

SUBMITTING FOR EXAMINATION: GUIDANCE FOR RESEARCH DEGREE STUDENTS AND SUPERVISORS

This document provides detailed guidance for research degree students (sometimes also referred to as ‘candidates’) and supervisors on the examination of research degree programmes.

Note for candidates registered for PhD by Published Work: Whilst this document is for use primarily by research degree ‘students’ working towards MPhil, PhD or Professional Doctorate, the principles and procedures set out remain largely the same for candidates registered for the degree of PhD by Published Work. Such candidates do not have appointed ‘supervisors’; instead, support is provided by a team of two ‘advisers’. Those candidates do not submit a ‘thesis’; instead, their ‘submission’ comprises a written commentary and relevant research outputs (as described in the *Regulations for PhD by Published Work*)

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1.0 WHAT IS THE EXAMINATION?

Independent assessors are appointed by the University to examine both the Student’s work (the submission) and the Student’s own understanding of their work in an oral examination (sometimes called a *viva voce* or just a *viva*). These examiners are independent, in that they have no previous involvement in the Student’s research programme, and at least one Examiner is external to the University. At the end of the examination, the examiners make a recommendation to the University (via the University’s Research Degrees Committee (RDC) as to whether or not the criteria for the award have been satisfied, whether any corrections should be made to the submission, and whether the degree should be awarded.

In summary, the examination includes the following stages:

Appointment of examiners
Submission of a thesis (or portfolio – with a supporting critical commentary) ¹
Oral examination
After the examination
Award of the degree

2.0 THE REGULATIONS

The examination is governed by the University’s research degree regulations [for Master of Philosophy/Doctor of Philosophy; for Professional Doctorates; and for PhD by Published Work]. Throughout this document, relevant extracts from the regulations are given in italics.

3.0 APPOINTMENT OF RESEARCH DEGREE EXAMINERS

This section describes how Examiners are appointed, and also sets out the responsibilities of the Student (“candidate”) and of the Principal Supervisor.

Before a research degree can be examined, independent Examiners are individually appointed for each research degree programme. The independence of the Examiners is an important principle, and so *the Student takes no part in the nomination of the examiners and must have no formal contact with any appointed examiner before the viva voce (oral) examination.*² Although the Student has no part in nominating the Examiners, the Principal Supervisor must initiate the nomination process.

Typical Timeline for Appointment of Examiners (full-time PhD programme):

Month 30	<p>Student & Principal Supervisor:</p> <ul style="list-style-type: none"> • agree final title of the research • update and sign PGRDP • clarify restricted access • plan submission date • identifies exam team • informally consults potential Examiners for information • signs application form for appointment of examiners • nominates Independent Chair for the Oral Examination • confirms all regulatory requirements have been met • confirms all Ethical issues have been identified & addressed • Faculty PGR Programme Support Co-ordinator checks details for submission to FRDSC via the Graduate School
Month 33	<p>Faculty Research Degrees Sub-committee (FRDC)</p> <ul style="list-style-type: none"> • considers the nominations • appoints the examiners

¹ For some Professional Doctorate degrees, the candidate may be required to submit a ‘portfolio’ rather than a thesis. Separate guidance on the required content and presentation of the ‘Portfolio’ and its supporting critical commentary is available separately from the relevant Faculty in which the candidate’s research programme is registered.

² MPhil/PhD Regulations - regulation 8.3; Professional Doctorate regulations - regulation 8.3; Regulations for PhD by Published Work – regulation 6.2; Regulations for PhD by Published Work – regulation 6.2

	<p>The Graduate School:</p> <ul style="list-style-type: none"> • notifies full Examination Team of their appointment • receives Exam Team's acceptance • notifies Student of final approved title of thesis & the names of the appointed Examination Team • notifies Principal Supervisor & Faculty PGR Administrator
Months 36-38	Student submits before expiry of standard duration; the examination date is arranged; and the Student is examined.

3.1 Preparation & Planning

- a) The Principal Supervisor briefs the Student on what to expect in an oral examination – also known as the viva voce (a ‘mock’ viva voce can also be held within the Faculty before the agreed date for the oral examination).
- b) Student and Principal Supervisor specify the format and method of the examination when, for example, an exhibition of the student’s work is required as part of a practice-led submission. If an exhibition of the student’s work is required, this must be stated on the application form for appointment of examiners.
- c) Student and Principal Supervisor agree the exact final title of the thesis (or portfolio), to be approved by the University’s Research Degrees Committee (RDC) when the application form for appointment of examiners is submitted (via the Faculty Research Degrees Sub-Committee) to the RDC for approval.
- d) Student and Principal Supervisor fully update the student’s PGR Development Portfolio (PGRDP), or the student’s Training Needs Analysis/Plan, to confirm that all required training and skills development has been completed by the student. A copy is also submitted for approval by the RDC at the same time as the application form for appointment of examiners is submitted to the RDC for consideration.
- e) Student and Principal Supervisor consider whether the submission requires restricted access and confidentiality in the examination context and after the award has been made.³ If restricted access is required, this should be requested on the application form for appointment of examiners, with the reason(s) for the restriction clearly stated.
- f) Together, the Student and Principal Supervisor work towards a submission date just before the expiry of the student’s standard duration date.

3.2 Appointment Mechanism

The Principal Supervisor is responsible for identifying possible examiners, and contacts each examiner nominee informally right at the beginning of the nomination process to confirm that each of them:

- i) has the appropriate academic/professional expertise, together with examination experience at the appropriate level;
- ii) would satisfy the University’s criteria for appointment, including independence;⁴
- iii) if not a EU citizen, has the necessary visa to allow him/her to examine in the UK;
- iv) is willing to be nominated as an Examiner, and is available to examine at the University.

³ MPhil/PhD Regulations - regulation 11.1; Professional Doctorate regulations - regulation 11.1 University Guidance on restricted access and its impact on the Examination process, is in preparation.

⁴ MPhil/PhD Regulations – regulation 9.2 c); Professional Doctorate regulations - regulation 9.2 c); Regulations for PhD by Published Work – regulation 7.1

Once all of this information is assembled, the Principal Supervisor works with the Faculty's Post Graduate Research (PGR) Programme Support Co-ordinator to prepare and sign the relevant application form for appointment of examiners, so that the Faculty Research Degrees Sub-Committee (FRDSC), or the FRDSC Chair, can consider the examiner nominations for approval.

The process for FRDSC appointment of Examiners also requires the Principal Supervisor to:

- a) provide a rationale for choosing each examiner nominee and include this at the relevant section of the application form.
- b) where the student's research programme is practice-led, to state whether the examiners will need to view an exhibition of the student's work. In this case, the details of the exhibition, and how the Examiners will view it, must be stated on the application form. This is particularly important because the format (and timings) for the candidate's examination will differ on the day of the viva voce if the Examiners are also required to view the exhibition.
- c) confirm the final title of the thesis with the student before listing this on the application form.
- d) state, at the relevant section on the application form, whether restricted access to the final thesis is required and the reason(s) for the restriction - *see section 7.1 following*.
- e) consider the format the candidate is using for his/her thesis. A submission is normally required to be submitted in 'portrait' format. Where the student's research project is visually-led and the student requests that his/her submission might be presented in a format which differs from the normal format required by the University (e.g. the thesis to be presented in 'landscape' rather than the normal 'portrait' format), the candidate is required to provide a draft chapter of the submission so that, once the examiners are appointed, they can be consulted on whether they are prepared to examine the submission in this alternative format. In this case, the Principal Supervisor is asked to obtain the draft chapter from the candidate and it should accompany the application form for appointment of examiners submitted to the Graduate School.

When the FRDSC has approved the Examiner nominations, the Graduate School will:

- issue confirmation of appointment to each Examiner and ask them to confirm their acceptance of their appointment.
- notify the appointment to the Student (candidate), the Principal Supervisor and the and will, at the same time, confirm the Committee's approval of the final title of the submission. **The candidate must ensure that the same approved title is shown exactly on the cover of their submission.** N.B. if the candidate subsequently uses a different title on their submission, he or she will need to formally request approval of the title change, from the University's Research Degrees Committee and this could delay the examination.
- confirm with the candidate the number of copies of the thesis (or portfolio & its supporting critical commentary) to be submitted, also advising the candidate to consult with their Principal Supervisor to agree a final timescale for submission of their work.

4.0 THE SUBMISSION

This section gives details of responsibilities, timing, word-length, format, number of copies required for the submission, and processes. In addition, information is provided about the further decisions which the Student must make at the point of submission.

4.1 What is the submission?

In most cases, the *submission* is a written document called a *thesis*; but sometimes the submission comprises both a *thesis and an exhibition of the student's work* (e.g. in Visual Arts).

For Professional Doctorate programmes students may be required to submit a *portfolio* (together with a supporting critical commentary) instead of a thesis.

For PhD by Published Work, the submission comprises a written commentary and relevant published outputs (as described in Annex A I b) of the “*Regulations for the Award of PhD by Published Work*”

4.2 Responsibilities of the Student (Candidate)

The submission is the culmination of the Candidate's work. It is their own achievement and (for doctoral candidates) their own original contribution to knowledge. A sense of ownership gradually emerges (for the Candidate) over the duration of the research programme; the Candidate acknowledges this when they eventually claim copyright of the thesis, and this ownership is also asserted through the formal declaration (signed and dated by the candidate) in the submission, where the Candidate states that the submission *is the work of the student alone*.⁵ This means that:

- The Candidate is declaring that the work presented in the submission *follows appropriate standards of academic practice*, is free of plagiarism, and *fully acknowledges opinions, ideas and contributions to the work of others*;⁶ and
- The work is that of the Candidate alone, even when the programme is part of a collaborative research project.

The University requires evidence that the submission does not incorporate, without acknowledgement, material derived from the work of another individual. The Candidate provides this evidence by using *Turnitin* software before submission, and consulting the Principal Supervisor on the interpretation of the resulting report.⁷

Note: candidates for PhD by Published Work are not subject to the requirement to submit their work through *Turnitin* software before submission.

Because the Student owns their research, *the student is responsible for submitting the final thesis, and the submission of the thesis for examination is at the sole discretion of the student*.⁸ Of course, the Student will seek advice from the Principal Supervisor on

⁵ MPhil/PhD Regulations - Appendix 1, section 1 v); Professional Doctorate regulations - Appendix 1, section 1 v)

⁶ Postgraduate Research Regulations and Procedures applying to cheating, plagiarism and other forms of academic misconduct (September 2008) - Regulations 1.4 and 1.5

⁷ MPhil/PhD Regulations - Appendix 1, section 1 ii); Professional Doctorate regulations - Appendix 1, section 1 ii)

⁸ MPhil/PhD Regulations - Appendix 1, section 1 i) and 1 ix); Professional Doctorate regulations - Appendix 1, section 1 i) and 1 ix);

whether the research is ready for submission; whether sufficient work has been completed by the target submission date; whether the work is at the appropriate academic level; and will seek advice on format and presentation. *It would be unwise for the student to submit their thesis against the advice of the supervision team, but they do have the right to do so. The student should also not assume that a supervisor's agreement to the submission of their thesis guarantees the award of the degree.*⁹

4.3 Timing of the Submission

The target date for the Student to submit the work is set by the University's regulations, i.e. normally before the expiry of the student's standard duration date. Within that parameter, the Student plans and agrees the actual submission date with the Principal Supervisor. Timing of the submission is critical. The Student needs to complete the programme as soon as possible, so that the currency of the research enables him/her to make an original contribution to knowledge in the academic field; timely submission may also be driven by the needs of career development, finance and personal/family commitments. The University also requires timely submission to ensure the quality and academic standing of its research degree programmes. Several technical issues can impact on good timing:

- If the nomination of Examiners is delayed, but the Student still attempts to submit the thesis before Examiners have been appointed, there will be a further delay in the examination process. Principal Supervisors and students should be aware that it takes time to secure the approval and appointment of a proposed examination team. Therefore, the Principal Supervisor should arrange for the application form for appointment of Examiners to be submitted at least six months in advance of the student's planned submission date.
- Early submission before the end of the student's Standard Duration date is permitted but if the Student wishes to submit more than three months before his/her Standard Duration date, early submission will then *require the approval of the relevant Faculty Research Degrees Sub-Committee*¹⁰.
- Late submission will require the Student to request an Extension of registration or, exceptionally, to Re-register their programme of research, where the Student must *provide sufficient evidence that he/she is still a suitable student; that the research is still current and appropriate; and can be completed within the extra time.*¹¹ The University expects students, normally, to submit before the expiry of their standard duration date.¹²

Note: candidates for PhD by Published Work are required to submit within twelve months of their Prima Facie application being approved; the precise deadline date will be confirmed to the candidate by the Graduate School. If the submission is not received within that timescale then the candidate will be required to re-register his/her application.

⁹ MPhil/PhD Regulations - Appendix 1, section 1 ix); Professional Doctorate regulations - Appendix 1, section 1 ix)

¹⁰ MPhil/PhD Regulations - Appendix 1, footnote 17; Professional Doctorate regulations - Appendix 1, footnote 17

¹¹ MPhil/PhD Regulations - regulation 6.2 iii); Professional Doctorate regulations - regulation 6.1 iii)

¹² MPhil/PhD Regulations – regulations 4.1 and 8.4; Professional Doctorate regulations – regulations 4.1 and 8.4

4.4 Word-length of the submission

The standard submission comprises a written thesis with an indicative word length as follows:

	PhD	MPhil
<i>In science & engineering</i>	35,000-45,000	17,500-22,500
<i>In discursive subject areas such as humanities and social sciences</i>	75,000-85,000	37,500-42,500
<i>In practice-led research; or where the research consists of the preparation of a scholarly edition of a text or texts drawing upon literary or other original source</i>	30,000-40,000	15,000-20,000

N.B. the word length excludes bibliography (academic references), footnotes and appendices.

Further advice is available from the relevant Committees, i.e. the Faculty Research Degrees Sub-Committee and/or the University's Research Degrees Committee. For a thesis over the maximum words, the student must obtain prior approval for submission, from the University's Research Degrees Committee, explaining the outlining reason.¹³

Note: For PhD by Published Work, it is anticipated that the written commentary on the candidate's cited published outputs will be 8,000 – 10,000 words in length, (as described in Annex A I b) of the "Regulations for the Award of PhD by Published Work"

4.5 Number of copies required of the submission for examination

The Candidate is responsible for submitting sufficient identical hard copies of the thesis to enable the examination to take place (or, for some Professional Doctorate programmes, a portfolio and its supporting critical commentary is required). Depending on the size of the appointed Examination Team, this means that the candidate will be required to submit three or four copies hard copies of their submission. When the Graduate School informs the Candidate that his/her examination team has been appointed, Graduate School will, at the same time, also advise of the exact number of copies that the candidate is required to submit. One spare copy of the Candidate's submission is also required, to be held in the Graduate School whilst the examination process is ongoing.

In addition to the number of copies required for the Examiners, the Candidate needs one copy of the submission (for his/her own reference during the oral examination) and one further copy for their Principal Supervisor. This makes a total of five or six copies of the submission which the Candidate needs to prepare and submit in temporary binding [see section A 8 of Annex A of this document, or section B 8 of Annex B following]. In addition, one electronic pdf copy is also required. *In all cases, the electronic version of the thesis (submission) must be identical to (and must accompany) the hard copy versions submitted to The Graduate School.*¹⁴ For the oral examination, temporary binding will suffice (but not ring binding). **The student must ensure that their submission fully conforms with the University's requirements on presentation.** Full guidance on the format of presentation and binding (whether in 'temporary binding' prior to the examination being held or 'full and final binding' after the candidate has been examined and the degree has been awarded) is detailed at Annex A or B to this document.

¹³ MPhil/PhD Regulations - Appendix 1, section 2; Professional Doctorate regulations – Appendix 1, section 2

¹⁴ MPhil/PhD Regulations - Appendix 1, section 1, vii); Professional Doctorate regulations – Appendix 1, section 1, vii)

Note: Annex C details the requirements for submission for PhD by Published Work.

4.6 Where should the thesis/portfolio be submitted?

The thesis (or submission) must be submitted to The Graduate School. The submission must not be sent/given direct to the Examiners.

4.7 The Submission Process

The submission process needs careful planning to satisfy the University's regulatory requirements and meet the relevant deadlines. Different people are involved. This process is set out below:

Typical Timeline for Submission (full-time PhD):

Month 32	Student (candidate) & Principal Supervisor: <ul style="list-style-type: none"> plan for the oral examination plan the date for submission
Months 34-36	The Graduate School (GS): <ul style="list-style-type: none"> notifies the Candidate & Supervisor that the examiners have been appointed and confirms the final title of the submission approved by the RDC specifies how many bound copies of the submission the Candidate is required to prepare
Month 34	The Candidate: <ul style="list-style-type: none"> reads the University's requirements for presentation and submission receives advice from the Principal Supervisor on the submission format submits the final text to the Principal Supervisor for comment and advice decides whether or not they want a member of their Supervision team (usually the Principal Supervisor) to attend the oral examination
Month 36	The Candidate: <ul style="list-style-type: none"> finalises the text and format to meet the University requirements for presentation and submission uses <i>Turnitin</i> software, with advice from the Principal Supervisor on the resulting <i>Turnitin</i> report makes an identical pdf copy of the submission arranges <u>temporary</u> binding of sufficient copies to meet University requirements gets sufficient copies of any publications they may have to include with the submission submits the required number of bound copies to the GS, together with the pdf copy & any publications notifies the GS as to whether or not they want a Supervisor to attend the viva voce (oral exam)
	The Graduate School <ul style="list-style-type: none"> checks the title of the submission against the title approved by RDC – if the title on the submission is different from the approved title, the Candidate will be asked to make a formal request to the RDC to change the title checks the presentation of the submission against the University's format requirements – if the submission does not conform to those requirements it may be returned to the candidate for action checks that sufficient copies are submitted accepts & receipts the submission confirms the Student's contact details
Months 36-37	The Graduate School <ul style="list-style-type: none"> sends the submission to the examiners corresponds with Examiners, the Independent Chair, Student and Principal Supervisor to set the exam date and time notifies all parties of the date, time and venue of the exam
Month 37	The Candidate: <ul style="list-style-type: none"> prepares with a 'mock' viva before the agreed date for the oral examination
Month 38	The oral examination is held

When the Student is about to submit, s/he should seek advice from the Principal Supervisor, on whether the work is ready for examination. Ultimately, *the student is responsible for submitting.*¹⁵

¹⁵ MPhil/PhD Regulations - Appendix 1, sections 1 i) and 1 ix); Professional Doctorate regulations – Appendix 1, sections 1 i) and 1 ix)

Note: Annex C details the requirements for submission for PhD by Published Work

4.7.1 The Candidate and Principal Supervisor consider together the University's requirements for the presentation format of the submission. These requirements are extensive, and the Principal Supervisor's advice is crucial in helping the Candidate to interpret and follow the guidance (see Annex A or B of this Document). Guidance on the requirements for submission for PhD by Published Work is given at Annex C.

If clarification on any aspect of the requirements is needed, the Candidate should contact the Graduate School direct.

The Candidate will probably find that it takes longer than expected to prepare and check the final text of their submission (including ensuring that the word length conforms to the University's regulatory requirements because the Candidate is required to declare the word count of his/her submission), to compile the additional items (abstract, declaration, publications) and to arrange copying and binding (in temporary format) of all the hard copies needed for the examination. Before the thesis (or portfolio) is submitted to the Graduate School, the Candidate is required to provide evidence of originality by using *Turnitin* software, with advice from the Principal Supervisor. An identical electronic copy of the submission, in pdf format, also has to be prepared.

Note: candidates for PhD by Published Work are not subject to the requirement to submit their work through *Turnitin* software before submission.

4.7.2 The University's research degree examination procedures do not require the candidate to give a presentation of his/her research project, to the examiners, on the day of the oral examination. If the candidate particularly wants to give such a presentation, he or she must advise the Graduate School of this when the thesis (or portfolio) is submitted to the Graduate School for examination. This is important because:

- the Graduate School will need to confirm with the examiners that they have no objection to a presentation being given.
- if the Examiners agree to receive a presentation, then the format (and timings) for the candidate's examination will differ on the day of the exam and before the actual oral examination can begin. The Graduate School will also need to ensure that the examination room has all the facilities/equipment the candidate requires to give his/her presentation.

4.7.3 The Student ("candidate") submits the required number of copies of the thesis/portfolio (and the portfolio's supporting critical commentary) to the Graduate School. Often, the Student delivers the submission in person; this enables the submission to be checked by the Graduate School administrator against the University's format requirements [and to check the submission title conforms exactly with that approved by the University's Research Degrees Committee when the Examiners were appointed]. At this point, the Graduate School will issue a receipt for the submission and will alert the candidate to any problems with the submission which will need to be addressed immediately. Candidates should be aware that the submission format must fully conform to the University's requirements before it can be accepted by the Graduate School (see Annex A or B of this Document). At the point of submission, the Candidate will be required to confirm to the Graduate School (using a standard form that will be provided by the Graduate School):

- a) that s/he has consulted the Principal Supervisor on the interpretation of the report which resulted from use of the *Turnitin* software.
- b) the Student's contact details to ensure smooth communication in the weeks following submission, thereby enabling the date for the oral examination to be finalised without undue delay. The normal expectation is that the examination date will be agreed *within two months of the candidate handing in the submission*.¹⁶
- c) whether they would like one of their supervisors (usually the Principal Supervisor) to attend the examination or not.
- d) whether s/he wishes to give a short presentation on their work to the examiners. If so, the GS will then contact the Examiners to ask them to confirm whether they are happy to receive the presentation immediately before the oral examination commences. The student should not assume that s/he may give a presentation on their work unless they have advised the Graduate School in advance of the oral examination date being agreed (see section 3.7.2 above)

Note: For PhD by Published Work, the requirements for presentation are set out at Annex C.

4.7.4 The Supervisor is not required to attend the oral examination and is not an Examiner; if the candidate does request that a member of their supervision team (usually the Principal Supervisor) should attend the oral exam, the Supervisor's role is that of observer to support the Candidate during the oral examination process. However, even if the Principal Supervisor does not attend the whole examination, s/he is required to attend the examination venue at the conclusion of the examination, to support the Candidate in receiving the oral feedback from the Examiners.

4.7.5 Sometimes problems occur at the submission stage, which can usually be resolved but which cause delay. For example:

- The submission title differs from that approved by RDC when the Examiners were appointed. In these circumstances, the Candidate must submit a formal written request to RDC to change the approved title; this causes delay.
- The Candidate tries to submit before the Examiners have been appointed by RDC. *The Graduate School cannot accept the submission if the Examination Team has not been appointed.*¹⁷ In this case, submission would have to be delayed by several months.

4.8 Format of the submission

As indicated above, the format is prescribed by the University. *The work must be presented to an excellent standard of presentation...the student must ensure that the format and standard of submission fully meet the requirements of the University's regulations.*¹⁸ The standard submission is in A4 'portrait' format, in both hard bound copy and pdf electronic format.

Details of the required presentation format are given at Annexes A, B or C to this document, and include the following:

- a) The type of binding required, whether before the examination (when 'temporary binding' is required); after the examination has been held and a corrected version of

¹⁶ MPhil/PhD Regulations - Appendix 1, section 1 iv); Professional Doctorate regulations – Appendix 1, section iv)

¹⁷ MPhil/PhD Regulations - Appendix 1, section 1 iv); Professional Doctorate regulations – Appendix 1, section 1 iv)

¹⁸ MPhil/PhD Regulations - Appendix 1, section 1 i); Professional Doctorate regulations – Appendix 1, section 1 i)

the earlier thesis is being submitted for approval by the examiner(s) (when 'temporary binding' is again required); and after the examination has been held, any required corrections have been approved by the examiners, and the degree has been awarded by the Research Degrees Committee;

- b) The type and thickness of paper to be used;
- c) Format for main text (font size, spacing and pagination, layout of contents; format for headings, tables, figures, appendices, footnotes/endnotes and bibliographical references);
- d) Contents checklist;
- e) Specimen format for the front cover, title page and Declaration page;
- f) Required layout of the thesis (setting out the order in which the various elements contained in the submission are to be presented);
- g) Electronic pdf requirement;
- h) For Professional Doctorates (and where the candidate is required to submit a Portfolio and supporting critical commentary rather than a Thesis) details of the required content of the Portfolio and the supporting critical commentary are available separately from the relevant Faculty.

In addition to the main academic content, the submission must also include other substantive items which are bound within it:

- i) *A one page Abstract of not more than 300 words of the written submission for the oral examination,¹⁹ to provide a clear synopsis of the submission, stating the nature and scope of the work undertaken and the contribution made to knowledge in the subject treated.*

The candidate should ensure that the Abstract provides succinct answers to four related questions and do nothing else. The questions are:

- a) Why is the subject of the thesis (or portfolio) important?
- b) How has the research been undertaken?
- c) What are the main research findings?
- d) Why do the research findings matter?

The Abstract should appear on its own as a single page.

- j) A formal Declaration (signed and dated by the candidate) which is bound in the submission and which covers the following:
 - i) *A declaration that the work has not been submitted for any other award, except that entailed by research training as declared when the project was initially approved; that states the number of words contained in the submission and that states it is the work of the student alone must be included.²⁰ The Student should draw attention in the submission to any material which has been presented before for another degree.*
 - ii) Confirmation that the submission *is the work of the student alone*. The Student confirms by this statement that the work fully *acknowledges opinions, ideas and contributions from the work of others* and is free of plagiarism;²¹

¹⁹ MPhil/PhD Regulations – Appendix 1, section 1 iii); Professional Doctorate regulations – Appendix 1, section 1 iii); PhD by Published Work regulations – Annex A, section I (i)

²⁰ MPhil/PhD regulations – Appendix 1, section 1 v); Professional Doctorate regulations – Appendix 1, section 1 v); PhD by Published Work regulations – Annex A, section I (d)

²¹ Postgraduate Research Regulations and Procedures applying to cheating, plagiarism and other forms of academic misconduct (September 2008) – Regulations 1.4 and 1.5

- iii) Confirmation that all procedures for ethical approval have been satisfactorily followed.
- iv) Confirmation of the total number of words which comprise the submission.
- v) *Where appropriate, this declaration will specify the relationship of the submission to any wider project or collaborative project.*²² If the submission is based on joint research, the nature and extent of the Student's individual contribution should be stated.

N.B. An exemplar of the required wording for the 'Declaration page' is reproduced in the Appendices at the end of this document

- k) *A copyright declaration must also be submitted, usually only with the finalised fully bound version of the submission at the end of the award process, and on a standard declaration form provided separately by the Graduate School.*²³
- l) The candidate should also provide, with the submission, *copies of any material which he/she may have published (alone or jointly), to enable the examiners to be fully informed of the contribution to knowledge actually made by the submission.*²⁴ This material may accompany the submission, rather than being bound into it. It is also good practice to acknowledge, within the submission, both the reasons for undertaking the research study, as well as any assistance received by the candidate; for example, support from scholarships and from colleagues.

5.0 THE ORAL EXAMINATION

This section covers preparation for the oral examination (or "viva voce"), roles and responsibilities, and details of processes on the day of the examination.

5.1 Student Preparation for the oral examination

Students ('candidates') are recommended to prepare well for the examination in consultation with their supervisors. A 'mock' oral examination is often regarded as an excellent form of preparation, and candidates are advised to discuss arrangements for a 'mock' viva voce with their Principal Supervisor.

5.2 Fixing the examination date

The Graduate School arranges the date and time of the oral examination, usually to be held within two months of receipt of the submission. This entails the Graduate School contacting all parties (the Examiners, the Candidate, the Principal Supervisor and the Independent 'non-examining' Chair of the examination) to determine availability and then, once a date has been agreed, notifying all participants, by email, of the final detailed arrangements, venue, timing etc. To begin this process, when the candidate submits their thesis (or portfolio and its supporting critical commentary) to the Graduate School, he/she will be asked to confirm if there are any dates when they are not available for the oral examination.

²² MPhil/PhD regulations – Appendix 1, section 1 v); Professional Doctorate regulations – Appendix 1, section 1 v)

²³ MPhil/PhD regulations – Appendix 1, section 1 vi); Professional Doctorate regulations – Appendix 1, section 1 vi)

²⁴ MPhil/PhD regulations – Appendix 1, section 1 vii); Professional Doctorate regulations – Appendix 1, section 1 vii)

5.3 Roles and Responsibilities of the Examination Team

The Examination Team comprises two (occasionally three) Examiners plus an Independent 'non-examining' Chair; the Chair latter does not assess the candidate's submission.

At least one of the Examiners is always external to the University; sometimes all Examiners are external (i.e. if the Candidate is a member of University staff). The entire Examination Team is independent of the research programme, and *with no informal/personal connection with the Student, which might prejudice the independence of the examination.*²⁵

The role of the Examiners is to assess the submission and the Candidate's understanding of the research, against the University's criteria for the Award. An appointed Examiner is well placed to undertake this assessment role because each is experienced in research in the general area of the Candidate's submission and has experience as a specialist in the area(s) to be examined. Together, the Examiners have substantial experience (i.e. three or more previous examinations) of examining research degree candidates at the level being examined (or a higher level). The examination is governed by University regulations, which prescribe the possible outcome of any examination.

As the Examiners assess a particular Candidate and his/her submission, they use their expertise, knowledge and experience to select the most appropriate outcome from the following options, so that they can make a formal recommendation to the University:

- A. *Award the degree.*²⁶
- B. *Award the degree, subject to corrections being carried out to the satisfaction of the nominated examiner/s;*²⁷
- C. *Require a re-submission for the degree, including a further oral examination, and with the work re-submitted within a maximum period of twelve months from the date of the first examination.*
- D. *Recommend the award of a lower degree, with or without further amendment to the thesis, in accordance with the criteria and requirements of that lower degree.*
- E. *Fail.*

The Independent 'non-examining' Chair has a different function to that of the Examiners.

The Independent Chair's role is *to facilitate a professional and authoritative setting for the examination, and to ensure that the assessment process is conducted rigorously, equitably, appropriately, fairly and consistently, according to the University's regulations and procedures. The Chair shall have a neutral role and take no part in the actual*

²⁵ MPhil/PhD Regulations – regulation 9.2 c); Professional Doctorate regulations – regulation 9.2 c)

²⁶ Examiners may recommend this outcome, i.e. *Award the degree*, despite typographical/spelling corrections being needed, provided that the Examiners do not wish to review these corrections after the Student has made them.

²⁷ Examiners may find the following guidance useful: "*Corrections*" may cover a range of amendments:

- *the correction of typographical, spelling and grammatical errors;*
- *limited revisions of material in the submission that the examiners specify in detail and which in their judgement is necessary for the submission to reach an acceptable standard. This latter category can include limited revisions not central to the submission, omissions, and improvements to the argument which do not materially alter the conclusions;*
- *matters which are in excess of minor corrections but not, in the opinion of the examiners, sufficient to require the candidate to revise and re-submit; such modifications may involve a major re-write of sections or significant clarification and amendment of arguments. The award of the degree is withheld until the examiners confirm that all corrections have been completed.*

*assessment of the student or the submission. The Chair will advise the examiners on the University's research degree regulations, procedures, policy and practice, and provide a report (in standard format) to the University's Research Degrees Committee on the conduct of the oral examination.*²⁸ The Independent Chair is always a senior member of the University with successful supervision and examining experience at research degree level, and with sufficient experience and seniority to command respect and, if necessary, intervene in the oral examination to ensure good practice. The Independent Chair is also independent of the research degree programme and of the Candidate. In view of the nature of their role, the Independent Chair is not required to read the Candidate's submission. However, on the day of the oral examination, the Chair will receive a copy of the candidate's submission, for reference only during the oral examination.

5.4 The process of the examination

The examination is a two-fold assessment. First, each Examiner receives a copy of the submission and individually, and independently, forms a preliminary assessment of the submission's potential. This assessment is documented (on the standard report form 'A') and returned to The Graduate School in advance of the oral examination taking place (on the day of the examination will suffice).

In the case of a Practice-based submission, see note at section 5.5 below *.

Secondly, the oral examination is a meeting between the Candidate and the Examiners, chaired by an independent person, and often with the Principal Supervisor in attendance as an observer and to support the Candidate.

From their preliminary assessment of the submission, the Examiners will have identified some points within the thesis (or portfolio and its supporting critical commentary) to challenge and question the candidate during the oral examination. They will also wish to test the Candidate's knowledge of background information and his/her understanding of the academic research field.

The oral examination is the opportunity for the Candidate to defend their work, to demonstrate that it is their own work, to further develop their ideas in conversation with the Examiners, to demonstrate their command of the academic area they have researched, and also demonstrate their oral skills in presenting their contribution to knowledge.

5.5 The day of the oral examination

Before the day of the examination, the Graduate School will have sent an email to the Examiners, the Independent 'non-examining' Chair, the Candidate and the Principal Supervisor to inform them of the date, time and venue of the oral examination.

A preliminary meeting is scheduled for the Examination team alone, and the Examination team will be asked to meet normally 45 minutes before the start-time agreed for the oral examination. This enables the Examiners to confer before the oral examination begins.

The candidate will be expected to take a copy of his/her submission into the examination room and so, if required, may refer to it during the oral (viva voce) examination. Should the candidate wish to do so, he or she may also take relevant notes. If a candidate has any

²⁸ MPhil/PhD Regulations – regulation 9.6; Professional Doctorate regulations – regulation 9.6

special requirements (including issues of disability) then he or she should discuss these with the Graduate School well in advance of the agreed date for the examination.

* **Note:** if the candidate's work is practice-based and the Examiners are required to view an exhibition of that practice which is part of the candidate's 'submission', the format/schedule for the day of the oral examination will differ. In addition, the timing for completion of each Examiner's independent preliminary assessment of the written submission, because the Examiner will not be able to complete their assessment, and provide their written report, unless and until he or she has viewed the candidate's exhibition of work.

Continued on the next page

A typical schedule for the day of the examination:

9.15 a.m.	Examiners & Independent Chair meet. The GS Administrator provides relevant documentation to the Chair and the Examiners. Copies of Examiners' independent preliminary reports (on standard 'A' form) are exchanged.
9.30 a.m.	Examiners & Independent Chair meet privately to finalise the examination questions.
10.00 a.m.	Candidate and Principal Supervisor arrive & wait outside examination room
10.00 a.m. approx.	<p>The Independent Chair:</p> <ul style="list-style-type: none"> invites candidate & Principal Supervisor into the examination room introduces everyone introduces the examination process <p>The Examiners question the candidate about the submission.</p> <p>The Independent Chair ensures that:</p> <ul style="list-style-type: none"> the examination is conducted fairly and professionally the candidate has the opportunity to respond to questions and raise any issues they wish there is a comfort break in the examination as necessary
12.00 midday approx.	<p>The Independent Chair:</p> <ul style="list-style-type: none"> brings the examination to a close invites candidate & Principal Supervisor to withdraw from the room and return in about 45 minutes (may take longer)
12.00 – 12.45	<p>The Independent Chair:</p> <ul style="list-style-type: none"> facilitates the Examiners to reach a consensus on the recommended outcome ensures the Examiners fully complete their jointly agreed report & recommendation to Research Degrees Committee of the examination outcome (on standard report form 'B') arranges for photocopies to be made of the report form 'B'
12.45	The Principal Supervisor, if not present earlier at the oral examination, now arrives and waits outside the examination room
12.45	<p>The Independent Chair:</p> <ul style="list-style-type: none"> invites the candidate & Principal Supervisor back into the examination room chairs the Examiners' feedback to the candidate informs the candidate of the examiners' recommendation to the RDC & their requirements for any corrections to be made to the submission provides the candidate with a photocopy of the recommended outcome of the examination informs the candidate of 'what happens next'
13.00	The candidate & Principal Supervisor leave
13.00	The Graduate School receives the Examiners' report and recommendations, and submits these for the next Research Degrees Committee meeting to consider for approval. The Graduate School also receives the Independent Chair's report on the conduct of the examination.

The Candidate attends the examination venue at the required time but waits outside the exam room until invited inside by the Examination Team. If the Principal Supervisor is also attending the entirety of the oral examination, then s/he also waits outside the venue, with the Candidate, until invited into the room.

When the Examiners are ready to begin the examination, the Independent Chair invites the Candidate and Principal Supervisor into the examination room. The Independent Chair introduces everyone and explains how the examination will proceed.

The Examiners then begin to discuss the submission with the Candidate, and to ask questions. The Independent Chair ensures that the questioning proceeds in a fair way, and that the Candidate has opportunity to answer each point and to raise any issues if s/he wishes.

The Chair will call a comfort break to the exam, if it runs on for a long time or if it is thought that the Candidate needs a short break. Throughout, the Supervisor is an observer.

When the Examiners have completed their questions and the Candidate has no further issues to raise, the Chair brings the exam to a close.

At the conclusion of the oral examination, the Candidate and Supervisor are advised to withdraw from the examination room, and return in about 45 minutes (although the interval here may be longer). This allows time for the Examiners to decide on which outcome they will recommend to the Research Degrees Committee. The options open to the Examiners are limited, and are specified in the University's regulations.²⁹ It is the Independent Chair's responsibility to seek a consensus agreement by the Examiners on the recommended outcome of the examination. The Examiners document [on the standard report form 'B'] both their recommendation and any corrections which they require the Candidate to make to the submission as part of their recommendation to the University's Research Degrees Committee. Photocopies are then made of the documentation completed by the Examiners.

When the Examiners have finalised their recommended outcome, it is time for them to give the Candidate immediate oral feedback from the oral examination. The Independent Chair ensures that the Principal Supervisor is available (because sometimes the Principal Supervisor attends the oral examination only for this final feedback) and invites both the Candidate and Principal Supervisor into the examination room. The Examiners then inform the Candidate of the recommended outcome of the examination which they will submit for the Research Degrees Committee to consider for approval. At that point, the Examiners will also explain any corrections to the submission which they require the Candidate to complete.

The Candidate is given a copy of the Examination Team's recommendation (on the report form 'B'), and advised that this has yet to be considered by the University's Research Degrees Committee for approval. A copy of this documentation is also given to the Supervisor. Finally, the candidate and supervisor will also be given a copy of the document *Guidance for research degree students at the end of the oral examination*, which explains 'what happens next'. At that point, the oral examination is concluded.

6.0 AFTER THE EXAMINATION

After the oral examination has been held, it takes up to six weeks for the Examiners' recommendation to be considered for approval by the University's Research Degrees Committee (RDC), which meets monthly; the Candidate will not be formally notified of the examination outcome until then.

The RDC is the University Committee which holds formal authority, delegated from the University's Academic Board, for research degree examinations and awards. When RDC considers examiners' recommendations, the Committee usually approves the examiners' recommendations in a straightforward way. Occasionally, however, RDC will adjust the examiners' recommendations, to ensure parity across the University, or where examiners have strayed outside of University regulations. Very rarely, i.e. when examiners were unable to agree on a recommended outcome, RDC may appoint new examiners.

²⁹ MPhil/PhD Regulations - regulation 10.3; Professional Doctorate regulations - regulation 10.3; Regulations for PhD by Published Work – regulation 8.1

Whatever the decision of RDC, the Graduate School will formally notify the Candidate of the examination outcome (copied to the Principal Supervisor and the Faculty's PGR Director and the PGR Programme Support Co-coordinator).

If the approved examination outcome is an award of the degree without any further corrections, there is no further academic work for the Candidate to undertake. The processes for finalising the award are set out in section 8 of this document.

However, it is often the case that the examination outcome entails the Candidate making corrections to the submission, and sometimes these are extensive. See section 6.1 below for further details. Immediately after the oral examination, and while waiting for the Graduate School to confirm that the Research Degrees Committee has formally approved the examination outcome, the Candidate can be addressing these required corrections, with the support of their Supervisors, and based on the feedback given to the Candidate by the Examiners on the day of the examination.

After the RDC has approved the Examiners' recommendation, the Examiners' requirements are formally confirmed, in writing, to the Candidate and Principal Supervisor by the Graduate School. At that stage, the Graduate School will also notify the Candidate of the deadline by which he or she is required to submit any required corrections or re-submission.

Whilst undertaking the additional work required by the Examiners, the Candidate and supervisor must not communicate directly with the Examiners; if there are any queries over the Examiners' requirements, then clarification should always be sought via the Graduate School (see also section 6.2 following).

After the examination:

Next few weeks immediately after the oral exam	With the Principal Supervisor's support, the Candidate begins to address any amendments, which the Examiners have orally & provisionally notified to the Candidate at the end of the examination.
Within 6 weeks	Research Degrees Committee (RDC): <ul style="list-style-type: none"> • receives the Examiners' recommendation • considers & (usually) approves it • and EITHER awards the degree OR sets the date for completion of corrections or a re-submission
Within 2 weeks of the RDC meeting	The Graduate School: <ul style="list-style-type: none"> • informs the Candidate formally of the approved exam outcome (copied to the Principal Supervisor) • and EITHER confirms the award OR notifies the Student of the required amendments or re-submission

6.1 The nature and scale of required corrections/revisions to a submission will differ in each case, and are reflected in the examination outcome recommended by the Examiners. In summary, however, required revisions are either *Corrections* or they are so substantial that they constitute a *Re-submission for the degree*.

Corrections

When the Examiners recommend an *award subject to corrections being carried out*, it means that the Candidate has satisfied the University's requirements for the award, but that there are amendments which the Candidate still has to make, to the

satisfaction of the Examiner(s), before the award is finalised. This may cover a range of amendments:

- corrections which are more than typographical/spelling corrections;
- limited revisions of material in the thesis/dissertation that the examiners specify in detail and which, in their judgement, is necessary for the submission to reach an acceptable standard to meet the criteria for the award of the degree. This latter category can include limited revisions not central to the submission, omissions, and improvements to the argument which do not materially alter the conclusions;
- matters which are in excess of minor corrections but not, in the opinion of the examiners, sufficient to require the candidate to revise and re-submit; such modifications may involve a major re-write of sections or significant clarification and amendment of arguments.

The award of the degree is withheld until the examiners confirm that all corrections have been completed to their full satisfaction.

In all these cases, the RDC will determine how long is needed for the Candidate to make the required corrections and the Graduate School will inform the Candidate (and the Supervisor) of the deadline by which the corrections are to be submitted, together with the number of hard copies required of the corrected version.

Re-submission

Where Examiners recommend a re-submission, it means that the Candidate has NOT satisfied the University's requirements for the award. The shortcomings of the submission are so significant that the submission has to be thoroughly revised, so that the Candidate can make a second attempt to satisfy the requirements for the award of the degree through a re-examination. In this case, the Candidate has up to twelve months to revise the submission in the light of the comments made by the Examiners, and then to re-submit it to the Graduate School. Thereafter, the Candidate will have a second oral examination, to demonstrate that he or she meets the criteria for the award; however, this will be the final full opportunity for the Candidate to do so, because *normally, only one oral re-examination is permitted*.³⁰ When working on the corrections or revising the thesis/portfolio for re-submission, the Candidate is supported by the Principal Supervisor. It is critical that full attention is paid to the changes required by the Examiners and to the comments made by Examiners on the report compiled at the end of the first exam (the report form 'B'), which has been copied to the Candidate and the Principal Supervisor. It is the Candidate's responsibility to carefully and thoroughly correct or revise their submission to fully satisfy the Examiners' requirements, so as to meet the University's criteria for the award.

6.2 Working on the required corrections/revisions

While the Candidate is working on the corrections, there is no contact between the Candidate and the Examiners, and no exchange of documents or other correspondence (including the revised submission) by the Candidate or Principal Supervisor directly to any member of the examination team. Any contact with the Examiners must be routed through the Graduate School. The purpose of this stipulation is to safeguard the integrity of the

³⁰ MPhil/PhD Regulations – regulation 10.8; Professional Doctorate regulations – regulation 10.8

examination procedures, and to ensure independence and parity in the assessment process.³¹

When the Candidate has completed the required corrections, or revised the thesis/portfolio for re-submission, the work must be submitted to The Graduate School, Floor 5, Wynne Jones Building.³² The required number of hard copies (as previously notified to the Candidate by the Graduate School when confirmation of the examination outcome was emailed) must be submitted, together with an electronic pdf copy, which is identical to the hard copy of the submission. The Graduate School will then liaise with the Examiners, to finalise the examination process (including, in the case of a re-submission, the arrangements for the second oral examination).

When the Examiners consider the corrected or re-submitted thesis/portfolio, they are again bound by the University's regulations on the examination outcome.³³ The Examiners will be expecting that the Candidate has taken sufficient time to diligently and satisfactorily address all of the shortcomings and requirements identified at the first examination.

Corrections

For corrections, the assessment is conducted by post [between the Graduate School and the Examiner(s)] and the Candidate is not involved in person. The Supervisor has no involvement in the assessment.

Once the Examiners have completed their assessment of the corrected submission, they submit their recommended outcome to the Research Degrees Committee (RDC), via The Graduate School. The Examiners will confirm whether the candidate has completed the corrections to their satisfaction and whether they can recommend to the RDC that the award should be made to the candidate. Again, it takes up to six weeks for the Examiners' recommendation to be considered for approval by the Research Degrees Committee (RDC), which meets monthly; the Candidate will not be formally notified of the examination outcome until then.

If the Examiners recommend that the corrections have been completed to their satisfaction and they confirm that an award of the degree can be made, there is no further academic work for the Candidate to undertake. The process for finalising the Award is set out in section 8.0 of this document.

If the outcome is not a straightforward award of the degree because the Examiners are not satisfied that the Candidate has completed all of the corrections to their satisfaction, the Candidate will be required to complete the unresolved corrections to satisfy the Examiners. The Graduate School will formally notify the Candidate of these outstanding requirements, together with the deadline for submission of the further corrected thesis (or portfolio), and the number of copies of the further corrected submission that the candidate is required to submit to the Graduate School. On receipt of the revised submission, the Graduate School will dispatch a copy of it to the Examiner(s) for further review.

³¹ MPhil/PhD Regulations – regulation 8.3; Professional Doctorate regulations – regulation 8.3

³² MPhil/PhD Regulations – Appendix 1, section 1, iii); Professional Doctorate regulations – Appendix 1, section 1

³³ MPhil/PhD Regulations - regulation 10.3; Professional Doctorate regulations - regulation 10.3; Regulations for PhD by Published Work – regulation 8.1

When the Examiners are finally satisfied that the corrections have been completed to their full satisfaction and the criteria for the award have been met, they will recommend that the University should award the degree.

Very occasionally, the Candidate is unable to satisfy the Examiners that they have made the required corrections and so is unable to satisfy the criteria for the award. In such circumstances, and after the Candidate has had due opportunity to meet the requirements, the Examiners may recommend a lower award or fail. When Research Degrees Committee has considered and determined the outcome, the Candidate is informed accordingly by the Graduate School.

Re-submission

For a Re-submission a second oral examination is required and the Graduate School will make the arrangements for the second examination.

7.0 THE AWARD

Once the Research Degrees Committee has awarded the degree, the Candidate is notified accordingly by the Graduate School. The formal date of the award is the date of the relevant Research Degrees Committee meeting.

The Graduate School advises the candidate on the requirements for the next stage in the award process. At this point, the Candidate is required to provide one electronic copy of the approved final submission in PDF format.

- Unless RDC has approved restricted access to the final submission [see section 7.1 following], the electronic copy is uploaded to the University's institutional research repository, Northumbria Research Link, which enables world-wide access through the British Library's Electronic Theses Online System (EThOS). Further information regarding the University's Open Research Repository is available on [E-Theses FAQs](#) and [EThOS FAQs](#) pages.

After receipt of the thesis (prepared to the University's specification), the University issues to the Candidate the degree parchment. This can take up to three months. The Candidate is invited to attend the next Academic Congregation, to receive their degree in person. The Congregation ceremonies are held twice a year, in December and July.

7.1 Restricted Access to the final thesis

It is the Candidate's responsibility to apply, to the University's Research Degrees Committee (via the Graduate School) for restricted access, if required, before the appointment of examiners

The Award:

RDC	RDC <ul style="list-style-type: none"> considers and approves the Examiners recommendation; awards the degree
Graduate School	Notifies the Candidate that the award has been made, and clarifies the administrative outstanding requirements, i.e. submission of: <ul style="list-style-type: none"> the final approved thesis/portfolio An identical electronic pdf copy of the final approved thesis/portfolio
Candidate	Submits the required copies of the final approved thesis/portfolio to Graduate School, in hard copy and electronic pdf format
University	Issues to the Candidate the degree parchment which is the formal documentation of the award.
Graduate School	Submits the electronic copy of the thesis/portfolio to Northumbria Research Link (unless the Research Degrees Committee has approved restricted access to the final submission)
Candidate	Attends the Academic Congregation to receive their degree in person <i>Note: the degree parchment is issued separately; it is not handed to the candidate at the congregation ceremony</i>

ANNEX A - REQUIREMENTS FOR PRESENTATION OF MASTER OF PHILOSOPHY OR DOCTOR OF PHILOSOPHY

The University's regulations state that: *The work must be presented to an excellent standard of presentation and securely bound. Details of the format of the binding and style of presentation are issued separately. The student must ensure that the format and standard of submission fully meet the requirements of the University's regulations.*³⁴ The following section comprises the *Details* about presentation, referenced above.

A1 General statement

A thesis should normally be presented in written (A4 format) in 'portrait' form. In exceptional circumstances, the Research Degrees Committee may give permission to submit a thesis in an alternative format where it is satisfied that this is more appropriate to the contents. *See section 3.2 bullet point f) of this document.*

A2 The thesis

The candidate is responsible for submitting the final thesis for the assessment of the award. The work must be presented to an excellent standard of presentation and securely bound. The candidate must ensure that the format and standard of submission fully meet the requirements of the University's regulations.

Submission for examination is at the sole discretion of the candidate. However, it would be unwise for the candidate to submit against the advice of the supervision team, but s/he does have the right to do so. The candidate should not assume that a supervisor's agreement to submission of the thesis guarantees the award of the degree.

A declaration that the work has not been submitted for any other award and that it is the work of the candidate alone must be included (and signed and dated by the candidate) in the written submission (an example is shown at Appendix 3). Where appropriate, this declaration will specify the relationship of the submission to any wider project or collaborative project. The declaration should also state the number of words contained in the thesis *N.B the word length excludes bibliography (academic references), footnotes and appendices.*

The candidate should also provide, with the submission, copies of any material which he/she may have published (alone or jointly), to enable the examiners to be fully informed of the contribution to knowledge actually made by the submission.

A3 The form of the submission

The standard submission comprises a written thesis with an indicative word length as follows:

In sciences and engineering:

- ◆ a written thesis of 35,000 - 45,000 words for PhD; or
- ◆ a written thesis of 17,500 - 22,500 words for MPhil.

³⁴ MPhil/PhD Regulations – Appendix 1, section 1, i)

In discursive subject areas such as humanities and social sciences:

- ◆ a written thesis of 75,000 - 85,000 words for PhD; or
- ◆ a written thesis of 37,500 - 42,500 words for MPhil.

Where the research consists of the preparation of a scholarly edition of a text or texts drawing upon literary or other original sources, the submission comprises of:

- ◆ a written thesis of 30,000 - 40,000 words for PhD; or
- ◆ a written thesis of 15,000 - 20,000 words for MPhil.

Practice-led submission:

A submission may be based around a candidate's own creative practice if this is used as an instrument of inquiry and reflection. In these cases, the practice and its processes will demonstrate a clear research methodology and the outcomes will be defensible in relation to their impact upon, and significance for, the appropriate field as a whole. The practice-led submission comprises:

- a permanent record of the candidate's creative work within the art and design subject domain including fine art, film, performance, creative writing, design practice, etc.; and
- a written thesis of 30,000 - 40,000 words for PhD; or 15,000 - 20,000 words for MPhil.

The formal relationship between the practical and written aspects of the research degree submission is defined as follows:

The line of inquiry or argument of the written thesis will elucidate the reflective elements of a programme of research in which a creative practice and its products will have embodied the process of interrogation and review. The thesis will also set the permanent record of the candidate's practice within its contemporary artistic or design context - these might include theoretical, historical, critical, literary, technological, economic, political or social frames of reference.

For a submission over the maximum word length, the Student must obtain prior approval from the Research Degrees Committee (via the Graduate School) explaining the outlining reason *Regulations for the degrees of Master of Philosophy (MPhil) & Doctor of Philosophy (PhD) – Appendix 1, paragraph 2 i*) refers. However, it is normally expected that candidates will ensure that their written submission compiles with the indicative word length set out in the regulations for the award of the degree.

A4 Required layout of thesis

Whether the thesis is being submitted for:

- oral examination
- or a corrected version is being submitted following examination
- or the final version of the thesis is being prepared after any corrections have been approved by the Examiners and the award has been made

the required layout in all versions of a thesis is as follows:

In a single-volume thesis, material should be arranged in the following sequence:

An outer front and back cover

A Title page

An Abstract of the thesis (on a separate page)

List of contents

List of tables and figures

List of accompanying material

Preface

Acknowledgement(s)

Author's declaration

Text, divided into chapters, sections and sub-sections

Appendices (in single-volume thesis)

Glossary

List of references

Bibliography

Index

* Items in *italics* are optional (which the candidate should discuss with his/her supervision team).

A5 Front cover

A front cover is required which shows the following in font Arial or Times New Roman in font size 24:

- The Final title of the thesis (exactly as approved by the Research Degrees Committee when the examination team was appointed).
- Candidate's full name and initials
- The degree for which the work is being submitted
- The year in which the work was submitted for examination

(an example front cover is included at Appendix 1)

A6 Title page of thesis

A title page is required which shows the following in font Arial or Times New Roman, font size 24.

- the full title of the thesis (exactly as approved by the Graduate School Research Degrees Committee when the examination team was appointed).
- the full name of the candidate followed, if desired, by any qualifications and distinctions already held.
- a statement that the thesis is submitted in partial fulfilment of the requirements for the award (of Master of Philosophy or Doctor of Philosophy) of the University of Northumbria at Newcastle.
- the School or organisation in which the research was conducted.
- the month and year in which the work was submitted for examination.

(an example is included at Appendix 2).

A7 Layout of the main body of the thesis

Paper used for the thesis text should be of a substance within the range 70 g/m² to 100 g/m². It should be white, so that the text is easy to read and reproduce. The text and all the material of the thesis including illustrations should be produced on **A4-size paper**. The thesis may be presented on single or double sided paper. If double sided, then the paper should be sufficiently opaque to avoid show-through.

To allow for binding, the left-hand **margin** of each page should not be less than 4.0 cm. Other margins should be not less than 1.5 cm.

The minimum **font size** should be 11 and a maximum of size 12 for the main text. Appropriate **fonts** are Arial and Times New Roman.

Double or one-and-a-half spacing must be used in typescript, except for indented quotations or footnotes where single spacing must be used.

Pages must be numbered consecutively through the main text including figures such as photographs and/or diagrams which are included as whole pages. Consistent forms of language, spelling, numbering, symbols, etc. should be used throughout a thesis. **Page numbers** should be visibly clear of the text centred at the bottom of the page.

The thesis **abstract** should be inserted to follow the title page. It must provide a synopsis of the thesis, stating the nature and scope of work undertaken and the contribution made to knowledge in the subject treated. The Abstract should provide succinct answers to four related questions and do nothing else. The questions are:

- a) Why is the subject of your thesis (or portfolio) important?
- b) How have you undertaken the research?
- c) What are your main research findings?
- d) Why do your research findings matter?

The Abstract should appear on its own as a single page.

The **acknowledgement(s)** should include reasons for undertaking the study as well as acknowledgement of assistance, for example, support such as scholarships and colleagues.

A **declaration** that the work has not been submitted for any other award (except that entailed by research training as declared when the project was initially approved) and that it is the work of the student alone must be included; and that it fully acknowledges opinions, ideas and contributions from the work of others. Where appropriate, this declaration will specify the relationship of the submission to any wider project or collaborative project. When submitting the thesis, the author should draw attention to any material contained in the thesis that has been presented before. If the thesis is based on joint research, the nature and extent of the author's individual contribution should be stated. The declaration also confirms that all procedures for ethical approval have been followed and states the number of words contained in the Thesis – *excluding bibliography (academic references), footnotes and appendices*.

An example is included in Appendix 3.

Headings should be used to indicate the hierarchical structure of the text. There should normally be not more than four levels, including the chapter headings as the first level. Each level should be distinguished from the others by position or numbered sequence, or both. The position and graphic dominance of headings should reflect their status in the hierarchy. The thesis should be divided into appropriate distinctive parts such as **chapters**, sections and subsections. Every chapter should begin on a new page. Chapters should be numbered from the start to the finish of the thesis, continuing across volumes if necessary.

All **tables** should have a number and title, which should appear above the table. The number should precede the title. The title should describe the content of the table, e.g. 'Table 4. Influence of legislation on motoring offences', or summarise it, e.g. 'Table 4. Drop in parking offences as fines increase'. If a table occupies more than one page, its number should be given on each page, followed if necessary by '(continued)'.

A **figure** should normally appear near the first reference made to it in the text. The number should precede the title. The title should describe the content of the figure, e.g. 'Figure 2. Increase in motoring offences since 2000'.

Appendices should be numbered in a separate sequence from that used for chapters.

Footnotes should be clearly separated from the main text and from each other. They may be in smaller character size than the main text and more closely spaced. Every line, except the first of each footnote, should be indented so that the location key projects to the left.

Endnotes appear either at the end of the chapter or the end of the text. They should be listed in numeric or alphabetic order, according to their location keys.

A **bibliographical reference** should be given for every work, published or unpublished cited in the text. Citations in the text should be linked to the list of references using a referencing style commensurate with the academic discipline of the research programme, e.g. OSCOLA (Oxford Standard for the Citation of Legal Authorities; APA (American

Psychological Association); MLA (Modern Language Association); MHRA (Modern Humanities Research Association).

Whichever referencing style is selected, the same style must be used consistently throughout the text.

A8 Binding a thesis in more than one volume

The thickness of a single volume, excluding covers, should not be more than 7.0 cm. If this is the case, then the thesis should be divided and bound into two volumes. The outside cover of the thesis should then make it clear to the reader that there is more than one volume, e.g. 'Volume 1 of 2' on the first document and 'Volume 2 of 2' on the second.

A9 Binding of a thesis ready for the oral examination

See previous section A4 for the required layout in all versions of a thesis

The candidate should submit the thesis/portfolio for examination, and any revised thesis/portfolio, in a temporary bound form which is sufficiently secure to ensure that pages cannot be added or removed e.g. 'perfect binding' (where single pages are glued together on the spine of the document) or 'comb binding'. Ring binding is not acceptable.

A thesis submitted in temporary bound form must be in its final form in ALL aspects, apart from the binding.

There shall be a front and back cover (usually in soft card – there is no specific requirement on the colour of the card used).

The front cover should show the following in font Arial or Times New Roman, font size of 24 lettering:

- the full title of the thesis (exactly as approved by the Research Degrees Committee when the examination team was appointed).
- the surname (family name) of the candidate and initials
- the degree for which the work was submitted
- the year of submission of the work for examination
- the volume number if the work consists of more than one volume.

The back cover and spine of the document have no wording.

A11 Placing the thesis in the University Library

Following successful viva voce examination, a PDF copy will be placed in 'Northumbria Research Link', the University's institutional research repository. For PhD theses, a PDF copy will also be included in the British Library's national theses repository through its Electronic Theses Online System (EThOS).

A12 Restricted access to the final thesis

If the candidate has formally requested that the thesis be held on restricted access for a period of time after the award of the degree (normally two years), the PDF copy will not be placed in the University's research repository. Instead, the Graduate School will retain the PDF copy until after the period of restriction/confidentiality has expired.

Once the restriction period has ended, the GS will then place the submission in the public domain, i.e. in the University library and a PDF copy (of the final version of the submission, as approved by the examiners) will be placed in the University's institutional research repository. PhD theses can thereby be accessed world-wide via the British Library's Electronic Theses Online System (EThOS).

However, if the candidate requires the period of restricted access to be extended, he or she must submit a request to The Graduate School in writing. The Graduate School will arrange for the request for extension of the restricted access period to be considered by the Research Degrees Committee.

It should be noted that the Graduate School cannot undertake to remind the candidate when a period of restriction is about to lapse; it is the candidate's responsibility to decide whether the restriction period needs to be extended and to request the extension from the Research Degrees Committee.

THE ORIGINS OF THE FARMERS' CO-OPERATIVE IN WESSEX

J P BROWN

PhD

2013

THE ORIGINS OF THE FARMERS' CO-OPERATIVE IN WESSEX

JOHN PHILIP BROWN

A thesis submitted in partial fulfilment
of the requirements of the
University of Northumbria at Newcastle
for the degree of
Doctor of Philosophy

Research undertaken in the
Faculty of Arts, Design & Social Sciences
and in collaboration with
the Farmer's Union Ltd, Wessex

September 2013

Appendix 3: Specimen declaration page wording MPhil/PhD

Declaration

I declare that the work contained in this thesis has not been submitted for any other award and that it is all my own work. I also confirm that this work fully acknowledges opinions, ideas and contributions from the work of others. The work was done in collaboration with the Farmer's Union Ltd, Wessex.

Any ethical clearance for the research presented in this thesis has been approved. Approval has been sought and granted by the Faculty Ethics Committee / University Ethics Committee / external committee [*please indicate as appropriate*] on [*date*].

I declare that the Word Count of this Thesis is 83,216 words

Name:

Signature:

Date:

ANNEX B - REQUIREMENTS FOR PRESENTATION OF A PROFESSIONAL DOCTORATE THESIS OR PORTFOLIO

The submission (i.e. the 'thesis' or 'portfolio') must be presented to the standards listed in the University's *Framework for the Professional Doctorate Award*. Students and Principal Supervisors should also refer to the Programme Validation Document for additional information. Students are advised to note Appendix 1, *Instructions to Students for the submission of the research programme for examination*, from the published Professional Doctorate Award Regulations. In particular, section 2 states the format of the submission for the research component, which will normally be one of the following:

- The standard submission comprises a written thesis with an indicative word length of not more than 60,000 words.
- The Portfolio will always contain a critical commentary of approximately 15,000 words.

Further advice is available from the relevant Committees³⁵ and particular attention should be paid to the requirements of the validation document of the relevant Professional Doctorate programme.

B1 A Professional Doctorate thesis or portfolio shall normally be in A4 format.

Candidates seeking to submit a thesis or portfolio in different format must obtain permission from the University's Research Degrees Committee.

B2 Copies of the thesis or portfolio must be presented in a permanent and legible form either in typescript or print. Where copies are produced by any photocopying process, these must be of a permanent nature.

B3 Double or one-and-a-half spacing must be used in typescript except for indented quotations or footnotes where single spacing must be used.

B4 Pages must be numbered consecutively through the main text including photographs and/or diagrams that are included as whole pages.

B5 The thesis or portfolio may be presented on single or double sided paper. If double sided, then the paper should be sufficiently opaque enough to avoid show-through

B6 There must be a title page included in the thesis or portfolio, which gives the following information:

the full title of the thesis or portfolio (exactly as approved by the Research Degrees Committee when the examination team was appointed);

the full name of the author followed, if desired, by any qualifications and distinctions already held;

³⁵ Faculty Research Degrees Sub-committee or Graduate School Committee

a statement that the thesis or portfolio is submitted in partial fulfilment of the requirements for the award (of Professional Doctorate) of the University of Northumbria at Newcastle;

the School or organisation in which the research was conducted;

the month and year of submission of the work.

An example title page is reproduced at the end of this document.

B7 Binding – temporary

The candidate may submit the thesis or portfolio for examination in a temporary bound form which is sufficiently secure to ensure that pages cannot be added or removed e.g. 'perfect binding' (where single pages are glued together on the spine of the document) or 'comb binding'. Ring binding is not acceptable.

A thesis or portfolio submitted in temporary bound form must be in its final form in ALL aspects, apart from the binding.

There should be a front cover, which shows the following in at least 24pt type:

the full approved title of the work

the candidate's name and initials

the degree for which the thesis or portfolio is submitted

the month and year of submission of the work

B8 Unusually, it may be necessary to bind the work in more than one volume; in which case the outside cover of the work (whether in full or in temporary bound form) should make it clear to the reader that there is more than one volume, e.g. 'Volume 1 of 2' on the first document and 'Volume 2 of 2' on the second.

B9 Once the thesis or portfolio is bound and ready for examination the relevant number of copies (**one for each Examiner together with a reference copy for the Independent Chair**) should be sent/taken to The Graduate School.

The candidate should NOT send the thesis or portfolio direct to the examiners.

B10 When the thesis or portfolio is received in The Graduate School Office, the GS will send one copy to each of the Examination Team.

B11 After the degree is awarded, if the candidate has previously requested that the Professional Doctorate thesis or portfolio be held on restricted access (or should remain confidential) for a period of time after the award of the degree (normally two years), the thesis or portfolio will not be lodged in the University Library or the University's online open repository until after the period of restriction/confidentiality has expired.

**THE DEVELOPMENT AND
IMPLEMENTATION OF A STRATEGIC
PLAN FOR BROWN CONSULTANTS**

J P BROWN

DBA

2013

**THE DEVELOPMENT AND
IMPLEMENTATION OF A STRATEGIC
PLAN FOR BROWN CONSULTANTS**

J P BROWN

A thesis submitted in partial fulfilment
of the requirements of the
University of Northumbria at Newcastle
for the degree of
Professional Doctorate

Research undertaken in
Newcastle Business School

and in collaboration with Brown Consultants

September 2013

Appendix 6: Specimen declaration page wording Professional Doctorate

Declaration

I declare that the work contained in this thesis has not been submitted for any other award and that it is all my own work. I also confirm that this work fully acknowledges opinions, ideas and contributions from the work of others. The work was done in collaboration with Brown Consultants.

Any ethical clearance for the research presented in this thesis has been approved. Approval has been sought and granted by the Faculty Ethics Committee / University Ethics Committee / external committee [*please indicate as appropriate*] on [*date*].

I declare that the Word Count of this Thesis is 83,216 words

Name:

Signature:

Date:

Appendix 7: Abbreviations used for Professional Doctorate programmes:

Full title of Professional Doctorate programme:	Abbreviated title of Programme
Doctor of Public Administration	DPA
Doctor of Arts and Culture	DAC
Doctor of Design Practice	DDP
Doctor of Family Therapy	DFT
Doctor of Health Care	DHC
Doctor of Midwifery	DMW
Doctor of Nursing	DNursing
Doctor of Occupational Therapy	DOccTher
Doctor of Physiotherapy	DPT
Doctor of Social Work	DSW
Doctor of Social Care	DSocCare
Doctor of Public Health	DPubHealth
Doctor of Education	EdD
Doctor of Biomedical Sciences	DBS
Doctor of Sport	DSport
Doctor of Occupational Psychology	DOccPsych
Doctor of Business Administration	DBA
Doctor of Business Leadership	DBL
Doctor of Information Sciences	DInfoSci

ANNEX C – REQUIREMENTS FOR PRESENTATION OF DOCTOR OF PHILOSOPHY BY PUBLISHED WORK

Instructions to candidates for the preparation of “the submission”

- I. Following successful application for PhD by Published Work (i.e. the Graduate School has notified that applicant that the University’s Research Degrees Committee is satisfied that the applicant has made a *prima facie* case for the award of the degree), the candidate is required to submit to the University, via the Graduate School, **three** sets of documentation (‘The Submission’). Each set of documentation is identical and includes:
 - a) an off-print or high quality photocopy of each of the published works cited, if necessary giving proof of authenticity. The works should be numbered and correspond exactly with the list cited in the original *prima facie* application (a copy of this approved list should also be included). No additional work can be included, without the prior permission of the University’s Research Degrees Committee.
 - b) a written commentary on the cited published outputs (it is anticipated that 5,000 – 10,000 words will be submitted) which:
 - (i) incorporates an abstract and a substantial introduction and conclusion which both puts the total work submitted into the context of knowledge as it then existed and also indicates the candidate’s contribution
 - (ii) provides evidence of an independent, coherent and original contribution to knowledge and states the significant contribution of the original work to the advancement of the field of study
 - (iii) is presented to a professional standard
 - (iv) should not be a replication, elaboration or enhancement of material contained in previously published work.
 - c) any forms relating to the submission of jointly authored work, fully signed (*see regulation 3.5*)
 - d) the declaration that the publications have not been submitted for another award (*see regulation 3.6*).

The (three) hard copies must be accompanied by an electronic copy of the submission in PDF format - including for re-submissions following an oral examination. The electronic version must be identical to the hard copies.

- II. Where a significant part of the candidate's own creative practice has been used as an instrument of inquiry and reflection, the candidate submits three sets of documentation, as described in section I above. However, in addition to the instructions above, the written commentary should clearly present the artistic work and set it in its relevant theoretical, historical, critical or design context.
- III. Each Submission, excluding books, is presented in A4 format and bound (spiral binding is sufficient). The relevant Committee may permit an alternative format to

be used for the documentation where it is satisfied that this would be more appropriate.

IV. Each bound copy of the Submission contains:

- a) a contents page and
- b) a title page which includes the following information:
 - (i) an appropriate title relating to the candidate's area of research covered by the published work submitted for the degree;
 - (ii) the full name of the candidate;
 - (iii) the following statement: *"A commentary submitted in partial fulfilment of the requirements of the University of Northumbria at Newcastle for the degree of Doctor of Philosophy by published work"*;
 - (iv) the date of submission.
- c) a declaration (signed and dated by the candidate) as follows *"I declare that no outputs submitted for this degree have been submitted for a research degree of any other institution"*

**A JOURNEY EXPLORING THE
DEVELOPMENT OF SOCIAL AND
CULTURAL IDENTITIES**

JOHN PHILIP BROWN

A commentary submitted in partial fulfilment
of the requirements of the
University of Northumbria at Newcastle
for the degree of
Doctor of Philosophy by Published Work

September 2013

Appendix 9: Specimen declaration page wording PhD by Published Work

Declaration

I declare that no outputs submitted for this degree have been submitted for a research degree of any other institution. I also confirm that this work fully acknowledges opinions, ideas and contributions from the work of others.

Any ethical clearance for the research presented in this commentary has been approved. Approval has been sought and granted by the Faculty Ethics Committee / University Ethics Committee / external committee [*please indicate as appropriate*] on [*date*].

I declare that the Word Count of this Commentary is 9,616 words

Name:

Signature:

Date: