

PR 2.7.1 A thesis for the degree of PhD shall not normally exceed 80,000 words (see Appendix 2 for full details of specific material to be included and excluded within the word count). A candidate, with the support of their supervisor, may apply for exceptional permission to exceed the word limit, which approval may be granted by the body or officer with delegated authority from Senate.

PR 2.7.2 The thesis shall be written in English. A candidate, with the support of their supervisor and Head of Department, may apply for exceptional permission to present the thesis in whole or in part in another language, and approval may be granted by the body or officer with delegated authority from Senate.

PR 2.7.3 Where agreed, a candidate for the degree of PhD may submit the thesis in any of the following formats:

(a) single volume written thesis;

(b) multi-part thesis comprised of articles or papers; and

(c) multimodal thesis comprised of written, and practical and/or creative elements.

See Appendices 2 and 3 for further details and regulations relating to these formats.

Note: having received agreement to submit with a specific format, a student cannot opt to subsequently switch between formats without having first secured further agreement from their academic department.

PR 2.7.4 A copy of any thesis relating to the award of a research degree made by Lancaster University must be deposited with the University at the prescribed time. For details on the format of submission, see Appendix 2.

PR 2.8 EXAMINATION

PR 2.8.1 Examiners (including at least one External Examiner) shall be appointed by the body or officer with delegated authority from Senate on the nomination of the department(s) concerned (see PR 5: Appointment of Examiners (All Research Degrees)). Two External Examiners shall be appointed for theses submitted by candidates who qualify for remission of fees as members of staff, unless in exceptional circumstances the body or officer with delegated authority from Senate decides otherwise. The candidate's supervisor shall not act as an examiner.

PR 2.8.2 Each examiner shall report independently on the thesis before the oral, or any other examination required by the examiners, takes place and submit the report to the University prior to the examination. All examiners shall participate in the oral examination. The examiners may, at their discretion, invite the student's supervisor to be present at the oral examination. After the oral examination, each examiner shall report on the examination and make a recommendation based on both the report on the thesis and on the evidence from the oral, and any other examinations that have taken place.

PR 2.9 EXAMINATION OUTCOMES

PR 2.9.1 The examiners shall make one of the following recommendations. Where a time period is specified for undertaking additional work on the thesis, this will commence from the date of notification of the decision by Student and Programme Administration.

(a) That the degree of PhD be **awarded immediately**: a pass with no corrections.

(b) That the degree of PhD be **awarded immediately**: a pass with *very* minor corrections, i.e. typographical or presentational corrections only. The candidate is to make the very minor corrections required within one month prior to submission of the final version of the thesis and there is no requirement for these to be approved by the internal or the external examiner.

(c) That the degree of PhD be **awarded subject to** *minor* amendments being made within three months. 'Minor amendments' refers to e.g. a number of significant stylistic errors such as needing to clarify or rephrase points, or add/edit blocks of text. There will be no requirement to conduct further research or to undertake substantial further work. The amendments must be approved by the internal examiner. A second oral examination is not required.

(d) That the degree of PhD be **awarded subject to** *major* amendments being made within six months: there is a requirement for significant further work, but there is not a requirement for a second oral examination. Changes may include, but are not limited to: the addition of substantial new material; rewriting and editing sections of the thesis; re-analysis of existing data. The amendments must be approved by *either* the internal examiner *or* the internal and the

external examiner, as agreed by the examiners. A second oral examination is not required.

(e) That the degree of PhD should not be awarded but that the candidate should be permitted to **revise and resubmit** the thesis within twelve months for the degree of PhD: the requirements for the degree of PhD have *not* been met. Changes may include, but are not limited to: extensive rewriting and editing sections of, or the whole of, the thesis; carrying out further research and/or experimental work. The revisions must be approved by both the internal and the external examiner. There is an expectation that a second viva will be held but the examiners can *exceptionally* discount this where they are satisfied that it is not necessary.

(f) That the degree of MPhil be **awarded immediately**: the requirements for the degree of PhD have *not* been met but the requirements for the MPhil have been met, with no or *very* minor corrections, i.e. typographical or presentational corrections only. The candidate is to make very minor corrections, if required, within one month prior to submission of the final version of the thesis and there is no requirement for these to be approved by the internal or the external examiner.

(g) That the degree of MPhil be **awarded subject to** *minor* amendments being made within three months: the requirements for the degree of PhD have *not* been met but the requirements for the MPhil have been met with minor amendments, e.g. a number of significant stylistic errors such as needing to clarify or rephrase points, or add/edit blocks of text. There will be no requirement to conduct further research or to undertake substantial further work. The amendments must be approved by the internal examiner. A second oral examination is not required.

(h) That the candidate be permitted to **revise and resubmit** the thesis within twelve months for the degree of MPhil: the requirements for the degree of PhD have *not* been met but the candidate is permitted to submit a revised thesis for the lower award. Changes may include, but are not limited to: extensive editorial corrections and revisions; rewriting a part, parts, or the whole of the thesis; carrying out further research or experimental work. The revisions must be approved by both the internal and the external examiner. The examiners will determine if a second oral examination is required.

PR 2.9.2 Outcomes (f), (g) and (h) above are not available for the DClinPsy and MD programmes.

PR 2.9.3 Students may appeal against the outcome of the examination under the procedures for Academic Appeals as defined in the chapter on Academic Appeals.

PR 2.9.4 Students given the opportunity to make corrections or amendments shall normally be given only one opportunity to make the changes required as specified by the examiners.

PR 2.9.5 Examiners' reports and recommendations will be considered by the body or officer with delegated authority from Senate on behalf of the Committee of the Senate.

PR 2.10 DISAGREEMENT BETWEEN EXAMINERS ON FIRST SUBMISSION OF THESIS

PR 2.10.1 If there is no unanimity among the recommendations from the examiners of the thesis at the first submission the following procedure shall be adopted.

PR 2.10.2 In the first instance, Student and Programme Administration shall consult with the examiners to see whether an agreed recommendation can be drawn up.

PR 2.10.3 If agreement is not achieved, the body or officer with delegated authority from Senate may at their discretion appoint one or more additional external examiners or may determine other action as appropriate. Any additional examiners shall be informed that the examiners appointed initially have submitted conflicting recommendations but shall not be told the identity of these examiners nor their specific recommendations. Unless the additional examiners recommend that the candidate pass, a further oral examination must be held. The student's supervisor or the departmental tutor for research students shall attend this examination as an observer.

PR 2.10.4 A recommendation (see the list of recommendations at PR 2.9.1) based on the reports from all of the examiners shall be made by the body or officer with delegated authority from Senate to the Committee of Senate. If this recommendation is for re-submission of the thesis it shall include the nomination of the panel of examiners for the resubmitted thesis.

PR 2.11 RESUBMISSION

Resubmission for the degree of MPhil

PR 2.11.1 After examination of the resubmitted thesis the examiners shall, after holding an oral examination if they wish, recommend one of the following recommendations:

(a) That the degree of MPhil be **awarded immediately**: a pass, with no or *very* minor corrections, i.e. typographical or presentational corrections only. The candidate is to make very minor corrections, if required, within one month prior to submission of the final version of the thesis and there is no requirement for these to be approved by the internal or the external examiner.

(b) That no award be made.

A student is not entitled to a second oral defence; this is at the discretion of the examiners.

PR 2.11.2 Students may appeal against the outcome of the examination under the procedures for Academic Appeals as defined in the chapter on Academic Appeals.

Resubmission for the degree of PhD

PR 2.11.3 After examination of the resubmitted thesis, which may include a second oral examination if the examiners require it, the examiners shall make one of the recommendations (a), (f), (g) and (h) listed at PR 2.9.1, except that under (h) the time limit is six months rather than twelve months; or they shall recommend that no award be made.

A student is not entitled to a second oral defence; this is at the discretion of the examiners.

PR 2.11.4 Students may appeal against the outcome of the examination under the procedures for Academic Appeals as defined in the chapter on Academic Appeals.

Resubmission for the degree of DClinPsy/MD

PR 2.11.5 After examination of the resubmitted thesis, which may include a second oral examination if the examiners require it, the examiners shall make one of the following recommendations:

(a) That the degree be **awarded immediately**: a pass with no or *very* minor corrections, i.e. typographical or presentational corrections only. The candidate is to make very minor corrections, if required, within one month prior to submission of the final version of the thesis and there is no requirement for these to be approved by the internal/external examiners.

(b) That no award be made.

A student is not entitled to a second oral defence; this is at the discretion of the examiners.

PR 2.11.6 Students may appeal against the outcome of the examination under the procedures for Academic Appeals as defined in the chapter on Academic Appeals.

PR 2.12 DISAGREEMENT BETWEEN EXAMINERS UPON THESIS RESUBMITTED

PR 2.12.1 The body or officer with delegated authority from Senate shall consider each case where the examiners of a resubmitted thesis are unable (after attempts have been made to reconcile their views) to reach an agreed recommendation. They shall have discretion to determine an appropriate course of action, including if necessary the appointment of an additional external examiner.

PR 2.12.2 The following procedure shall be followed when the body or officer with delegated authority from Senate appoints an additional examiner for a resubmitted thesis.

PR 2.12.3 The additional examiner shall make an independent report on the resubmitted thesis.

PR 2.12.4 If the additional external examiner or the candidate so requests, an oral examination shall be arranged after that examiner has submitted their report on the thesis. The previous examiners of the thesis shall not be invited to attend but the student's supervisor shall be required to be present as an observer.

PR 2.12.5 The additional external examiner shall make one of the recommendations listed at PR 2.11.3, taking into account the candidate's performance at an oral examination if one has been held.

PR 2.12.6 The body or officer with delegated authority from Senate shall consider the reports of all examiners on the resubmitted thesis, the examiners' final recommendations and the

results of any oral examination held and, in the light of these, shall decide its recommendation to the Committee of the Senate.

PR 3 MPHIL REGULATIONS

PR 3.1 CRITERIA FOR THE AWARD

PR 3.1.1 The degree shall be awarded on the examination of a thesis embodying the results of the candidate's research, and on an oral examination. The work for the degree shall consist mainly of research and directed study; the candidate may in addition be required to undertake coursework, and the award of the degree may be conditional on satisfactory performance in this coursework.

PR 3.1.2 A successful candidate for the degree of MPhil shall display a convincing grasp of the techniques of research appropriate to the field of study on a scale which can be completed during two years, or at most three years, of full-time study or equivalent. The thesis embodying the results of the research shall demonstrate evidence of originality, at least in the exercise of an independent critical faculty, and shall achieve a high standard of competence in argument and presentation. The thesis shall comply with the requirements for the form, submission and deposit of theses.

PR 3.2 REGISTRATION PERIOD

PR 3.2.1 For full-time students the minimum period of registration for the degree shall normally be twenty-four calendar months from the date of commencement of studies to the date of submission of the thesis. The maximum period of registration shall be 36 months. Full-time students may, with the approval of the body or officer with delegated authority from Senate or nominee, be permitted to register for a minimum period of less than twenty-four months but in no case less than twelve months. Full-time students may, with the approval of Student and Programme Administration, be permitted to extend registration for a further twelve months. Normally an extension beyond the maximum period of registration will not be permitted.

PR 3.2.2 For part-time students the minimum period of registration for the degree shall normally be thirty-six calendar months from the date of commencement of studies to the date of submission of the thesis. The maximum period of registration shall be 60 months. Part-time students may, with the approval of the body or officer with delegated authority from Senate or nominee, be permitted to register for a minimum period of less than thirty-six months but in no case less than twenty-four months. Part-time students may, with the approval of Student and Programme Administration, be permitted to extend registration for a further twelve months. Normally an extension beyond the maximum period of registration will not be permitted.

PR 3.2.3 For students registered as full-time the maximum period shall be thirty-six months and for those registered as part-time the maximum period shall be sixty months. The Head of the admitting Department may recognise all or part of a period of study for the degree of LLM, MA, MBA, MMus, MSc, MRes, or PhD in this University, or for an appropriate higher degree in another University, as counting towards the total period for the degree of MPhil. Such recognition shall not, however, be granted if the higher degree has already been awarded.

PR 3.2.4 Where a student changes mode of study, the duration of their remaining study will be calculated using a full-time study to part-time study ratio of 1:1.5, rounding up to the nearest month.

PR 3.2.5 In the event of an extension being refused, PGR students have the right to appeal to the relevant faculty Associate Dean with a final appeal to the University Academic Dean.

PR 3.3 SCHEDULE OF WORK

PR 3.3.1 Upon registration each student will be assigned a minimum of one main supervisor, who will normally be part of a supervisory team.

PR 3.3.2 The nature of the student's research programme should be on a scale which should be completed during two years, or at most three years, of full-time study or equivalent.

PR 3.3.3 The supervisor(s) and student should agree a realistic completion timetable which will enable the student to produce a thesis of the required standard within the stipulated time-scale. The supervisor(s) and student will agree milestones throughout this schedule against which progress will be monitored.

PR 3.4 PROGRESSION REQUIREMENTS

Year 1 (year 2 part-time)

PR 3.4.1 Within the first six months all research students must fulfil the following, or an equivalent process:

(a) attend an approved induction programme;

(b) carry out an approved development needs analysis (DNA) or equivalent in consultation with their supervisors, and keep a record of agreed follow-up to the DNA;

(c) take the appropriate research training activities, informed by the DNA as guided by their supervisors;

(d) complete a research proposal or plan of work which the supervisors approve as appropriate and viable;

(e) agree a projected completion timetable with their supervisors; and

(f) any additional requirements to meet the particular needs of the individual awards.

PR 3.4.2 Any research student who does not demonstrate satisfactory progress during the first six months full-time should be: carefully monitored and supported, informed about any reasons for concern, set objectives, and their progress reviewed before the twelve month deadline. If their progress is still not satisfactory they will be excluded from the programme. Students who have been excluded for failing to make satisfactory progress may appeal against the exclusion under the procedures for Academic Appeals as defined in the chapter on Academic Appeals.

PR 3.4.3 Where work is deemed to be of sufficient merit a recommendation may be put to the body or officer with delegated authority from Senate that the student's registration be transferred from MPhil to a doctoral programme in which case the transfer procedure will apply (see below).

PR 3.5 SUBMISSION OF THESIS

PR 3.5.1 The decision to submit a thesis for examination is taken by the student, although the opinion of the supervisor should be taken into account.

PR 3.5.2 A candidate shall make a declaration that the thesis is their own work, and has not been submitted by this candidate in substantially the same form for the award of a higher degree elsewhere. Any sections of the thesis which have been published, or submitted for a higher degree elsewhere, shall be clearly identified. If the thesis is, in whole or in part, the result of joint research, a statement indicating the nature of the candidate's contribution to that research shall be included, confirmed by either the supervisor(s), or the principal author of the material(s) accepted for publication.

PR 3.6 FORMAT OF THESIS

PR 3.6.1 A thesis for the degree of MPhil shall not normally exceed 60,000 words (see Appendix 2 for full details of specific material to be included and excluded within the word count). A candidate, with the support of their supervisor, may apply for exceptional permission to exceed the word limit, which approval may be granted by the body or officer with delegated authority from Senate.

PR 3.6.2 The thesis shall be written in English. A candidate, with the support of their supervisor and Head of Department, may apply for exceptional permission to present the thesis in whole or in part in another language, which approval may be granted by the body or officer with delegated authority from Senate

PR 3.6.3 A candidate for the degree of MPhil may apply to submit the thesis in a format other than the single volume format; one such example being a series of related articles suitable for journal publication - see Appendix 1 and Appendix 3 for further details on this format). Such an application shall:

(a) be in accordance with the department's published guidelines on thesis submissions, which must have been approved in advance by the faculty committee responsible for postgraduate provision;

(b) be submitted as part of the procedure for the Recommendation for the Appointment of Examiners for Research Degrees. A candidate may make only one such application, which shall be made no earlier than twelve months after initial registration for full-time MPhil (twenty-four months part-time), and must be made prior to the appointment of examiners;

(c) be supported by the supervisor(s) and Head of Department to confirm:

(i) the design of the thesis format;

(ii) that the thesis format is more appropriate for the research project; and

(iii) that the applicant is distinguished by their intellectual capacity and possession of the skills necessary to take full advantage of the thesis format.

Note: supervising departments are encouraged to seek, where practicable, the advice of the External Examiner(s) with respect to the thesis format proposed;

(d) be approved by the body and officer with delegated authority from Senate (with the exception of the format which comprises a series of related articles suitable for journal publication). Such approval shall be granted only in advance of thesis submission. The withholding of approval shall be deemed an academic judgement.

PR 3.6.4 A copy of any thesis relating to the award of a research degree made by Lancaster University must be deposited with the University at the prescribed time. For details on the format of submission see Appendix 2.

PR 3.7 EXAMINATION

PR 3.7.1 Examiners (including at least one external examiner) shall be appointed by the body or officer with delegated authority from Senate on the nomination of the department(s) concerned. Two external examiners shall be appointed for theses submitted by candidates who qualify for remission of tuition fees as members of staff, except where the body and officer with delegated authority from Senate determines otherwise. The candidate's supervisor shall not act as an examiner.

PR 3.7.2 Each examiner shall make an independent report on the thesis. These reports shall be written before any oral or any other examination required by the examiners takes place and submitted to Student and Programme Administration prior to the examination. All examiners shall participate in any oral examination. Each examiner shall then make a recommendation based on both the report on the thesis and on the evidence from the oral examination. The examiners may at their discretion invite the student's supervisor to be present at the oral examination.

PR 3.7.3 An oral examination is required. The examiners shall have discretion whether or not to hold an oral examination on a resubmitted thesis.

PR 3.8 EXAMINATION OUTCOMES

PR 3.8.1 The examiners shall make one of the following recommendations:

(a) That the degree of MPhil be **awarded immediately** with no or *very* minor corrections, i.e. typographical or presentational corrections only. The candidate is to make very minor corrections, if required, within one month prior to submission of the final version of the thesis and there is no requirement for these to be approved by the internal/external examiners.

(b) That the degree of MPhil be **awarded subject to** *minor* corrections being made within three months. 'Minor corrections' refers to, e.g. a number of significant stylistic errors such as needing to clarify or rephrase points, or add/edit blocks of text. There will be no requirement to conduct further research or to undertake

substantial further work. The corrections must be approved by the internal examiner. A second oral examination is not required.

(c) That the degree of MPhil be **awarded subject to** *major* corrections being made within six months: there is a requirement for significant further work, but there is not an automatic requirement for a second oral examination. Changes may include, but are not limited to: the addition of substantial new material; rewriting and editing sections of the thesis; re-analysis of existing data. The corrections must be approved by *either* the internal examiner *or* the internal and external examiner, as agreed by the examiners. There is an expectation that a second viva will be held but the examiners can *exceptionally* discount this where they are satisfied that it is not necessary.

(d) That the degree of MPhil should not be awarded but that the candidate should be permitted to **revise and resubmit** the thesis within twelve months for the degree of MPhil: the requirements for the degree of MPhil have not been met. Changes may include, but are not limited to: extensive rewriting and editing sections of, or the whole of, the thesis; carrying out further research and/or experimental work. The revisions must be approved by both the internal and the external examiner. There is an expectation that a second viva will be held but the examiners can *exceptionally* discount this where they are satisfied that it is not necessary.

(e) That no award be made.

PR 3.8.2 The award of MPhil with Distinction may be awarded.

PR 3.8.3 Students may appeal against the outcome of the examination under the procedures for Academic Appeals as defined in the chapter on Academic Appeals.

PR 3.8.4 Students given the opportunity to make corrections or amendments shall normally be given only one opportunity to make the changes required as specified by the examiners.

PR 3.8.5 Examiners' reports and recommendations will be considered by the body and officer with delegated authority from Senate on behalf of the Committee of the Senate.

PR 3.9 DISAGREEMENT BETWEEN EXAMINERS ON FIRST SUBMISSION OF THESIS

PR 3.9.1 If there is no unanimity among the recommendations from the examiners of the thesis at the first submission the following procedure shall be adopted.

PR 3.9.2 In the first instance, the Head of Assessment, Awards and Timetabling shall consult with the examiners to see whether an agreed recommendation can be drawn up.

PR 3.9.3 If agreement is not achieved, the body and officer with delegated authority from Senate may at their discretion appoint one or more additional external examiners or may determine other action as appropriate. Any additional examiners shall be informed that the examiners appointed initially have submitted conflicting recommendations but shall not be told the identity of these examiners nor their specific recommendations. Unless the additional examiners recommend that the candidate pass, a further oral

examination must be held. The student's supervisor or the departmental tutor for research students shall attend this examination as an observer.

PR 3.9.4 A recommendation (see recommendations listed at PR 3.8.1) based on the reports from all of the examiners shall be made by the body or officer with delegated authority from Senate to the Committee of the Senate. If this recommendation is for re-submission of the thesis it shall include the nomination of the panel of examiners for the resubmitted thesis.

PR 3.10 RESUBMISSION

PR 3.10.1 The examiners shall, after holding an oral examination if they wish, make one of the following recommendations:

(a) That the degree of MPhil be **awarded immediately** with no or *very* minor corrections, i.e. typographical or presentational corrections only. The candidate is to make very minor corrections, if required, within one month prior to submission of the final version of the thesis and there is no requirement for these to be approved by the internal or the external examiner.

(b) That no award be made.

A student is not entitled to a second oral defence; this is at the discretion of the examiners.

PR 3.10.2 Students may appeal against the outcome of the examination under the procedures for Academic Appeals as defined in the chapter on Academic Appeals.

PR 3.11 DISAGREEMENT BETWEEN EXAMINERS UPON THESIS RESUBMITTED

PR 3.11.1 The body and officer with delegated authority from Senate shall consider each case where the examiners of a resubmitted thesis are unable (after attempts have been made to reconcile their views) to reach an agreed recommendation. They shall have discretion to determine an appropriate course of action, including if necessary the appointment of an additional external examiner.

PR 3.11.2 The following procedure shall be followed when the body or officer with delegated authority from Senate appoints an additional examiner for a resubmitted thesis.

PR 3.11.3 The additional examiner shall make an independent report on the resubmitted thesis.

PR 3.11.4 If the additional external examiner or the candidate so requests, an oral examination shall be arranged after that examiner has submitted their report on the thesis. The previous examiners of the thesis shall not be invited to attend but the student's supervisor shall be required to be present as an observer.

PR 3.11.5 The additional external examiner shall make one of the recommendations listed at PR 3.10.1, taking into account the candidate's performance at an oral examination if one has been held.

PR 3.11.6 The body or officer with delegated authority from Senate shall consider the reports of all examiners on the resubmitted thesis, the examiners' final recommendations and the results of any oral examination held and, in the light of these, shall decide its recommendation to the Committee of the Senate.

PR 3.12 TRANSFER OF REGISTRATION FROM MPHIL TO PHD

PR 3.12.1 Students who are initially registered for an MPhil and who wish to transfer their registration to PhD shall follow the established procedures. Departments and faculties shall publish clear information for students on these procedures for upgrading from MPhil to PhD. A student supervised in more than one department shall follow the procedures used by the administrating department.

PR 3.12.2 The procedures shall include details of:

(a) membership of the panel;

(b) volume, level and type of work to be submitted as evidence to the panel;

(c) normal expected period in which a student should expect to transfer their registration, bearing in mind the mode of study, periods of suspension and any other relevant factors; and

(d) number of times a student may attempt to transfer their registration (normally a maximum of two attempts).

PR 3.12.3 The transfer of registration panel:

(a) must normally be held no later than eighteen months after initial registration (twenty-four months for part-time); if the panel is held within twelve months of registration then the report of the panel should replace the first year's annual progress report. Where the student's transfer panel takes place more than twenty-four months (thirty-six months part-time) after initial registration they are liable for fees for a further twelve months from the date of the panel;

(b) must see and approve evidence that the student has attended induction, carried out the Development Needs Analysis (DNA), attended the agreed research training, has a viable research proposal, and has a completion timetable approved by their supervisors;

(c) must be able to confirm that the student's work is of appropriate quality and standard, and the project is viable within the registration period, on the basis of draft chapters and/or evidence of data gathered; and

(d) will have two possible recommendations – transfer to PhD registration status; continue as a probationary MPhil student.

PR 3.12.4 Students who are not permitted to transfer to PhD may appeal against the recommendation under the procedures for Academic Appeals as defined in the chapter on Academic Appeals.

PR 4 LLM/MA/MSC BY RESEARCH REGULATIONS

PR 4.1 CRITERIA FOR THE AWARD

PR 4.1.1 The degree shall be awarded on the examination of a dissertation embodying the results of the candidate's research. An oral examination will also be required. The work for the degree shall consist mainly of research and directed study; the candidate may in addition be required to undertake coursework, and the award of the degree may be conditional on satisfactory performance in this coursework.

PR 4.1.2 A successful candidate for the degree of LLM/MA/MSc by Research shall display a convincing grasp of the techniques of research appropriate to the field of study on a scale which can be completed during one year, or at most two years, of full-time study or equivalent. The dissertation embodying the results of the research shall demonstrate evidence of originality, at least in the exercise of an independent critical faculty, and shall achieve a good standard of competence in argument and presentation. The dissertation shall comply with the requirements for the form, submission and deposit of MPhil theses except that the dissertation should not normally exceed 35,000 words (including any footnotes and appendices but excluding the bibliography.

PR 4.2 REGISTRATION PERIOD

PR 4.2.1 For full-time students the minimum period of registration for the degree shall normally be twelve calendar months from the date of commencement of studies to the date of submission of the dissertation. Full-time students may, with the approval of Student and Programme Administration, be permitted to extend registration for a further twelve months. Normally an extension beyond that period will not be permitted.

PR 4.2.2 For part-time students the minimum period of registration for the degree shall normally be twenty-four calendar months from the date of commencement of studies to the date of submission of the dissertation. Part-time students may, with the approval of the body or officer with delegated authority from Senate or nominee, be permitted to register for a minimum period of less than twenty-four months but in no case less than twelve months. Part-time students may, with the approval of Student and Programme Administration, be permitted to extend registration for a further twelve months. Normally an extension beyond that period will not be permitted.

PR 4.2.3 For students registered as full-time the maximum period shall be twenty-four months and for those registered as part-time the maximum period shall be thirty-six months. Any extension of the maximum period must be approved by Student and Programme Administration after consideration of evidence of the student's progress submitted by the department concerned. For both full- and part-time students the absolute maximum period shall not exceed forty-eight months. The body or officer with delegated authority from Senate may recognise all or part of a period of study for the degree of LLM, MA, MBA, MMus, MSc, MRes, MPhil, or PhD in this University, or for an appropriate degree in another university, as counting towards the total period for the degree of MA/MSc by Research. Such recognition shall not, however, be granted if the higher degree has already been awarded.

PR 4.2.4 In the event of an extension being refused, PGR students have the right to appeal to the relevant faculty Associate Dean with a final appeal to the University Academic Dean.

PR 4.3 SUBMISSION OF DISSERTATION

PR 4.3.1 A candidate must make a declaration that the dissertation is their own work, and has not been submitted in substantially the same form for the award of a higher degree elsewhere. Any sections of the dissertation which have been published, for a higher degree elsewhere, shall be clearly identified. If the dissertation is the result of joint research, a statement indicating the nature of the candidate's contribution to that research, confirmed by the supervisor(s), shall be included.

PR 4.4 CONSIDERATION OF RESULTS BY BOARDS OF EXAMINATION

PR 4.4.1 Examiners (including at least one External Examiner) shall be appointed by the body and officer with delegated authority from Senate on the nomination of the department(s) concerned. Two External Examiners shall be appointed for a dissertation submitted by a candidate who qualifies for remission of tuition fees as a member of staff, except where the body or officer with delegated authority from Senate determines otherwise. The candidate's supervisor shall, where practicable, not act as an examiner. When a supervisor is appointed as an examiner, an additional examiner (internal or external) shall be appointed unless, in exceptional circumstances, the body or officer with delegated authority from Senate decides otherwise.

PR 4.4.2 Each examiner shall make an independent report in the dissertation. These reports shall be written before any oral or any other examination required by the examiners takes place and submitted to Student and Programme Administration prior to examination. All examiners shall participate in any oral examination. Each examiner shall then make a recommendation based on both the report on the dissertation and on the evidence from any examinations which may have been held. The examiners may at their discretion invite the student's supervisor to be present at any oral examination.

PR 4.4.3 An oral examination is required.

PR 4.4.4 Following the oral examination, the examiners shall make one of the following recommendations:

(a) That the degree of LLM/MA/MSc by Research be **awarded immediately** with no or *very* minor corrections, i.e. typographical or presentational corrections only. The candidate is to make very minor corrections, if required, within one month prior to submission of the final version of the thesis and there is no requirement for these to be approved by the internal or the external examiner.

(b) That the degree of LLM/MA/MSc by Research be **awarded subject to** *minor* corrections being made within one month. 'Minor corrections' refers to e.g. a number of significant stylistic errors such as needing to clarify or rephrase points, or add/edit blocks of text. There will be no requirement to conduct further research or to undertake substantial further work. The corrections must be approved by the internal examiner. A second oral examination is not required.

(c) That the degree of LLM/MA/MSc by Research be **awarded subject to** *major* corrections being made within three months: there is a requirement for significant further work, but there is not an automatic requirement for a second oral examination. Changes may include, but are not limited to: the addition of substantial new material; rewriting and editing sections of the dissertation; re-analysis of existing data. The corrections must be approved by *either* the internal examiner *or* the internal and external examiner, as agreed by the examiners. There is an expectation that a second viva will be held but the examiners can *exceptionally* discount this where they are satisfied that it is not necessary.

(d) That the degree of LLM/MA/MSc by Research should not be awarded but that the candidate should be permitted to **revise and resubmit** the dissertation within six months for the degree of LLM/MA/MSc by Research: the requirements for the degree of LLM/MA/MSc by Research have *not* been met. Changes may include, but are not limited to: extensive rewriting and editing sections of, or the whole of, the thesis; carrying out further research and/or experimental work. The revisions must be approved by both the internal and the external examiner. There is an expectation that a second viva will be held but the examiners can *exceptionally* discount this where they are satisfied that it is not necessary.

(e) That no award be made.

PR 4.4.5 The degree of LLM/MA/MSc by Research may be awarded with Distinction.

PR 4.4.6 Following resubmission, the examiners shall recommend either:

(a) That the degree of LLM/MA/MSc by Research be **awarded immediately**: a pass, with no or *very* minor corrections, i.e. topographical or presentational corrections only. The candidate is to make very minor corrections, if required, within one month prior to submission of the final version of the dissertation and there is no requirement for these to be approved by the internal/external examiners.

(b) That no award be made.

PR 4.4.7 Examiners' reports and recommendations will be considered by the body or officer with delegated authority from Senate.

PR 4.4.8 Students may appeal against the outcome of the examination under the procedures for Academic Appeals as defined in the chapter on Academic Appeals.

PR 4.4.9 In the case of a disagreement between examiners a decision (see recommendations listed at PR 4.4.4) will be taken by the body or officer with delegated authority from Senate. If this decision confirms the recommendation that no degree be awarded the student may appeal under the Academic Appeals procedures as defined in the chapter on Academic Appeals.

PR 5 APPOINTMENT OF EXAMINERS (ALL RESEARCH DEGREES)

PR 5.1 GENERAL REQUIREMENTS

PR 5.1.1 All research students, whether studying towards the MPhil or PhD, submit a thesis for examination which is assessed by examiners appointed specifically according to the student's area of study. As well as the assessment of the work itself, all PhD, MPhil and MA/MSc by Research students undergo an oral examination.

PR 5.1.2 There shall always be at least one internal examiner and one external examiner. If a student has had a connection with the department or university beyond that of being a research student, i.e. as a member of staff or a research assistant, then a second external examiner is required. If a suitable internal examiner cannot be found or if only the supervisor would be suitable, then a second external examiner would also be required.

PR 5.2 EXTERNAL EXAMINERS: ELIGIBILITY AND APPOINTMENT

PR 5.2.1 The external examiner shall normally be a senior academic from another institution qualified to assess the thesis within its own field and to compare its quality with work of MPhil/PhD standard at other British universities although where appropriate an examiner from outside the university sector may be appointed.

PR 5.2.2 All external examiner(s) shall:

(a) be competent in the area of work being examined;

(b) be experienced in research, including having published;

(c) be experienced in the examination of research students.

PR 5.2.3 Where it is deemed to be appropriate to appoint an examiner from outside the university sector, the person nominated must have an understanding of the examination process, and if they have not previously examined a research student, then the internal examiner must be widely experienced as an examiner.

PR 5.2.4 The University shall appoint appropriate external examiners on the nomination of heads of departments and subject to approval by the body or officer with delegated authority from Senate on behalf of the Committee of Senate.

PR 5.3 INTERNAL EXAMINERS: ELIGIBILITY AND APPOINTMENT

PR 5.3.1 Internal examiners shall be members of staff from either the same department or an area cognate to the student's field of research. Where the internal examiner is not an expert in the precise field of research they shall be acquainted with the broad area within which it falls. In addition, the internal examiner should normally hold a degree at least equivalent to that for which the student is being examined, and should be experienced in research. Lancaster University *Guidance for the Examination of Research Degrees* is available online. The Guidance confirms that the internal examiner must be and be seen to be independent; and thus wherever practicable they should not have

played any significant role in either the supervision of the student or the assessment of the student during their studies.

PR 5.4 CONFLICTS OF INTEREST

PR 5.4.1 The student's supervisor should not normally act as the internal examiner. If the supervisor has to act as internal examiner, then an additional examiner (internal or external) shall be appointed.

PR 5.4.2 An external examiner shall not normally have any conflict of interest when appointed.

Examples of conflicts of interest to avoid include external examiners who:

(a) have had any previous specific contact with the student;

(b) have been a former member of Lancaster's staff or have had a formal connection with the student's department within the last five years;

(c) have been a student of Lancaster University or one of its collaborative partners within the last five years;

(d) have examined more than four Lancaster University research students within the last five years;

(e) be a close relative or be otherwise closely connected with any other party to the examination;

(f) have co-authored or held a research grant with a supervisor of the student being examined within the last five years.

Where a department identifies circumstances which might be perceived to be a conflict of interest, they are encouraged to contact their Quality Assurance and Enhancement Manager for further advice.

PR 6 POSTHUMOUS AWARDS (PHD AND MPHIL AND MASTERS BY RESEARCH)

PR 6.1 A recommendation may be made to the body or officer with delegated authority from Senate for the award of a posthumous degree to PhD, MPhil and Masters by Research candidates.

PR 6.2 If the candidate died after the thesis had been submitted but before the oral examination had taken place the following procedures should be followed:

(a) Examiners must be nominated and the thesis assessed in the usual way.

(b) The Examiners are required to report independently on the thesis and submit their reports to the University.

(c) The supervisor/s and other members of the supervisory team are required to confirm that the work is the candidate's own.

(d) The Examiners, on the basis of the evidence available and their judgement on the standard of the thesis and the work represented therein, shall make one of the following recommendations:

(i) that the degree of PhD be awarded;

(ii) that the degree of MPhil be awarded (PhD and MPhil candidates);

(iii) that the degree of Masters by Research be awarded

(iv) that no award be made.

(e) No corrections need be made to the thesis and it should be marked as having been assessed posthumously.

(f) The Examiners' reports and recommendations will then be considered by the body or officer with delegated authority from Senate, on behalf of the Committee of the Senate, who shall decide upon the outcome.

PR 6.3 If the candidate died after the oral examination but before any required corrections or resubmission could be undertaken the following procedures should be followed:

(a) The Examiners, on the basis of the oral examination and their judgement on the standard of the thesis and the work represented therein, shall make one of the following recommendations:

(i) that the degree of PhD be awarded;

(ii) that the degree of MPhil be awarded (PhD and MPhil candidates);

(iii) that the degree of Masters by Research be awarded;

(iv) that no award be made.

(b) No corrections need be made to the thesis.

(c) The Examiners' reports and recommendations will then be considered by the body or officer with delegated authority from Senate, on behalf of the Committee of the Senate, who shall decide upon the outcome.

APPENDICES TO THE POSTGRADUATE RESEARCH REGULATIONS

APPENDIX 1: DEFINITIONS OF POSTGRADUATE RESEARCH AWARDS

1. **Doctor of Science or Letters (DSc/DLitt)**

An award available to Lancaster members of staff already in receipt of a doctorate award and who have demonstrated an outstanding contribution to the creation of knowledge.

2. **Doctoral level awards**

(a) Doctor of Philosophy (PhD)

A doctoral-level award, normally assessed through a research thesis and oral defence. There are agreed variants to the body of work to be assessed:

Single-volume written thesis

A stand-alone written thesis based on original extended research, normally not exceeding 80,000 words in length.

Multi-part thesis comprised of papers or articles

A thesis based on original research and comprised of papers or articles suitable for publication. At the time of thesis deposit, the component parts of a multi-part thesis may be already submitted for publication, published, or accepted for publication.

Multimodal thesis

A thesis comprised of practical or creative elements together with an interdependent written component.

European Doctorate

A doctoral programme involving an element of study in another European Union country and study in another European language.

Integrated PhD

A doctorate comprising a mixture of taught elements and a dissertation.

Professional PhD

A doctoral-level qualification involving a thesis with formal professional engagement through placement or other arrangement.

PhD by Publication

A doctoral-level award comprising an assessment of a candidate's published works within a related field of study.

Specific assessment regulations for these awards are detailed in Appendix 3 of the Postgraduate Research Regulations.

(b) Named doctorates

Doctor of Clinical Psychology (DClinPsy)

A professional doctorate offered in collaboration with the NHS which comprises taught elements with a dissertation and integrated supervised practical experience.

Doctor of Engineering (EngD)

A professional doctorate offered in nuclear engineering comprising a thesis with formal industrial placements.

Doctor of Management (DMgt)

A professional doctorate taken within the management profession comprising taught elements with a thesis.

Doctor of Medicine (MD)

A professional research doctoral programme taken within the medical profession.

3. **Masters level awards**

Master of Philosophy (MPhil)

A Masters-level qualification undertaken entirely by research and assessed on the production of a thesis. The thesis will constitute a less substantial body of work than for the PhD in terms of either range, depth, originality of concept, or a mixture thereof. Work will be considered as to whether it has achieved a minimum Level 7 standard (Masters level) in the Framework for Higher Education Qualifications, although aspects will likely achieve the standard for doctoral work.

Master of Arts or Science by Research (MA/MSc by Research)

A Masters-level qualification in either an arts or science-based discipline undertaken entirely by research.

Master of Research (MRes)

A Masters-level qualification involving taught elements, a dissertation and formal research training.

APPENDIX 2: THE FORM, SUBMISSION AND DEPOSIT OF THESES

Application

1. This appendix sets out the prescribed form for the submission for examination, and the deposit of the final version of research theses at Lancaster University. In the case of programmes where submission takes a form other than, or includes work additional to that described below, the presentation of submissions shall be subject to guidance prepared by the relevant faculty or department.

2. The following rules shall apply to theses submitted for all doctoral degrees, the MPhil degree and the LLM/MA/MSc by Research degrees. They do not apply to dissertations submitted as part of a taught Masters programme (which includes the MRes). Students registered on taught Masters programmes are advised to seek early advice from their department on departmental requirements for the presentation of dissertations.

Form of the thesis: Length, presentation and layout

Standard length of thesis

3. A thesis for the degree of LLM/MA/MSc by Research shall not normally exceed 35,000 words. A thesis for the degree of MPhil shall not normally exceed 60,000 words. A thesis for the degree of PhD shall not normally exceed 80,000 words. Included in the word length are the main text of the thesis, footnotes[1], data and text incorporated into diagrams, tables or figures. Excluded from the word length is the material preceding the main text of the thesis, (e.g. the title page, contents and abstract), citations, and the material following the main text of the thesis (e.g. the appendices, and the list of references and/or the bibliography). Candidates shall make a declaration of the word length of the thesis and confirm that it does not exceed the permitted maximum.

4. Theses submitted for a PhD undertaken by coursework and thesis or in fulfilment of an Integrated PhD programme shall not normally exceed 70,000 words.

5. For multimodal theses for the degrees of MPhil and PhD, word length requirements may vary from those specified above. Candidates are directed to departmental information for the multimodal thesis requirements for each programme.

Exceptional permission to exceed the word length

6. Candidates may apply for exceptional permission to exceed the maximum permitted word limit. An explanation as to why the thesis exceeds the permitted limit must be provided, and the case must be supported by the supervisor(s). Approval to exceed the limit is given by the body or officer with delegated authority from Senate. The Approval for Submission of an Over-length Thesis form should be completed and returned to Student and Programme

[1] Footnotes are to be included in the word count if they contain substantive argument or commentary. Footnotes containing references and which substitute for a bibliography should be excluded from the word count.

Administration or by email to recordsenquiries@lancaster.ac.uk. If the thesis does exceed the permitted maximum, the declaration shall include confirmation that this has been formally approved.

Language

7. Theses shall be written in English save where, in exceptional circumstances, the Head of Department has given prior permission to present the thesis in another language and reported this approval to Student and Programme Administration. Citing references in another language is acceptable but where any material is quoted or where ideas or views are employed at length or in important respects to the argument of the thesis the student should provide or commission their own translation into English to sit alongside the original text.

Presentation of the written thesis elements

8. The written portion of the thesis should be presented as follows:

- To allow for printing and annotations which might be undertaken by an examiner at the examination stage or if the candidate wishes to have a copy bound for their individual use:
  - The page size should be A4 (210 x 297 mm)
  - Margins - top, bottom and right-hand side, should be 25 mm. The left-hand side margin should be 35 mm
  - Line spacing should be 1.5
- Formatting of the electronic document should adhere to the Lancaster University guidance on accessible documents and resources
- Font size may be smaller for legends, e.g. figure and table titles, and footnotes
- Candidates must avoid typographical, spelling and other minor errors. If any such errors are made, the candidate must correct them to the examiners' satisfaction before a degree is awarded.

Order of the thesis

9. The first page of the thesis should be the title page and should include:

- the author's full name, and, if desired, qualifications
- the full title of the thesis, and the subtitle, if any
- the total number of volumes if more than one and the number of the particular volume
- the degree for which the thesis is submitted (phrasing to be used: *This thesis is submitted for the degree of [xxxx])*
- the name of the University
- the name of the department, school or centre in which the research was conducted
- the month and year of submission

- Candidates may also include the logo[2] of a sponsoring organisation where this has been agreed with or requested by the sponsor.

The title page should be followed by:

- The abstract
  The abstract should not exceed 300 words and show the name of the author and the title of the thesis at the top. It should provide a synopsis of the thesis, stating the nature and scope of the work undertaken and the contribution made to knowledge in the subject treated
- The table of contents
  The author shall provide as an integral part of the thesis a comprehensive list of contents, with page numbers, including: preliminary pages, titles of chapters, sections and subsections; the list of abbreviations/glossary; any appendices; the bibliography/list of references comprehending all materials cited or referred to in the whole submission
- The list of tables (if required)
- The list of figures (if required)
- The acknowledgements page
- The author's declaration page (See Clause 13 below)
- The main body of the text (divided into chapters, sections, etc)
- The appendices (if required)
- Glossary and/or abbreviations (if required)
- The bibliography and/or references.

Citing references

10. A bibliographic reference should be given for every work, published or unpublished, in the work. The correct referencing style for the discipline should be applied consistently through the text. Candidates should seek advice from their supervisor on the most appropriate referencing system to use. The Library web page Referencing Guides includes general information and guidance on referencing styles.

Pagination

11. Pagination shall extend to the whole of each volume, including any diagrams, appendices, or other matter. Every page in the thesis (except the Title page) must be numbered. Page numbers should be centred at the bottom of each page. For material preceding the main body of the thesis, roman numerals may, if wished, be used. If chapters have numerical subdivisions these shall be recorded in the contents list.

[2] A logo in this context is a graphic mark, emblem, symbol or stylized name used to identify a sponsoring company or organization.

Submission of theses for examination

12. For examination, the candidate should submit one electronic copy in PDF format of the thesis, and any supplementary files, directly to Student and Programme Administration

13. **Author's declaration:** Candidates must make a declaration that the thesis is their own work and has not been submitted in substantially the same form for the award of a higher degree elsewhere. Any sections of the thesis which have been published, or submitted for a higher degree elsewhere, shall be clearly identified. If the thesis is the result of joint research, a statement indicating the nature of the candidate's contribution to that research, confirmed by the supervisor(s), shall be included.

Deposit of the final version of the thesis

14. Following examination and viva, and the approval of any necessary amendments or revisions required by the examiner(s), the final version of the thesis should be uploaded as a PDF file to the PURE portal (further guidance is available via the Library's Deposit Your Thesis webpage). A completed **Thesis Access Declaration Form** should be returned or emailed to Student and Programme Administration at the same time as the electronic copy is uploaded to PURE. Students may access a copy of the **Thesis Access Declaration Form** from the Deposit Your Thesis webpage. The **Thesis Access Declaration Form** grants the institutional repository a number of permissions and conditions with respect to online access to the work. If any subsidiary material owned by third party copyright holders has been included, candidates must declare on the form that, where necessary, permission has been sought and obtained to make it available in digital format; and, that included content does not break any UK law or infringe any third party's copyright or other Intellectual Property Right.

15. The degree shall not be awarded until: the thesis has been corrected or amended to the satisfaction of the examiners; a PDF file of the thesis has been uploaded to the PURE portal; a completed and signed copy of the **Thesis Access Declaration Form** has been forwarded to Student and Programme Administration.

16. More detailed information and guidance on thesis deposit procedures following examination and notification that the thesis has fulfilled the criteria for the degree to be awarded is available from the Library's webpage Deposit Your Thesis.

Embargoing access to the thesis

17. The candidate, in consultation with the supervisor and Head of Department, shall instruct Student and Programme Administration if the thesis is **not** to be made available immediately for general public use. The candidate shall request such an embargo via the **Thesis Access Declaration Form** which shall be submitted to Student and Programme Administration at the same time as the thesis is deposited in PURE. The request must be approved by the Head of Department who shall sign the form. The **Thesis Access Declaration Form** must be counter-signed by the Head of Student and Programme Administration for final approval. No thesis shall normally be withheld from public use for more than five years.

18. Further information on embargoing a thesis is available from the Library's webpage Deposit Your Thesis including guidance on reasons why it may be necessary to restrict access to a thesis.

19. The guide to uploading a thesis to PURE, available from the Deposit Your Thesis webpage, includes instructions for adding the embargo details to PURE.

Requirements

20. **Multi-part thesis comprised of papers and articles:** A thesis for which approval has been granted for submission in a multi-part format comprising a series of related articles suitable for journal publication shall include:

    (a) an introductory chapter covering the whole of the background and context of the research and demonstrating the overall unity of approach(es) and theme(s);

    (b) a final chapter summarising the achievements and conclusions of the whole of the research;

    (c) a full statement of authorship for each multi-authored publication, accompanied by written certification by the other authors of each publication of the proportion for which credit is due the candidate for carrying out the research and preparing the publication; and

    (d) where appropriate a consolidated bibliography, in addition to these elements as they appear in individual chapters.

    Note: a candidate may be advised to include a comprehensive methodology chapter, in addition to these elements as they appear in individual chapters. Further advice may be found in the guidelines published by the department of registration.

21. **PhD by coursework and thesis:** In respect of a thesis submitted under the regulations governing a PhD by coursework and thesis the wording of the cover page shall be: 'This thesis is submitted in partial fulfilment of the requirements for the degree of Doctor of Philosophy'.

22. **PhD by Published Work:** An electronic copy of all items submitted for the degree of PhD by Published Work shall be submitted to Student and Programme Administration for examination. This will include the full text of the publications included in the PhD and the supporting paper[3]. It is preferred that a single PDF file is submitted. Following examination, the final version including the full text of the publications and covering paper should be deposited in PURE. To deposit the published version of the publications, it is necessary to check the policy of the publishers of the publications that make up the thesis. If the publisher does not allow the published version of the full text to be deposited, it may be possible to deposit the 'author accepted manuscript'. Guidance on deposit for this type of doctorate is available from the Library. It is the responsibility of the student to check the publisher's policy regarding the inclusion of full text publications in the PhD.

23. **Multimodal PhD:** The components of multimodal theses may include, for example, art works, performances, collaborative projects, creative writing or similar elements. Specific

[3] Details on what must be included in the supporting paper are provided in Appendix 3 of these Regulations.

requirements for multimodal theses, including the format of non-written components and required word lengths/scope, will be provided by departments.

APPENDIX 3: REGULATIONS FOR SPECIFIC DOCTORAL AWARDS OR PROGRAMMES

PhD by coursework and thesis

1. Candidates shall register at the outset for a PhD qualification and undertake taught courses specified by the department of registration. Such courses shall normally be completed within twenty-four months of first registration.

2. To be eligible for confirmation of the PhD, the candidate shall:

   (a) submit for assessment in the taught courses, written work of which a proportion specified by the department shall be of publishable standard; and

   (b) satisfy a departmental exam board that they are academically capable of successfully completing a thesis.

   The rules for determining confirmation of the PhD on the basis of satisfactory coursework are specific to the individual programme. These rules are approved by the faculty and notified to the body or officer with delegated authority from Senate via Academic Quality, Standards and Conduct. The board may recommend one of the following:

   (c) that the candidate is eligible for their PhD registration to be confirmed, subject to submission of a satisfactory proposal for the thesis; or

   (d) that the candidate be invited to re-submit elements of coursework, to satisfy the requirement of (i) above, with one further opportunity for the PhD registration to be confirmed; or

   (e) that the candidate be invited to complete the requirements for examination for the award of MPhil.

   Note: in the event that the board recommends (e), the candidate shall be eligible to appeal.

3. A candidate in respect of whom the board has recommended (d) above, shall submit to a departmental panel normally within six calendar months from the date of notification of (c), a proposal for a thesis of up to 70,000 words. After consideration of the proposal, the panel may recommend one of the following:

   (a) that the candidate's registration for a PhD. be confirmed; or

   (b) that the candidate be invited to revise and re-submit the proposal with one further opportunity for the PhD to be confirmed; or

   (c) that the candidate be invited to complete the requirements for the award of MPhil.

   Note: in the event that the board recommends (c), the candidate shall be eligible to appeal.

4. A candidate who has satisfied the requirements is required to submit a thesis of normally not more than 70,000 words, within sixty calendar months of first registration for the PhD.

The dissertation shall be examined according to the normal regulations above. To be eligible for the award of the PhD, the thesis shall make an original contribution to knowledge and contain material of a standard appropriate for scholarly publication.

Integrated PhD programmes

5. A candidate shall register at the outset for a PhD with a minimum full-time registration period of forty-eight months and maximum of sixty months. Any extension of the maximum period must be approved by Student and Programme Administration after consideration of evidence of the student's progress submitted by the department concerned, up to an absolute maximum of eighty-four months.

6. A candidate shall undertake taught courses specified by the department of registration. Such courses shall normally be completed within twenty-four months of first registration and lead to the award of MRes.

7. Re-registration for the second year of study shall be contingent upon the recommendation of the department. Such recommendation shall be contingent upon:

   (a) successful completion of the specified taught courses, normally above the level of the minimum pass mark; and

   (b) confirmation that a suitable topic for research has been identified i.e. a topic for which the student is deemed eligible and for which the department can provide appropriate support and supervision.

8. In the absence of such a recommendation, the candidate shall withdraw from the programme. Students may appeal against this decision under the procedures for Academic Appeals.

9. To be eligible for confirmation of the PhD, normally after a minimum of twenty-four months from first registration, the candidate shall:

   (a) submit for assessment written work of which a proportion specified by the department shall be of an appropriate standard; and

   (b) satisfy a departmental exam board that they are academically capable of successfully completing a thesis.

10. The board may recommend one of the following:

    (a) that the candidate is eligible for confirmation of their PhD status, subject to submission of a satisfactory proposal for the thesis; or

    (b) that the candidate be invited to re-submit elements of written work to satisfy the requirement of (a) above, with one further opportunity to apply for confirmation of the PhD; or

    (c) that the candidate be invited to complete the requirements for examination for the award of MPhil.

Note: In the event that the board recommends (c), the candidate shall be eligible to appeal.

11. A candidate in respect of whom the board has recommended (i) above, shall submit to a departmental panel), normally within six calendar months from the date of notification of (i), a proposal for a thesis of up to 70,000 words. After consideration of the proposal, the panel may recommend one of the following:

    (a) that the candidate's registration for a PhD be confirmed, or

    (b) that the candidate be invited to revise and re-submit the proposal with one further opportunity to apply for a transfer of registration to PhD; or

    (c) that the candidate be invited to complete the requirements for the award of MPhil.

    Note: in the event that the board recommends (c), the candidate shall be eligible to appeal.

12. A candidate who has satisfied the requirements shall be required to submit a thesis of normally not more than 70,000 words. The thesis shall be examined according to the normal regulations. To be eligible for the award of the PhD, the thesis shall make an original contribution to knowledge and contain material of a standard appropriate for scholarly publication.

Multimodal research degrees

13. Subject to discussion and approval within departments, a candidate for the degree of PhD or MPhil may submit a multimodal thesis comprised of two components:

    (a) a written thesis; and

    (b) a substantial practical work (e.g. a theatrical production, installation, exhibition of work, recital, lecture-recital, or some other performative or participatory event, a play, a translation, a design, computer software, creative writing, a model or prototype, a series of conceptual works).

14. The practical and written components, which interdependently constitute the "thesis" as such, will be evaluated in relation to each other after the written component has been submitted.

15. The examiners will evaluate the practical and written components according to the extent to which they both respond to a single list of specific and explicit research questions which should be submitted prior to the presentation of the practical component.

16. The practical component must negotiate and articulate a response to the research questions through an appropriate level of skill in the manipulation of the materials of production or event. For the degree of PhD, the practical component, which can consist of a minor and a major submission, should normally be of an appropriate professional standard.

17 If the practical component involves the creation of a performance event/works or exhibition of work:

    (a) the board of examiners is required to attend the performance, event or exhibition;

(b) an audiovisual record of that event/work, or even live performances of that work on tour, will not be acceptable in *lieu* of a live performance or event at a designated venue unless the medium of audiovisual recording, the contingencies of touring, or the absence of locality, are factored into the research topic.

18. A permanent record of the practical component should normally be deposited with the written thesis in the University Library.

19. Just as the examiners can, according to the rules of the University, require the candidate to amend or revise a written thesis in part of in whole as a condition of an award, so they can also require the candidate to amend or revise the practical component in part or in whole, but only on the condition that they are not satisfied that any shortcomings in the practical submission can be compensated or accounted for in the written thesis. In such a case, the examiners should, wherever possible, set a cost-effective practical assignment that addresses their concerns rather than demand a revision of the original practical work in its entirety.

20. The written thesis must be of a quality commensurate with the usual standards set for MPhil or PhD, but need not be of the same length. Departments will advise each candidate on the exact *minimum* length of the written thesis. For a 50/50 split assessment the written thesis should not normally exceed 40,000 words for a PhD and 20,000 words for an MPhil (noting the word length inclusions and exclusions detailed in Appendix 2). In other cases (e.g. 70/30 thesis/practical split) the word count will be agreed by the supervisor, the appropriate transfer panel and the body or officer with delegated authority from Senate. The length of the written thesis should normally be agreed on a proportionate basis.

Doctor of Clinical Psychology (DClinPsy)

21. In addition to the normal requirements for admission and award, a candidate shall maintain throughout the period of study their registration with the British Psychological Society.

22. A candidate shall register at the outset for a DClinPsy qualification and undertake taught courses and clinical placements specified by the department of registration. Such courses shall normally be completed within thirty-six months of first registration.

23. Successful completion of each course and placement is both qualificatory and progressional. A candidate who fails to satisfy the requirements of the scheme of assessment within the specified opportunities for examination and re-examination shall be required to withdraw. Students may appeal against this decision under the procedures for Academic Appeals.

24. A candidate who successfully completes all the required courses and placements shall, normally by early June of the third year of study, submit for examination a dissertation. The dissertation shall not exceed 56,000 words in length, inclusive of references and appendices. A successful candidate for the degree of DClinPsy shall show convincing evidence of the capacity to pursue scholarly research or scholarship, the results of which shall be embodied in a dissertation which makes an original contribution to knowledge and contains material of a standard appropriate for scholarly publication. External examiners for the thesis will be competent in the area of clinical psychology being examined and may be engaged by the

University to examine up to four DClinPsy candidates per year over a maximum period of up to four years.[4]

Doctor of Medicine (MD)

25. Eligibility: the award of MD is at doctoral level, and shall normally be taken after a candidate can demonstrate suitable clinical experience as an element of the admissions process.

26. Level: the Lancaster MD shall be a research degree that contains research conducted at the doctoral level, both in terms of the publishable quality of research that is expected in the thesis, and when viewed alongside the QAA's FHEQ level descriptors. It shall be comparable in level to the Doctorate in Clinical Psychology (DClinPsy).

27. Content: the degree will be awarded for research by thesis or by publication. The thesis should contain original work of publishable quality, but not necessarily in a publishable format. An award based on published work (defined as papers produced during registration) will use the same criteria as the University's existing multi-part thesis format.

28. Duration: candidates will demonstrate, as an element of admissions, suitable prior experience in their chosen area of clinical study so as to be able to provide a basis for research equivalent to one-year of doctoral research; thereafter there will be a two-year minimum period of registration, full-time (or equivalent); exceptionally less for MD by published work.

29. Entry requirements: applicants must hold a medical or dental qualification which is recognised by the General Medical/Dental Council for the United Kingdom, shall have held this qualification for at least three years, by the date of submission, and shall be employed during their period of registration in appropriate clinical or scientific work in hospitals or institutions associated with the University.

30. Admission: The University shall only admit students for whom it is able to provide adequate and appropriate academic supervision. Each application shall be considered by an MD admissions panel, whose members shall include the potential supervisor(s) and the relevant head of department.

31. Initial registration: Students shall be initially registered for MSc by Research and the registration shall be transferred to MD on satisfactory completion of the first year, based on evidence of research performance commensurate with doctoral level of study, judged by a written report and a viva voce examination.

32. Supervision: Each student shall be allocated to a supervisor by the department, who shall normally be an academic member of staff of the University, and who shall carry out the normal duties of a supervisor. In addition the faculty shall, where appropriate, arrange for each student to have access to clinical supervision, normally through the clinical institution where the student is undertaking their research.

[4] The alternative arrangements for DClinPsy external examiner appointments shall be reviewed prior to the 2026/27 academic year to confirm continued suitability and effectiveness.

33. Research skills: Each student shall be provided with opportunities to develop generic research skills including taking appropriate postgraduate taught modules, which shall be defined by the principal supervisor in consultation with the student. This taught element shall not form part of the formal assessment for the award of MD.

Multi-part theses comprised of papers and articles

34. The candidate's department of registration shall maintain and provide guidelines on the multi-part format(s) judged appropriate to the discipline, for the information of students, supervisors and examiners. A department must obtain approval of its guidelines by the faculty committee responsible for postgraduate provision.

Notes:

(a) a candidate is encouraged to seek advice within their department of registration that the multi-part format is more appropriate for the research project and that they can take full advantage of the format;

(b) supervising departments are encouraged to seek, where practicable, the advice of the External Examiner(s) with respect to the format proposed; and

(c) the guidelines shall form the basis of agreement between the student, supervisor and head of department (or their nominee) on the multi-part format to be employed in the submission.

35. The thesis shall include original, researched materials, of which a significant proportion shall be derived from original research undertaken after the date of first registration.

Notes: it is anticipated that at the point of thesis submission materials be:

(a) already published; and/or

(b) accepted for publication; and/or

(c) submitted for publication in externally refereed contexts such as journals, conference proceedings and on-line sites, and may include materials which are solely and/or partly authored by the candidate.

It is not a requirement that all materials be published or accepted or submitted for publication, prior to the submission of the thesis for examination.

36. Examiners shall satisfy themselves that the thesis as a whole meets the criteria for award of the degree, as outlined above.

Notes: examiners:

(a) may wish to pay particular attention to satisfying themselves that of any multi-authored materials included, a significant proportion is the work principally of the candidate; and

(b) are reminded of the freedom to specify additional tests as part of the examination.

European Doctorate

37. The European Doctorate is a qualification that was created by the Confederation of EU Rectors' Conference (now the European University Association) and provides the opportunity to study for a qualification which meets the criteria which are commonly understood to be met in a doctorate, using examination procedures that are widely recognised across Europe, involving an ability to work in more than one language, and entailing periods of time spent working in institution across more than one EU member state.

38. The characteristics of the European Doctorate are those of the traditional Lancaster PhD with the following amendments.

    (a) The thesis should be reviewed by at least two academics from different higher education institutions in different EU countries, excluding the UK. At least one member of the exam board should come from an EU country other than the UK. In the Lancaster context, this requirement would most easily be implemented by having two External Examiners at the board from EU countries other than the UK.

    (b) Part of the defence must take place in one of the official languages of the EU other than English.

    (c) The thesis must have been prepared partly as a result of a research period of at least one term spent at an institution in an EU country other than the UK.

39. The European doctorate is available in any of the areas in which the PhD is currently available at Lancaster, and is offered under the title of European Doctorate in XXXX, with postnominal letters of PhD.

DSc and DLitt

40. To be eligible for the degree of Doctor of Science (DSc) or of Doctor of Letters (DLitt), candidates shall be either graduates of the University, or members of staff of the University, whose record of published work and research shows conspicuous ability and originality and constitutes a distinguished and sustained achievement.

41. Any person who wishes to be considered for the award of the degree of DSc/DLitt shall submit a formal written letter of application to the Head of Student and Programme Administration, stating in outline on what basis the award is sought and what evidence in support of the application is available. Such letters of application may be submitted at any time.

42. As soon as possible after the letter of application has been submitted, the Head of Student and Programme Administration, acting on the advice of the relevant faculty dean, shall recommend to the body or officer with delegated authority from Senate an appropriate senior academic member of staff of the University or equivalent with appropriate specialist knowledge of and expertise in the field, to consider the information supplied.

43. The member of staff appointed shall consider whether a *prima facie* case for formal examination exists and shall recommend either:

(a) that the application proceed, in which case the procedure to be followed is that specified below; or

(b) that the application is not suitable for examination, in which case the procedure to be followed is that specified below.

44. Where a recommendation for formal examination to proceed is made, the member of staff shall recommend persons who might be appointed as examiners. The body or officer with delegated authority from Senate, acting on behalf of the Committee of Senate on the advice of the Head of Student and Programme Administration, shall approve the appointment of not fewer that two independent External Examiners, with expertise in the field, one of whom shall be the lead examiner. The officer with delegated authority from Senate, or their nominee, shall act as the internal examiner.

45. The Head of Student and Programme Administration shall inform the applicant of the appointment of examiners, of what additional material in support of the application is required, and of the fee to be paid prior to the examination.

46. Where a recommendation is made that the application is not suitable for examination, the Head of Student and Programme Administration shall advise the candidate of this recommendation.

47. In such cases the candidate may:

(a) withdraw the application, whereupon no fee shall be payable;

(b) elect to proceed with the examination, and be liable for payment of the full fee, subject to confirmation by the Head of Student and Programme Administration that appropriate External Examiners are available and willing to act. In the absence of such confirmation the application will lapse.

PhD by Published Work

Award criteria

48. To be awarded a PhD by Published Work a candidate must show that their work makes a significant contribution to knowledge in a particular field. The publications must also provide evidence of the capacity of the candidate to pursue further research, representing a coherent contribution to research in a given field and demonstrating a depth of scholarship and originality comparable with that required in a PhD thesis. The material submitted shall be sufficiently extensive as to provide convincing evidence that the research constitutes a substantial contribution to knowledge or scholarship.

Admissions criteria

49. Candidates for the degree of PhD by submission of published work must be:

(a) members or past members of staff at Lancaster University or at one of Lancaster University's associated institutions (University of Cumbria, Blackburn College, and Blackpool and The Fylde College); or

(b) alumni of Lancaster University or of one of Lancaster University's associated institutions.

50. In order to be eligible for consideration, alumni must be graduates of at least five years' standing and have already obtained a Master's degree or show evidence of having received research training or equivalent experience. In exceptional circumstances, other candidates may also be considered.

Applications and registration

51. Applications may be made at any time. A letter of application should be accompanied by:

(a) a list of the publications to be submitted: these may include refereed articles, authored chapters, authored books, and edited works. They may not include course readers, internally published material or unpublished seminar/conference papers; and

(b) a supporting paper: this should summarise each publication submitted, outline their interrelationship, give a critical review of the current state of knowledge and research in the applicant's field and indicate how their work has contributed to the field. It should also comment on the standing of any journals and the reception of the publications as indicated by citations and reviews.

52. The candidate's application shall first be considered by either a Faculty's Associate Dean for Research or Postgraduate Studies (according to which officer has responsibility for PhD study), in consultation with the Head of the appropriate department. If the application is accepted, the applicant will then be registered to submit for the degree of PhD by Published Work, and an internal adviser will be appointed by the Head of Department to assist the candidate. A minimum period of three months and a maximum period of twelve months are allowed before submission.

Examination

53. Candidate shall submit for examination:

(a) three copies, in published form, of each item forming part of the work on which the application for the degree by published work is based. Permission to include work in manuscript, but which has been accepted for publication, may be granted;

(b) four copies of the supporting paper, modified, if necessary after consultation with the advisor;

(c) a statement as to what part if any of the material has been submitted for a degree or other qualification in this or any other University or other institution, explaining the reason for its inclusion and, if joint work is submitted, what part of it is the candidate's contribution.

54. A panel of examiners consisting of one internal and two External Examiners shall be appointed by the body or officer with delegated authority from Senate on behalf of the Committee of the Senate on the nomination of the department(s) concerned. The internal examiner will not normally have been appointed as adviser to the candidate. An oral

examination will normally be held for the degree, but this requirement may be waived with the approval of the body or officer with delegated authority from Senate provided that all the examiners are in agreement.

55. The examiners shall make one of the following recommendations:

    (a) that the degree of PhD by published work be awarded;

    (b) that the degree be awarded subject to specified revisions of the supporting paper; or

    (c) that the degree be not awarded.

56. The examiners may not recommend the award of a lower degree.

57. A candidate whose work has been found unacceptable for the award of the degree may be permitted to resubmit only after completing re-registration; normally, this would be no earlier than two years after the original submission.

58. Examiners' reports and recommendations are considered by the body or officer with delegated authority from Senate on behalf of the Committee of the Senate, and a decision given to the candidate within one month of the oral examination.

APPENDIX 4: FRAMEWORK FOR THE RESEARCH DEGREE VIVA

*Content relating to the optionality of the appointment of an independent chair and a recording for **online** vivas are temporarily suspended in this appendix (clause 6.2 reflects this).*

Appendix 5 provides further information on conducting online vivas.

The guidance set out below, and approved by the Senate, is designed to best protect the interests of all participants in the process, for any research degree examination leading to a Lancaster award (even when a viva voce is held away from Lancaster).

1. **Definition of the viva voce**

1.1 A viva voce is an oral examination of a research degree thesis, and of the student who wrote it, which is normally conducted in person, at Lancaster, by an internal and an external examiner.

1.2 The first stage of the examination is the review of the student's thesis. Student and Programme Administration is responsible for sending a copy of the thesis to each examiner. The examiners independently read the thesis and write a Pre-Viva Voce report on it, with comments about its contribution to the field, its strengths and weaknesses, and possibly a range of points which they will raise at the viva voce.

2. **Status of the viva voce**

2.1 The viva voce is a compulsory part of all research degree examinations unless otherwise specified in the regulations however excellent or poor the thesis may be. The student always has the right to defend their work to the examiners.

2.2 It is not possible under current regulations for a student to fail a research degree outright without undertaking a viva voce.

3. **Role of each participant in the viva voce**

3.1 The external examiner(s): the role of the external examiner(s) (someone not connected with the University) is to assess the quality of the submission and help to uphold the quality of the degree in the UK.

3.2 In certain circumstances, there may be a third examiner, external to the University, involved to ensure impartiality. This would happen if:

(a) the student is a member of staff, or holds a temporary teaching or research contract at the University;

(b) the student is being examined for a Ph.D. by Published Work;

(c) the student's supervisor is acting also as the internal examiner.

3.3 The internal examiner(s): the role of the internal examiner(s) is to assess the quality of the submission and help to uphold the quality of a Lancaster award. The role is similar to that of the external examiner(s), and it has equal status and standing. It is not the role of the internal examiner to protect the student, to be the student's friend, and/or to defend the supervisor, department or institution against criticism from the external examiner(s), nor to act as chair in the viva voce (unless the department decides not to have an independent chair: see clause 6.1). The internal examiner must be and be seen to be independent; and thus wherever practicable they should not have played any significant role in either the supervision of the student or the assessment of the student during their studies (e.g. annual progress review, confirmation panel).

3.4 The independent chair: the role of the independent chair is to be an observer and manager of the meeting, and to ensure that procedures are followed properly. The chair does not need to be a subject specialist, does not need to have read the thesis, and is not directly involved in examining it. If a department decides not to have an independent chair (see clause 6.1), it must arrange for an audio record of the viva voce to be made and retained (see clause 7). If there is no independent chair, the internal examiner will normally be expected to chair the viva voce. There should always be an independent chair where the internal and/or external examiners are inexperienced (usually defined as having participated in less than two vivas at the appropriate level).

3.5 The student: the role of the student is to discuss, explain and defend their work as represented in the thesis being examined, to be open to critical appraisal by the examiners, and to be prepared and willing to engage in a dialogue with the examiners about the substance and field of enquiry of the thesis.

3.6 The supervisor(s): whether the supervisor is present throughout the viva voce (see clause 5.1 (a)), or attends at the end when the examiner's report to the student their decision about the outcome of the examination, their role is to be a silent witness to the proceedings, and through that to be able to provide feedback to and advise the student after the viva voce is completed.

4. **Student preparation for the viva voce**

4.1 All students should be allowed and encouraged to acquire relevant experience in defending the thesis, in advance of the viva voce, including:

(a) by robust interrogation of their work and progress during each annual appraisal and at the confirmation panel;

(b) by being given special training for the viva voce (including a mock viva voce). This is probably best done by their faculty (e.g. through the faculty training programmes).

4.2 It would be inappropriate for the chair and/or internal examiner(s) to be directly involved in the student's training for the viva voce.

5. **Membership of viva voce panel**

5.1 *Supervisor*

(a) The student's supervisor(s) may attend the viva voce with the approval of the examiners and the student.

(b) If not present throughout the viva voce, the supervisor(s) may be invited to attend the final stage of the viva voce when the examiners report their decision to the student, unless the student advises the chair, before the viva voce, that they would prefer the supervisor not to attend.

(c) If present, the supervisor(s) must remain silent and impassive, unless specifically invited to comment on specific points, by the examiners, through the chair.

5.2 *Independent chair*

(a) There should normally be an independent chair present throughout the viva voce (see clause 6.1). The independent chair should normally be a member of academic staff (or an emeritus member) at the level of Senior Lecturer or above, **OR** who has experience of conducting at least three research degree vivas as an examiner and has supervised at least one student to completion. The chair should not be an examiner or supervisor of the student being examined.

(b) The independent chair should be selected by the relevant head of department or their nominee.

(c) The chair must be familiar with this guidance, and with the Regulations for Higher Degrees of the University.

(d) No member of staff should normally be expected to serve as independent chair on more than one viva voce per term (three per year).

6. **Chair and/or audio record**

6.1 For in-person examinations, departments have discretion to decide, on a case-by-case basis, whether to have an independent chair (see clause 5.2) and/or to keep an audio record (see clause 7.1) of the viva voce proceedings. They must adopt at least one of the two.

6.2 For online examinations conducted with video conferencing software, an independent chair and an audio record should both be used.

6.3 An independent chair and an audio record do not serve the same purpose, so departments need to give careful thought about which one(s) they will adopt in each case.

6.4 The decisions about the independent chair and the audio record must be notified to Student and Programme Administration at the time of appointment of the internal and external examiners.

7. **Record keeping**

7.1 Departments have discretion not to make an audio record of a particular viva voce, provided they appoint an independent chair (see clause 6.1).

7.2 If the department decides that it is appropriate to record a viva voce on audio tape or minidisk, the person taking the chair at the viva voce should ensure that the audio record is made and lodged with Student and Programme Administration.

7.3 Nothing will be done with the recording (no one will listen to it) unless it is to be used as evidence in the event of an appeal/complaint.

7.4 The recording should normally be kept for no longer than twelve months after the viva voce, unless the student has made an appeal/complaint against the decision of the examiners (in which case the recording should be kept until the end of the appeal/complaint process).

8. **Timing and arrangements**

8.1 The maximum period of time between submission of thesis by student and the date of the viva voce examination should normally be three months.

8.2 The postgraduate director in the student's department is responsible for making arrangements for the viva voce (including day, time, location and name of the independent chair if there is one), and for communicating this information to the examiners, the student, the chair and the supervisor(s).

8.3 Appropriate arrangements should be made available for disabled students, on the same basis as for other forms of University assessments, in order to provide an equal opportunity to defend the thesis.

8.4 The examiners, chair and student should be given as much notice as possible about the day and time of the viva voce, and this should normally be not less than two weeks prior to the appointed date.

8.5 The chair is responsible for making sure that seating arrangements in the viva voce room are appropriate for dialogue between the participants.

8.6 Video-conferencing of a viva voce examination, with either the candidate or an examiner at a remote location, is permissible as long as the student is not disadvantaged by its use, and as long as all parties consent to it. The University retains the right to refuse a request to use video-conferencing; such a refusal will not constitute grounds for appeal. Guidance for the conduct of such a viva voce examination is in Appendix 5.

8.7 The internal examiner should collate written guidance from all the examiners on required changes to the thesis to be undertaken within a reasonable period of time after the viva voce. For minor corrections the information should normally be collated within two weeks; for major corrections or revisions to the thesis within one month.

8.8 The internal examiner should forward the written guidance from the examiners to the student, and send a copy to Student and Programme Administration, without delay.

8.9 The period for corrections or revisions to the thesis commences on the day written notification of the decision of the examiners is sent to the student by Student and Programme Administration.

9. Examiners' written report

9.1 Examiners are required to provide written reports on the thesis before the viva voce examination, to establish that they have read the thesis before the viva voce, and to record their initial judgements formed on the basis of reading the thesis.

9.2 Examiners are required to write separate such reports independently of each other, and send them to Student and Programme Administration, before they exchange views and compare notes with the other examiners.

9.3 Examiners should be given the opportunity (but not be required) in such reports to give a provisional decision about the outcome of the examination.

9.4 The reports should only be seen before the viva voce by administrative staff who have no vested interest in the outcome of the examination.

9.5 Under Data Protection legislation, the student has no right of access to the reports before the examination process is complete.

10. The purpose of the viva voce examination

10.1 The viva voce is an opportunity for the student to defend the thesis.

10.2 It is not a purpose of the viva voce to test the student's command of spoken English in what is often a stressful situation. This is particularly important for students whose first language is not English, and for some disabled students.

10.3 The viva voce should normally include the assessment of the student's ability to:

(a) locate their research in the broader context;

(b) display detailed knowledge of the thesis;

(c) authenticate the work (i.e. to prove that it is the student's own work).

10.4 Criterion (a) should be explicitly commented on in the examiners' reports.

10.5 Criteria (a) to (c) should be explicitly evaluated during the viva voce.

10.6 It is appropriate in the viva voce to ask questions about the originality of the thesis, and about the contribution the thesis makes to knowledge.

10.7 The student should also be able to defend the methodology and conclusions of the thesis, and display awareness of the limitations of the thesis, in the viva voce.

10.8 For the viva voce to be regarded as successful, the student should satisfy the examiners that they are worthy of the research degree, which ultimately is a matter of academic judgement by the examiners.

11. **Conduct of the viva voce**

11.1 Existing University Regulations cover procedures for dealing with disagreements between examiners.

11.2 Examiners should not normally be able to fail or refer a thesis on grounds that are not considered with the student in the viva voce. The decision should be based on what is discussed in the viva voce.

11.3 A recording (see clause 7) is helpful in reconstructing what was discussed in the viva voce, and how it was discussed.

11.4 The viva voce should give the student an opportunity to defend anything the examiners regard as problematic. It will normally be expected to touch upon the issues that the examiners regard as important in reaching their decision about the award of the degree in question.

11.5 The student should be told by the chair at the beginning of the viva voce, that no information about outcomes will be provided until the end of the viva voce examination, and that no conclusions should be drawn from this. This is because to indicate or hint at outcomes could:

(a) partly negate the value of the viva in the assessment process;

(b) compromise the ability of the examiners to change their mind during the course of the viva voce;

(c) have a significant impact on how the student feels and responds to questioning during the viva voce.

11.6 A typical viva voce should normally last for not less than one hour and not more than four hours, although it is recognised that practice varies between disciplines.

11.7 Questions during the viva voce should be fair and appropriate. Fair play should be maintained, and proper procedures should be followed.

11.8 If the chair and examiners anticipate that a viva voce is likely to last more than about two hours, the chair should give an opportunity for a break after two hours, provided that to do so does not disadvantage the student.

11.9 The chair shall have final decision on when the viva voce should finish, taking into account the views of the examiners, and the need to uphold fair play and to give the student an opportunity to defend their work.

12. Student role in the viva voce

12.1 Examiners are expected to be open-minded in their probing of the student's work, and to approach the task in a spirit of academic integrity.

12.2 The chair should ensure that the student is given the opportunity to present a brief verbal summary of their work (15 minutes maximum), towards the start of the viva voce, if they wish to do so.

12.3 The chair should ensure that the student is given an appropriate right of reply to points raised by the examiners, during and at the end of the viva voce.

12.4 If the student feels during the course of the viva voce that the questions are not fair or appropriate, that they are being denied the right of reply, or that proper procedures are not being followed, they should be able to call for a break, and talk privately with the chair.

12.5 If the chair grants such a time out during the viva voce, the conversation between student and chair should not be overheard by the examiners, but it should be recorded on the audio tape or mini-disk if the viva voce is recorded.

13. Outcome of the viva voce

13.1 Towards the end of the viva voce, the student (and supervisor(s) if present) should be asked to leave the room while the examiners decide what outcome they think appropriate.

13.2 The chair should remain present throughout the viva voce.

13.3 When the examiners have reached their decision, the student (normally accompanied by the supervisor(s)) should then be invited back into the room, to be told (normally by the external examiner) what the examiners will be recommending to the University.

13.4 The outcome given at the end of the viva voce is a recommendation, subject to approval by the body or officer with delegated authority from the Committee of Senate.

14. Post-Viva Voce Reports

14.1 All examiners are required to submit a further written report after the viva voce, which includes their judgement of the quality of the thesis and the student's performance in the viva voce, and contains their recommendation about the award of the degree:

(a) examiners can submit a joint report if they agree on the outcome, and if producing a joint report is practical under the circumstances;

(b) examiners must submit separate reports if they disagree on the outcome.

14.2 Under Data Protection legislation, students have a right of access to their post-viva voce report after Senate approval of the examiners' recommendation is confirmed and the examination (including any revisions) has been completed.

14.3 Any examiner may indicate that part (to be highlighted explicitly) or all of their report should be disclosed to the student before the examiners' recommendations are approved by the Senate, if the examiner believes this would help the student to make appropriate corrections or revisions.

14.4 The internal examiner is responsible for making sure that the student is made fully aware of the examiners' expectations in respect of which corrections or revisions are felt necessary (see 8.6).

15. Second Viva Voce

15.1 The examiners can require a student to attend a second viva voce as part of the examination of a revised and resubmitted thesis or where major corrections are required, but not for minor corrections.

16. Student's right of appeal

16.1 A student has no right of appeal against the academic judgement of the examiners. A student may appeal, however, against the outcome of the examination under the procedures for Academic Appeals as defined in the chapter on Academic Appeals.

16.2 All students of the University have the right to make a complaint under the Student Charter.

17. Publication of guidelines

17.1 These guidelines and criteria will be published on the University web site, and will be:

(a) given to each research degree student when submitting the thesis;

(b) given to the examiners on appointment, to the chair on designation, and to the supervisor on submission of the thesis.

APPENDIX 5: ONLINE VIVA VOCE EXAMINATIONS

This appendix should be read in conjunction with the guidance provided in 'Staff information and processes for an online viva'. All parties should consult the guidance at least one week prior to the examination.

1. Ordinarily, online vivas should be overseen by **an independent chair**. The criteria for the appointment of the chair are set out in the Framework for the Research Degree Viva (Appendix 4).

2. The chair should ensure that:

   a) all parties involved in the examination are informed in good time of the details of the examination;
   b) all parties have access to, and are familiar with the necessary technology and contingency plans;
   c) the correct process is followed for the viva;
   d) the wellbeing of the candidate is attended to over the course of the viva; and
   e) the recording of the examination is secured and lodged in accordance with the guidance.

   Should the candidate become distressed, the chair has the authority to briefly adjourn the examination and to speak to the candidate privately.

3. All online vivas will be recorded, and the candidate's assent to this will be presumed unless they lodge a formal objection with the department in advance of the examination. The examiners' consent to the recording of the viva must be obtained and confirmed on the *Appointment of Research Examiners Form*. The deliberations of the examiners must not be recorded. The recording remains the property of the University and no other recording is permitted to take place.

4. Only the University's supported, licensed and approved software for online meetings should be used for the purposes of conducting online vivas. Alternative software should only be used where necessary, and as agreed in the contingency plan.

5. Any time differences between the locations must be taken into account to ensure that the candidate is not disadvantaged by an examination taking place at a time that might reasonably be considered to be inappropriate.

6. Care must be taken to ensure that the technology used is as reliable as possible. To this end, the equipment and software should be tested at least one week prior to the examination

using the same computers, systems, and locations (i.e. rooms) that will be used during the examination. Contingency plans are essential in the event of technology failure.

7. The candidate's identity must be confirmed at the beginning of the examination (e.g. by the supervisor or by a member of professional services staff). Any materials brought into the examination by the candidate should be identified at the outset, prior to the commencement of the examination.

8. During the examination the examiners should normally be able to view the candidate, although it is accepted that for certain disciplines the candidate may need to demonstrate material on screen to the panel. Maintaining continuity of contact, however, is important and expected throughout the viva (excluding agreed breaks).

9. The University will not normally permit any person to be present with the candidate other than technical staff involved in the use of online communication technology or where appropriate support arrangements have been previously agreed with disabled students.

10. Each examiner should sign (electronically) the 'Independent Report' and the 'Joint Report' and forward them to Student and Programme Administration as soon as possible after the examination.

11. Examiners should comment on the conduct of the online examination using the standard 'Joint Report' form and refer explicitly to the fact that it took place under COVID-19 temporary regulations.

12. Having agreed to an online examination, the candidate will not be permitted to use this as grounds for appeal, unless the circumstances of technical failure or other unforeseen eventualities beyond the control of the panel were deemed to have adversely affected the candidate's performance and these were identified by the examiners in their joint report.