MANUAL OF ACADEMIC REGULATIONS AND PROCEDURES 2024-25 POSTGRADUATE RESEARCH REGULATI

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PR 2.2 REGISTRATION PERIOD

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

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PR 2.4 PROGRESSION REQUIREMENTS

Year 1 (year 2 part-time)

- PR 2.4.1 Within the first six months all research students must fulfil the following, or an equivalent, process:
 - (a) attend an approved induction programme;
 - (b) carry out an approved development needs analysis (DNA) or equivalent in consultation with their supervisors, and keep a record of agreed follow-up to the DNA;
 - (c) take the appropriate research training activities, informed by the DNA as guided by their supervisors;
 - (d) complete a research proposal or plan of work which the supervisors approve as appropriate and viable;
 - (e) completed the mandatory Research Integrity and Ethical Research training;
 - (f) agree any additional training that may be required;
 - (g) agree a projected completion timetable with their supervisors; and
 - (h) any additional requirements to meet the particular needs of the individual awards.
- PR 2.4.2 Any research student who does not demonstrate satisfactory progress during the first six months full-time should be: carefully monitored and supported, informed about any reasons for concern, set objectives, and their progress reviewed before the twelve month deadline. If their progress is still not satisfactory they will be referred to the Standing Academic Committee by the academic department with a recommendation for exclusion from the programme. Students who have been excluded for failing to make satisfactory progress may appeal against the exclusion under the Academic Appeals procedures as defined in the chapter on <u>Academic Appeals</u>.
- PR 2.4.3 Confirmation of PhD status, where appropriate, may be conferred at this stage in accordance with the procedures (see PR 2.5 below).
- PR 2.4.4 It is the responsibility of the student and supervisor to identify whether ethical approval is required for any part of the research.¹ If it is, then no research requiring ethical approval can be conducted before ethical approval has been gr(r)-1.7 (e e)-5..6 ()-54 (.)]TJ0 Tc 0 Tw 7.M-0

Years 2 to 4 (or part-time equivalents)

- PR 2.4.5 Continued registration of a student in years 2, 3 and 4 on the research component of a PhD programme is conditional upon agreed criteria including:
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used, students should be given the option to pause when they discuss their supervision experiences; this is also the case when supervisors discuss the candidate if the candidate is not present.

- PR 2.5.3 The PhD confirmation panel:
 - (a) must normally be held no later than eighteen months after initial registration (twenty-four months for part-time) or entry into the research phase of a PhD with a previous taught component. Departments are responsible for ensuring the timely completion of the PhD Confirmation Panel. If the panel is held within twelve months of registration then the report of the panel should replace the first year's annual review report. Where a student's PhD status is confirmed after twenty-four months have elapsed (thirty-six months part-time) from initial registration, they are liable for fees for a further twelve months from the date of the panel (pro rata for part-time students);
 - (b) must see and approve evidence that the student has: attended induction, carried out the Development Needs Analysis (DNA), completed the mandatory Research Integrity and Ethical Research training,² attended any additional agreed training, devised a viable research proposal, made appropriate progress on ethical approval requirements prior to commencing any research, and a completion timetable approved by their supervisors;
 - (c) must be able to confirm that the student's work is of appropriate quality and standard, and the project is viable within the registration period, on the basis of draft chapters and/or evidence of data gathered; and
 - (d) will have four possible recommendations confirm as PhD; continue as a probationary PhD student; transfer to MPhil; exclusion.
- PR 2.5.4 Students not successful in receiving confirmation of PhD status may appeal against the recommendation under the procedures for Academic Appeals as defined in the chapter on <u>Academic Appeals</u>.

PR 2.6 SUBMISSION OF THESIS

- PR 2.6.1 The decision to submit a thesis for examination is taken by the student, although the opinion of the supervisor should be considered.
- PR 2.6.2 A candidate shall make a declaration that the thesis is their own work and has not been submitted by this candidate in substantially the same form for the award of a higher degree elsewhere. Any sections of the thesis which have been published, or submitted for a higher degree elsewhere, shall be clearly identified. If the thesis is, in whole or in part, the result of joint research, a statement indicating the nature of the candidate's contribution to that research shall be included, confirmed by either the supervisor(s), or the principal author of the material(s) accepted for publication.

² For the avoidance of doubt, a student cannot be confirmed as a PhD candidate without having completed both the Research Integrity and Ethical Research training.

MARP 2024-25 Postgraduate Research Regulations report on the examination and make a recommendation based on both the report on the thesis and on the evidence from the oral, and any other examinations that have taken place.

PR 2.9 EXAMINATION OUTCOMES

- PR 2.9.1 The examiners shall make one of the following recommendations. Where a time period is specified for undertaking additional work on the thesis, this will commence from the date of notification of the decision by Student and Programme Administration.
 - (a) That the degree of PhD be **awarded immediately**: a pass with no corrections.
 - (b) That the degree of PhD be **awarded immediately**: a pass with veryminor corrections, i.e. typographical or presentational corrections only. The candidate is to make the very minor corrections required within one month prior to

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from Senate to the Committee of Senate. If this recommendation is for re-submission of the thesis it shall include the nomination of the panel of examiners for the resubmitted thesis.

PR 2.11 RESUBMISSION

Resubmission for the degree of MPhil

- PR 2.11.1 After examination of the resubmitted thesis the examiners shall, after holding an oral examination if they wish, recommend one of the following recommendations:
 - (a) That the degree of MPhil be **awarded immediately**: a pass, with no or very minor corrections, i.e. typographical or presentational corrections only. The candidate is to make very minor corrections, if required, within one month prior to submission of the final version of the thesis and there is no requirement for these to be approved by the internal or the external examiner.
 - (b) That no award be made.

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

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

Resubmission for the degree of PhD

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

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

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

Resubmission for the degree of DClinPsy/MD

- PR 2.11.5 After examination of the resubmitted thesis, which may include a second oral examination if the examiners require it, the examiners shall make one of the following recommendations:
 - (a) That the degree be **awarded immediately**: a pass with no or veryminor corrections, i.e. typographical or presentational corrections only. The candidate is to make very minor corrections, if required, within one month prior to submission of the final version of the thesis and there is no requirement for these to be approved by the internal/external examiners.

(b) That no award be made.

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

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

PR 2.12 DISAGREEMENT BETWEEN EXAMINERS UPON THESIS RESUBMITTED

- PR 2.12.1 The body or officer with delegated authority from Senate shall consider each case where the examiners of a resubmitted thesis are unable (after attempts have been made to reconcile their views) to reach an agreed recommendation. They shall have discretion to determine an appropriate course of action, including if necessary the appointment of an additional external examiner.
- PR 2.12.2 The following procedure shall be followed when the body or officer with delegated authority from Senate appoints an additional examiner for a resubmitted thesis.
- PR 2.12.3 The additional examiner shall make an independent report on the resubmitted thesis.
- PR 2.12.4 If the additional external examiner or the candidate so requests, an oral examination shall be arranged after that examiner has submitted their report on the thesis. The previous examiners of the thesis shall not be invited to attend but the student's supervisor shall be required to be present as an observer.
- PR 2.12.5 The additional external examiner shall make one of the recommendations listed at PR 2.11.3, taking into account the candidate's performance at an oral examination if one has been held.
- PR 2.12.6 The body or officer with delegated authority from Senate shall consider the reports of all examiners on the resubmitted thesis, the examiners' final recommendations and the results of any oral examination held and, in the light of these, shall decid224 TD[(0.6 (a)-2(r)-0)-2 (a1-0.6

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- PR 3.5.2 A candidate shall make a declaration that the thesis is their own work, and has not been submitted by this candidate in substantially the same form for the award of a higher degree elsewhere. Any sections of the thesis which have been published, or submitted for a higher degree elsewhere, shall be clearly identified. If the thesis is, in whole or in part, the result of joint research, a statement indicating the nature of the candidate's contribution to that research shall be included, confirmed by either the supervisor(s), or the principal author of the material(s) accepted for publication.
- PR 3.5.3 A candidate shall also make a declaration that either: ethical approval has been granted for the research presented, or that ethical approval was confirmed as not being necessary for the research presented.

PR 3.6 FORMAT OF THESIS

- PR 3.6.1 A thesis for the degree of MPhil shall not normally exceed 60,000 words (see Appendix 2 for full details of specific material to be included and excluded within the word count). A candidate, with the support of their supervisor, may apply for exceptional permission to exceed the word limit, which approval may be granted by the body or officer with delegated authority from Senate.
- PR 3.6.2 The thesis shall be written in English. A candidate, with the support of their supervisor

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

- (d) be approved by the body and officer with delegated authority from Senate (with the exception of the format which comprises a series of related articles suitable for journal publication). Such approval shall be granted only in advance of thesis submission. The withholding of approval shall be deemed an academic judgement.
- PR 3.6.4 A copy of any thesis relating to the award of a research degree made by Lancaster University must be deposited with the University at the prescribed time. For details on the format of submission see Appendix 2.

PR 3.7 EXAMINATION

- PR 3.7.1 Examiners (including at least one external examiner) shall be appointed by the body or officer with delegated authority from Senate on the nomination of the department(s) concerned. Two external examiners shall be appointed for theses submitted by candidates who qualify for remission of tuition fees as members of staff, except where the body and officer with delegated authority from Senate determines otherwise. The candidate's supervisor shall not act as an examiner.
- PR 3.7.2 Each examiner shall make an independent report on the thesis. These reports shall be written before any oral or any other examination required by the examiners takes place and submitted to Student and Programme Administration prior to the examination. All examiners shall participate in any oral examination. Each examiner shall then make a recommendation based on both the report on the thesis and on the evidence from the oral examination. The examiners may at their discretion invite the student's supervisor to be present at the oral examination.
- PR 3.7.3 An oral examination is required. The examiners shall have discretion whether or not to hold an oral examination on a resubmitted thesis.

PR 3.8 EXAMINATION OUTCOMES

- PR 3.8.1 The examiners shall make one of the following recommendations:
 - (a) That the degree of MPhil be awarded immediately with no or veryminor corrections, i.e. typographical or presentational corrections only. The candidate is to make very minor corrections, if required, within one month prior to submission of the final version of the thesis and there is no requirement for these to be approved by the internal/external examiners.
 - (b) That the degree of MPhil be awarded subject to minor corrections being made within three months. 'Minor corrections' refers to, e.g. a number of significant stylistic errors such as needing to clarify or rephrase points, or add/edit blocks of text. There will be no requirement to conduct further research or to undertake substantial further work. The corrections must be approved by the internal examiner. A second oral examination is not required.

(c) That the degree of MPhil be **awarded subject to** major corrections being made within six months: there is a requirement for significant further work, but there is not an automatic requirement for a second oral examination. Changes may

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

PR 3.10 RESUBMISSION

- PR 3.10.1 The examiners shall, after holding an oral examination if they wish, make one of the following recommendations:
 - (a) That the degree of MPhil be **awarded immediately** with no or veryminor corrections, i.e. typographical or presentational corrections only. The candidate is to make very minor corrections, if required, within one month prior to submission of the final version of the thesis and there is no requirement for these to be approved by the internal or the external examiner.
 - (b) That no award be made.

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

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

PR 3.11 DISAGREEMENT BETWEEN EXAMINERS UPON THESIS RESUBMITTED0 Td()2001 Tw 2 (AjE2bSe.2.5 (a)-

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(b) That the degree of LLM/MA/MSc by Research be awarded subject to minor corrections being made within one month. 'Minor corrections' refers to e.g. a number of significant stylistic errors such as needing to claJ/TT0 1 T4.8 (s)-2.4 ((ic)2.6 ep6.156iLm PR 4.4.9 In the case of a disagreement between examiners a decision (see recommendations listed at PR 4.4.4) will be taken by the body or officer with delegated authority from Senate. If this decision confirms the recommendation that no degree be awarded the student may appeal under the Academic Appeals procedures as defined in the chapter on Academic Appeals.

PR 5 APPOINTMENT OF EXAMINERS (ALL RESEARCH DEGREES)

PR 5.1 GENERAL REQUIREMENTS

- PR 5.1.1 All research students, whether studying towards the MPhil or PhD, submit a thesis for examination which is assessed by examiners appointed specifically according to the student's area of study. As well as the assessment of the work itself, all PhD, MPhil and MA/MSc by Research students undergo an oral examination.
- PR 5.1.2 There shall always be at least one internal examiner and one external examiner. If a student has had a connection with the department or university beyond that of being a research student, i.e. as a member of staff or a research assistant, then a second external examiner is required. If a suitable internal examiner cannot be found or if only the supervisor would be suitable, then a second external examiner would also be required.

PR 5.2 EXTERNAL EXAMINERS: ELIGIBILITY AND APPOINTMENT

- PR 5.2.1 The external examiner shall normally be a senior academic from another institution qualified to assess the thesis within its own field and to compare its quality with work of MPhil/PhD standard at other British universities although where appropriate an examiner from outside the university sector may be appointed.
- PR 5.2.2 All external examiner(s) shall:
 - (a) be competent in the area of work being examined;
 - (b) be experienced in research, including having published;
 - (c) be experienced in the examination of research students.
- PR 5.2.3 Where it is deemed to be appropriate to appoint an examiner from outside the university sector, the person nominated must have an understanding of the examination process, and if they have not previously examined a research student, then the internal examiner must be widely experienced as an examiner.
- PR 5.2.4 The University shall appoint appropriate external examiners on the nomination of heads of departments and subject to approval by the body or officer with delegated authority from Senate on behalf of the Committee of Senate.
- PR 5.3 INTERNAL2(e)0.7 ()-5.5 ()0.7 ()-5.5 ()0. Td()aERNde ex,lel (p)-:(ega)-2.1.15 (b)L Tw 1.6IG((p)-IBEMC 1.2

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- (b) The Examiners are required to report independently on the thesis and submit their reports to the University.
- (c) The supervisor/s and other members of the supervisory team are required to confirm that the work is the candidate's own.
- (d) The Examiners, on the basis of the evidence available and their judgement on the standard of the thesis and the work represented therein, shall make one of the following recommendations:
 - (i) that the degree of PhD be awarded;
 - (ii) that the degree of MPhil be awarded (PhD and MPhil candidates);
 - (iii) that the degree of Masters by Research be awarded
 - (iv) that no award be made.
- (e) No corrections need be made to the thesis and it should be marked as having been assessed posthumously.
- (f) The Examiners' reports and recommendations will then be considered by the body or officer with delegated authority from Senate, on behalf of the Committee of the Senate, who shall decide upon the outcome.
- PR 6.3 If the candidate died after the oral examination but before any required corrections or resubmission could be undertaken the following procedures should be followed:
 - (a) The Examiners, on the basis of the oral examina

APPENDICES TO THE POSTGRADUATE RESEARCH REGULATIONS

PhD by Publication

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

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

(b) <u>Named doctorates</u>

Doctor of Clinical Psychology (DClinPsy)

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

Doctor of Engineering (EngD)

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

Doctor of Management (DMgt)

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

Doctor of Medicine (MD)

A professional research doctoral programme taken within the medical profession.

3. Masters level awards

Master of Philosophy (MPhil)

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

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

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

Master of Research (MRes)

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

APPENDIX 2: THE FORM, SUBMISSION AND DEPOSIT OF THESES

APPLICATION

- 1. This appendix sets out the prescribed form for the submission for examination, and the deposit of the final version of research theses at Lancaster University. In the case of programmes where submission takes a form other than, or includes work additional to that described below, the presentation of submissions shall be subject to guidance prepared by the relevant faculty or department.
- 2. The following rules shall apply to theses submitted for all doctoral degrees, the MPhil degree and the LLM/MA/MSc by Research degrees. They do not apply to dissertations submitted as part of a taught Masters programme (which includes the MRes). Students registered on

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

Language

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

Presentation of the written thesis elements

- 8. The written portion of the thesis should be presented as follows:
 - **x** To allow for printing and annotations which might be undertaken by an examiner at the examination stage or if the candidate wishes to have a copy bound for their individual
 - use: 5.1i (n)-0.6 (.6 ur(hld74.6 ()-1.5.5.1 Td0 Tw56 (s)6 (8.9a(n)-0.6blemt)7d t)1t)0.i an .6 (,5 1 4.5 .5 1 Td0n)0.6 .1 (5.1 (x The page size should be A4 (210 x 297 mm)
 - x Margins top, bottom and righueOujs7Tc 2-.5 ()]TJ0 Tc 0 Tw .3 (xp 6 (i)-12 0 Td[(hld)-5.1 (.6 (e c).

 ${\bf x}$ Candidates may also include the logo 4

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

REQUIREMENTS

- 20. **Multi-part thesis comprised of papers and articles:** A thesis for which approval has been granted for submission in a multi-part format comprising a series of related articles suitable for journal publication shall include:
 - (a) an introductory chapter covering the whole of the background and context of the research and demonstrating the overall unity of approach(es) and theme(s);
 - (b) a final chapter summarising the achievements and conclusions of the whole of the research;
 - (c) a full statement of authorship for each multi-authored publication, accompanied by written certification by the other authors of each publication of the proportion for which credit is due the candidate for carrying out the research and preparing the publication; and
 - (d) where appropriate a consolidated bibliography, in addition to these elements as they appear in individual chapters.

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

- 21. **PhD by coursework and thesis:** In respect of a thesis submitted under the regulations governing a PhD by coursework and thesis the wording of the cover page shall be: 'This thesis is submitted in partial fulfilment of the requirements for the degree of Doctor of Philosophy'.
- 22. PhD by Published Work: An electronic copy of all items submitted for the degree of PhD by Published Work shall be submitted to <u>Student and Programme Administration</u> for examination. This will include the full text of the publications included in the PhD and the supporting paper⁵. It is preferred that a single PDF file is submitted. Following examination, the final version including the full text of the publications and covering paper should be deposited in PURE. To deposit the published version of the publications, it is necessary to check the policy of the publishers of the publications that make up the thesis. If the publisher does not allow the published version of the full text to be deposited, it may be possible to deposit the 'author accepted manuscript'. Guidance on deposit for this type of doctorate is available from the Library. It is the responsibility of the student to check the publisher's policy regarding the inclusion of full text publications in the PhD.
- 23. **Multimodal PhD:** The components of multimodal theses may include, for example, art works, performances, collaborative projects, creative writing or similar elements. Specific

⁵ Details on what must be included in the supporting paper are provided in Appendix 3 of these Regulations.

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

APPENDIX 3: REGULATIONS FOR SPECIFIC DOCTORAL AWARDS OR PROGRAMMES

PHD BY COURSEWORK AND THESIS

- 1. Candidates shall register at the outset for a PhD qualification and undertake taught courses specified by the department of registration. Such courses shall normally be completed within twenty-four months of first registration.
- 2. To be eligible for confirmation of the PhD, the candidate shall:
 - (a) submit for assessment in the taught courses, written work of which a proportion specified by the department shall be of publishable standard; and
 - (b) satisfy a departmental exam board that they are academically capable of successfully completing a thesis.

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

- (c) that the candidate is eligible for their PhD registration to be confirmed, subject to submission of a satisfactory proposal for the thesis; or
- (d) that the candidate be invited to re-submit elements of coursework, to satisfy the requirement of (i) above, with one further opportunity for the PhD registration to be confirmed; or
- (e) that the candidate be invited to complete the requirements for examination for the

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

INTEGRATED PHD PROGRAMMES

5. A candidate shall register at the outset for a PhD with a minimum full-time registration period of forty-eight months and maximum of sixty months. Any extension of the maximum period must be approved by Student and Programme Administration

- (b) an audiovisual record of that event/work, or even live performances of that work on tour, will not be acceptable in lieu of a live performance or event at a designated venue unless the medium of audiovisual recording, the contingencies of touring, or the absence of locality, are factored into the research topic.
- 18. A permanent record of the practical component should normally be deposited with the written thesis in the University Library.
- 19. Just as the examiners can, according to the rules of the University, require the candidate to amend or revise a written thesis in part of in whole as a condition of an award, so they can also require the candidate to amend or revise the practical component in part or in whole, but only on the condition that they are not satisfied that any shortcomings in the practical submission can be compensated or accounted for in the written thesis. In such a case, the examiners should, wherever possible, set a cost-effective practical assignment that addresses their concerns rather than demand a revision of the original practical work in its entirety.
- 20. The written thesis must be of a quality commensurate with the usual standards set for MPhil or PhD, but need not be of the same length. Departments will advise each candidate on the exact minimum length of the written thesis. For a 50/50 split assessment the written thesis should not normally exceed 40,000 words for a PhD and 20,000 words for an MPhil (noting the word length inclusions and exclusions detailed in Appendix 2). In other cases (e.g. 70/30 thesis/practical split) the word count will be agreed by the supervisor, the appropriate transfer panel and the body or officer with delegated authority from Senate. The length of the written thesis should normally be agreed on a proportionate basis.

DOCTOR OF CLINICAL PSYCHOLOGY (DCLINPSY)

21. In addition to the normal requirements for admission and award, a candidate shall maintain

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

MULTI-PART THESES COMPRISED OF PAPERS AND ARTICLES

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

Notes:

- (a) a candidate is encouraged to seek advice within their department of registration that the multi-part format is more appropriate for the research project and that they can take full advantage of the format;
- (b) supervising departments are encouraged to seek, where practicable, the advice of the External Examiner(s) with respect to the format proposed; and
- (c) the guidelines shall form the basis of agreement between the student, supervisor and head of department (or their nominee) on the multi-part --

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EUROPEAN DOCTORATE

- 37. The European Doctorate is a qualification that was created by the Confederation of EU Rectors' Conference (now the European University Association) and provides the opportunity to study for a qualification which meets the criteria which are commonly understood to be met in a doctorate, using examination procedures that are widely recognised across Europe, involving an ability to work in more than one language, and entailing periods of time spent working in institution across more than one EU member state.
- 38. The characteristics of the European Doctorate are those of the traditional Lancaster PhD with the following amendments.
 - (a) The thesis should be reviewed by at least two academics from different higher education institutions in different EU countries, excluding the UK. At least one member of the exam board should come from an EU country other than the UK. In the Lancaster context, this requirement would most easily be implemented by having two External Examiners at the board from EU countries other than the UK.
 - (b) Part of the defence must take place in one of the official languages of the EU other than English.
 - (c) The thesis must have been prepared partly as a result of a research period of at least one term spent at an institution in an EU country other than the UK.
- 39. The European doctorate is available in any of the areas in which the PhD is currently available at Lancaster, and is offered under the title of European Doctorate in XXXX, with postnominal letters of PhD.

DSc and DLitt

- 40. To be eligible for the degree of Doctor of Science (DSc) or of Doctor of Letters (DLitt), candidates shall be either graduates of the University, or members of staff of the University, whose record of published work and research shows conspicuous ability and originality and constitutes a distinguished and sustained achievement.
- 41. Any person who wishes to be considered for the award of the degree of DSc/DLitt shall submit a formal written letter of application to the Head of Student and Programme Administration, stating in outline on what basis the award is sought and what evidence in support of the application is available. Such letters of application may be submitted at any time.
- 42. As soon as possible after the letter of application has been submitted, the Head of Student and Programme Administration, acting on the advice of the relevant faculty dean, shall recommend to the body or officer with delegated authority from Senate an appropriate senior academic member of staff of the University or equivalent with appropriate specialist knowledge of and expertise in the field, to consider the information supplied.
- 43. The member of staff appointed shall consider whether a prima faciæase for formal examination exists and shall recommend either:

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

(b)

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

Applications and registration

- 51. Applications may be made at any time. A letter of application should be accompanied by:
 - (a) a list of the publications to be submitted: these may include refereed articles, authored chapters, authored books, and edited works. They may not include course readers, internally published material or unpublished seminar/conference papers; and
 - (b) a supporting paper: this should summarise each publication submitted, outline their interrelationship, give a critical review of the current state of knowledge and

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

- 55. The examiners shall make one of the following recommendations:
 - (a) that the degree of PhD by published work be awarded;
 - (b) that the degree be awarded subject to specified revisions of the supporting paper; or
 - (c) that the degree be not awarded.
- 56. The examiners may not recommend the award of a lower degree.
- 57. A candidate whose work has been found unacceptable for the award of the degree may be permitted to resubmit only after completing re-registration; normally, this would be no earlier than two years after the original submission.
- 58. Examiners' reports and recommendations are considered by the body or officer with delegated authority from Senate on behalf of the Committee of the Senate, and a decision given to the candidate within one month of the oral examination.

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4. Student preparation for the viva voce

- 4.1 All students should be allowed and encouraged to acquire relevant experience in defending the thesis, in advance of the viva voce, including:
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6. Chair and/or audio record

6.1 For in-person examinations, departments have discretion to decide, on a case-by-case basis, - whether to have an independent chair (see clause 5.2) and/or to keep o1 Tc -0.003 Tw n (c)2.2 (ha)-1 (14.41

- 8.5 The chair is responsible for making sure that seating arrangements in the viva voce room are appropriate for dialogue between the participants.
- 8.6 Video-conferencing of a viva voce examination, with either the candidate or an examiner at a remote location, is permissible as long as the student is not disadvantaged by its use, and as long as all parties consent to it. The University retains the right to refuse a request to use video-conferencing; such a refusal will not constitute grounds for appeal. Guidance for the

- (b) display detailed knowledge of the thesis;
- (c) authenticate the work (i.e. to prove that it is the student's own work).
- 10.4 Criterion (a) should be explicitly commented on in the examiners' reports.
- 10.5 Criteria (a) to (c) should be explicitly evaluated during the viva voce.
- 10.6 It is appropriate in the viva voce to ask questions about the originality of the thesis, and about the contribution the thesis makes to knowledge.
- 10.7 The student should also be able to defend the methodology and conclusions of the thesis, and display awareness of the limitations of the thesis, in the viva voce.
- 10.8 For the viva voce to be regarded as successful, the student should satisfy the examiners that they are worthy of the research degree, which ultimately is a matter of academic judgement by the examiners.

11. Conduct of the viva voce

- 11.1 Existing University Regulations cover procedures for dealing with disagreements between examiners.
- 11.2 Examiners should not normally be able to fail or refer a thesis on grounds that are not considered with the student in the viva voce. The decision should be based on what is discussed in the viva voce.
- 11.3 A recording (see clause 7) is helpful in reconstructing what was discussed in the viva voce, and how it was discussed.
- 11.4 The viva voce should give the student an opportunity to defend anything the examiners regard as problematic. It will normally be expected to touc1.5 (I)-i7eu.7 (dur)-0.7 (e)0.75.(p)- (t)-49 0 Td(A)T

- 11.7 Questions during the viva voce should be fair and appropriate. Fair play should be maintained, and proper procedures should be followed.
- 11.8 If the chair and examiners anticipate that a viva voce is likely to last more than about two hours, the chair should give an opportunity for a break after two hours, provided that to do so does not disadvantage the student.
- 11.9 The chair shall have final decision on when the viva voce should finish, taking into account the views of the examiners, and the need to uphold fair play and to give the student an opportunity to defend their work.

12. Student role in the viva voce

- 12.1 Examiners are expected to be open-minded in their probing of the student's work, and to approach the task in a spirit of academic integrity.
- 12.2 The chair should ensure that the student is given the opportunity to present a brief verbal summary of their work (15 minutes maximum), towards the start of the viva voce, if they wish to do so.
- 12.3 The chair should ensure that the student is given an appropriate right of reply to points raised by the examiners, during and at the end of the viva voce.
- 12.4 If the student feels during the course of the viva voce that the questions are not fair or appropriate, that they are being denied the right of reply, or that proper procedures are not being followed, they should be able to call for a break, and talk privately with the chair.
- 12.5 If the chair grants such a time out during the viva voce, the conversation between student and chair should not be overheard by the examiners, but it should be recorded on the audio tape or mini-disk if the viva voce is recorded.

13. Outcome of the viva voce

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

- (a) examiners can submit a joint report if they agree on the outcome, and if producing a joint report is practical under the circumstances;
- (b) examiners must submit separate reports if they disagree on the outcome.
- 14.2 Under Data Protection legislation, students have a right of access to their post-viva voce report after Senate approval of the examiners' recommendation is confirmed and the examination (including any revisions) has been completed.
- 14.3 Any examiner may indicate that part (to be highlighted explicitly) or all of their report should be disclosed to the student before the examiners' recommendations are approved by the Senate, if the examiner believes this would help the student to make appropriate corrections or revisions.
- 14.4 The internal examiner is responsible for making sure that the student is made fully aware of the examiners' expectations in respect of which corrections or revisions are felt necessary (see 8.6).

15. Second Viva Voce

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

16. Student's right of appeal

- 16.1 A student has no right of appeal against the academic judgement of the examiners. A student may appeal, however, against the outcome of the examination under the procedures for Academic Appeals as defined in the chapter on <u>Academic Appeals</u>.
- 16.2 All students of the University have the right to make a complaint under the Student Charter.

17. Publication of guidelines

- 17.1 These guidelines and criteria will be published on the University web site, and will be:
 - (a) given to each research degree student when submitting the thesis;
 - (b) given to the examiners on appointment, to the chair on designation, and to the supervisor on submission of the thesis.

APPENDIX 5: ONLINE VIVA VOCE EXAMINATIONS

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

- 1. Ordinarily, online vivas should be overseen by **an independent chair**. The criteria for the appointment of the chair are set out in the Framework for the Research Degree Viva (Appendix 4).
- 2. The chair should ensure that:
 - a) all parties involved in the examination are informed in good time of the details of the examination;
 - b) all parties have access to, and are familiar with the necessary technology and contingency plans;
 - c) the correct process is followed for the viva;
 - d) the wellbeing of the candidate is attended to over the course of the viva; and
 - e) the recording of the examination is secured and lodged in accordance with the guidance.

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

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

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APPENDIX 6: DETAIL OF IN-YEAR CHANGE MADE TO CHAPTER

Version	Date of change	Detail of change & section(s) altered	Approval of change
1.1	01/11/2024	Accessibility: title page altered and heading structure amended in appendices 3 & 4	n/a – administrative
1.2	06/11/2024	'Deposit your thesis' link corrected.	n/a – administrative
1.3	1 ñ/04/2025	Ethics updates: inclusion of requirement to confirm Ethical Approval for research at point of submission (all awards); update to require completion of ethics training at point of confirmation (PhDs only); inclusion of clause about what research can be undertaken before ethical aa his]TJd6Jghisn	