

University of Cumbria Postgraduate Research Assessment Regulations

These regulations should be read in conjunction with the relevant sections of the University's academic procedures

Detailed information on research degree awards are set out in the Postgraduate Research Code of Practice, the Research Degrees Handbook and other supporting documentation. Students registered for research degrees must ensure that their work meets the University's expectations relating to research integrity and ethical approval.

Research Awards

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

- PhD (via publication, thesis or alternative format)
- Master of Philosophy (MPhil)
- Doctorate of Professional Studies (DProf)
- Doctorate of Education (EdD)
- Doctorate in Business Administration (DBA)

- *Master of Research (MRes)*

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

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

MRes Exit Points and Awards:

- **Exit points:**
 - any 60 credits PgC (Research in Professional Practice);
 - 120 credits PgD (Research in Professional Practice)
- **Exit Award:** 180 credits Master of Research (MRes) Level 7. Part-time and part-time bespoke delivery.
- *Masters of Business Research (MBR)*

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

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

MBR Exit Points and Awards:

- **Exit points:**
 - any 60 credits PgC (Business Research);
 - 120 credits PgD (Business Research)
- **Exit Award:** 180 credits Master of Business Research (MBR) Level 7. Part-time and part-time bespoke delivery.

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Professional Doctorate titles and names of awards				
Award	Target or Exit award	NQF Level	CAT Points	Professional Body Accreditation / Qualification
Masters of Research (MRes)	Target & Exit	7	180	N/A
Masters of Business Research (MBR)	Exit	7	180	N/A
Doctorate of Professional Studies (DProf)	Target	8	360 (540)	N/A
Doctorate of Education (EdD)	Target	8	360 (540)	N/A
Doctorate in Business Administration (DBA)	Target	8	360 (540)	N/A

Master of Research (MRes) and Master of Business Research (MBR): Masters-level qualifications involving taught elements, a research proposal and formal research training. A candidate shall undertake taught courses specified by the department of registration. Such courses shall normally be completed within twenty-four months of first registration and lead to the award of MRes or MBR dependant on registered pathway.

DProf and EdD: Professional and practice-based doctorates provide an opportunity for individuals to situate professional knowledge developed over time in a theoretical academic framework. As such, they have different structures from other forms of doctorate. They are often post-experience qualifications and therefore they are frequently the doctoral degree of choice for mid-career professionals.

All doctoral graduates should be able to:

- search for, discover, access, retrieve, sift, interpret, analyse, evaluate, manage, conserve and communicate an ever-increasing volume of knowledge from a range of sources
- think critically about problems to produce innovative solutions and create new knowledge
- plan, manage and deliver projects, selecting and justifying appropriate methodological processes while recognising, evaluating and minimising the risks involved and impact on the environment
- exercise professional standards in research and research integrity, and engage in professional practice, including ethical, legal, and health and safety aspects, bringing enthusiasm, perseverance and integrity to bear on their work activities

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- support, collaborate with and lead colleagues, using a range of teaching, communication and networking skills to influence practice and policy in diverse environments
- appreciate the need to engage in research with impact and to be able to communicate it to diverse audiences, including the public
- build relationships with peers, senior colleagues, students and stakeholders with sensitivity to equality, diversity and cultural issues.

Doctorate in Business Administration (DBA)

The Doctor of Business Administration (DBA) is a target award. This part-time doctorate is based on a sustained, self-directed applied research project, with DBA researcher progress reviewed and evaluated via seminars, workshops and taught modules (encompassing formative and summative assessment), submission of a thesis and an oral defence. The DBA programme offers an opportunity to engage in executive study and applied postgraduate research leading to the award of a professional doctorate qualification. The final submission for the DBA must contain a written document of 50,000 to 60,000 words that presents and defends a thesis. A thesis is an intellectual position capable of being maintained by argument. A submission may also contain other works on which the thesis and its defence are based.

There is potential for a cohort on a named Professional Doctorate pathway to be specifically for an employer or organisation. All programmes will have open cohorts. Due to the multidisciplinary nature of the programme, cohorts could be located at a number of campuses.

Students are registered for an MPhil or a PhD/DProf/EdD/DBA. On initial registration for a PhD a student is a probationary student, until they have completed the confirmation process and become a confirmed PhD student.

On initial registration for a DProf or EdD a student a student cannot progress until they have completed the MRes. For a DBA, students must complete all core modules at level 7 and level 8.

Integrated PhD/DProf/EdD/DBA programmes (PhD/DProf/EdD/DBA or progress to DProf/ EdD)

1. A candidate shall register at the outset for a PhD/DProf/EdD/DBA 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 the Graduate School after consideration of evidence of the student's progress submitted by the department concerned, up to an absolute maximum of eighty-four months.
2. A candidate shall undertake taught courses specified by the department of registration. Such courses shall normally be completed within twenty-four months (thirty-six months for those on DBA) of first registration and lead to the award of **MRes or MBR** (dependent of pathway).
3. Re-registration for the second year of study shall be contingent upon the recommendation of the department. Such recommendation shall be contingent upon:
 - a. successful completion of the specified taught courses, normally above the level of the minimum pass mark; and
 - b. confirmation that a suitable topic for research has been identified i.e. a topic for which the student is deemed eligible and for which the department can provide appropriate support and supervision.
4. In the absence of such a recommendation, the candidate shall withdraw from the programme. Students may appeal against this decision under the procedures for Academic Appeals.

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5. To be eligible for confirmation of the PhD/DProf/EdD/DBA , normally after twenty-four to thirty-six months from first registration, the candidate shall:
 - a. submit for assessment written work of which a proportion specified by the department shall be of an appropriate standard; and
 - b. satisfy a departmental exam board that s/he is academically capable of successfully completing a thesis.
6. The board may recommend one of the following:
 - a. that the candidate is eligible for confirmation of PhD/DProf/EdD/DBA status, subject to submission of a satisfactory proposal for the thesis; or
 - b. that the candidate be invited to re-submit elements of written work to satisfy the requirement of (a) above, with one further opportunity to apply for confirmation of the PhD/DProf/EdD/DBA ; or
 - c. that the candidate be invited to complete the requirements for examination for the award of MPhil.

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

7. A candidate in respect of whom the board has recommended (i) above, shall submit to a departmental panel), normally within six calendar months from the date of notification of (i), a proposal for a thesis of up to 70,000 words. After consideration of the proposal, the panel may recommend one of the following:
 - a. that the candidate's registration for a PhD/DProf/EdD/DBA be confirmed, or
 - b. that the candidate be invited to revise and re-submit the proposal with one further opportunity to apply for a transfer of registration to PhD/DProf/EdD/DBA ; or
 - c. that the candidate be invited to complete the requirements for the award of MPhil, or MBR if student on DBA and has successfully completed the level 7 modules.

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

8. A candidate who has satisfied the requirements shall be required to submit a thesis of normally not more than 70,000 words. The thesis shall be examined according to the normal regulations. To be eligible for the award of the PhD/DProf/EdD, the thesis shall make an original contribution to knowledge and contain material of a standard appropriate for scholarly publication.
9. A DBA candidate who has satisfied the requirements shall be required to submit a thesis of normally not more than 60,000 words. The thesis shall be examined according to the normal regulations. To be eligible for the award of the DBA, the thesis shall make an original contribution to knowledge and contain material of a standard appropriate for scholarly publication.

Doctoral Regulations

Criteria for the award

The degree shall be awarded on the examination of a thesis (and other submitted materials where relevant for *PhD by Published Work, Art Practice or Alternative Format*) embodying the results of a candidate's research, and on an oral examination, the voce viva. The nature of your doctoral research programme should be on a scale that should be completed during three years, or at most four years of full-time study or equivalent.

A successful candidate for the degree of PhD/DProf/EdD/DBA shall show convincing evidence of the capacity to pursue scholarly research or scholarship in his or her field of study on a scale, which should be completed during three years of full-time research. The results of this research shall then be embodied in a thesis, which makes an original contribution to knowledge, which extends the forefront of a discipline. The completed thesis must contain material of a standard appropriate for

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

Doctoral degrees are awarded to students who have demonstrated:

- (a) the creation and interpretation of new knowledge, through original research or other advanced scholarship, of a quality to satisfy peer review, extend the forefront of the discipline, and merit publication
- (b) a systematic acquisition and understanding of a substantial body of knowledge that is at the forefront of an academic discipline or area of professional practice
- (c) the general ability to conceptualise, design and implement a project for the generation of new knowledge, applications or understanding at the forefront of the discipline, and to adjust the project design in the light of unforeseen problems
- (d) a detailed understanding of applicable techniques for research and advanced academic enquiry.

All doctoral graduates should be able to:

- search for, discover, access, retrieve, sift, interpret, analyse, evaluate, manage, conserve and communicate an ever-increasing volume of knowledge from a range of sources
- think critically about problems to produce innovative solutions and create new knowledge
- plan, manage and deliver projects, selecting and justifying appropriate methodological processes while recognising, evaluating and minimising the risks involved and impact on the environment
- exercise professional standards in research and research integrity, and engage in professional practice, including ethical, legal, and health and safety aspects, bringing enthusiasm, perseverance and integrity to bear on their work activities
- support, collaborate with and lead colleagues, using a range of teaching, communication and networking skills to influence practice and policy in diverse environments
- appreciate the need to engage in research with impact and to be able to communicate it clearly and effectively to diverse audiences (specialist and non-specialist), including the public
- build relationships with peers, senior colleagues, students and stakeholders with sensitivity to equality, diversity and cultural issues.

Students may be permitted, with the approval of the body with delegated responsibility from Academic Board, to register for shorter period, as proposed by the Graduate School. A shorter registration period, of no less than twelve months for full time students and no less than twenty-four months for part time students, may be justified by accrediting the applicant's attainment in original research prior to application and not otherwise accredited for a degree already awarded.

An extension beyond the maximum period of registration will not be permitted. A request beyond the maximum would be at the discretion of the body delegated from Academic Board.

Registration period

Award	Minimum	Maximum
PhD		
Standard registration period (full-time)	36 months	48 months
Standard registration period (part-time)	48 months	84 months

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DBA		
Standard registration period (part-time)	48 months	84 months
DProf & EdD		
Standard registration period (part-time)	36 months	48 months
MPhil		
Standard registration period (full-time)	24 months	36 months
Standard registration period (part-time)	36 months	60 months

Progression from MRes to DProf or EdD

The DProf and EdD programmes are divided into two parts. The first part of the programme can be undertaken as an MRes (taught components) or as an exit award as an MRes (Level 7). The first part lasts for two years (part time) and prepares the candidates for their research through modules (180 credits, Level 7).

The **MRes** modules will be:

Year one: 2 Modules: **Professional Learning and Research Literacy** 40 credits and **Evaluating Professional Practice** 60 credits

Year two: 2 Modules: **Research Methods for Professional Practice** 40 credits and **Project Design, Development and Planning** (Project Proposal) 40 credits

Monitoring of Progress: In Part One (taught modules) progress will be monitored through achievement of a **pass mark of 50% or above**, regulated through the *postgraduate taught assessment regulations*. Progression to Part Two will only be possible on successful completion of Part One at an average of **60% or above**.

Progression from MBR to DBA

The DBA is divided into two parts. The first part of the programme can be undertaken as an MBR (taught components) or as an exit award as an MBR (Level 7). The first part lasts for three years (part time) and prepares the candidates for their research through modules (180 credits, Level 7).

The **MBR** modules will be:

Year one: 2 Modules: **Understanding Dynamic Business Contexts** (30 credits) and **Applied Research Design** (30 credits)

Year two: 2 Modules: **Critical Thinking for Leadership and Collaboration** (30 credits) and **Advanced Research Methods** (30 credits)

Year three: 1 module: **DBA Proposal and Plan** (60 Credits)

The Master of Business Research (MBR) will be offered as a staged exit award (180 credits) linked to the DBA. Other exit award options include: the Postgraduate Certificate (PgC: 60 credits) and the Postgraduate Diploma (PgDip: 120 credits) in Business Research. The PgC and PgDip exit awards will be available for candidates who successfully compete the module assessment requirements for Year 1 and Year 2 respectively.

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Monitoring of Progress: In Part One (taught modules) progress will be monitored through achievement of a **pass mark of 50% or above**, regulated through the *postgraduate taught assessment regulations*.

PhD/DProf/EdD Progression requirements

Year 1 (year 2 part-time)

Within the first six months (full time) or twelve months (part time) all research students must fulfil the following process:

- (a) attend an approved induction programme;
- (b) carry out an approved Personal Development Plan (PDP) or equivalent in consultation with their supervisors, and keep a record of agreed follow-up to the PDP;
- (c) take the appropriate research training activities, informed by the PDP as guided by their supervisors;
- (d) complete a research proposal or plan of work which the supervisors approve as appropriate and viable;
- (e) agree a projected completion timetable with their supervisors; and
- (f) any additional requirements to meet the particular needs of the individual awards.

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

Years 2 to 4 (or part-time equivalents)

Continued registration of each research student in years 2, 3 and 4 on PhD/DProf/EdD/DBA programmes is conditional upon:

- (a) submission of an appraisal (progress) report, involving input from the student, and supervisors;
- (b) evidence, confirmed in the appraisal (progress) report, that the student has:
 - (i) attended the annual researcher development progress briefing session;
 - (ii) reviewed/revised their PDP;
 - (iii) completed the agreed research training;
 - (iv) been offered adequate supervision (as outlined in the University's Postgraduate Research Code of Practice), accepted it, and attended supervisory sessions;
 - (v) agreed a realistic completion timetable with their supervisors;
 - (vi) demonstrated sufficient progress with their research/thesis; and
 - (vii) any additional requirements previously agreed.

Where students fail to meet the criteria for continued registration they will be excluded. Students who have been excluded for failing to make satisfactory progress may appeal against the exclusion under the procedures for Academic Appeals as defined in the document on Academic Appeals.

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

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Confirmation of PhD status

The Graduate School shall publish clear information for students on the procedures for confirmation (see *Monitoring & Assessing Research Students Good Practice Guide*).

The procedures include details of:

- (a) membership of the panel;
- (b) volume, level and type of work to be submitted as evidence to the panel;
- (c) the expected period in which a student should expect to have his/her PhD registration status confirmed of month 12-18 (FT) or month 18-24 (PT) for MPhil transfer or PhD Confirmation, and
- (d) the two times a student may be considered for confirmation of PhD status.

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

Submission of thesis

The decision to submit a thesis for examination is taken by the student, although the opinion of the supervisor should be taken into account. Details of the format and submission process can be found in the appendix

Final Examination – All Doctoral Degrees

Assessment for research degrees must be conducted according to the procedures set out in the Guide to the Examination of Research Degrees. The body with delegated authority from Academic Board on the nomination of the department concerned (see section on Appointment of Examiners (All Research Degrees)) shall appoint examiners (including at least one External Examiner). Two External Examiners shall be appointed for theses submitted by candidates who qualify for remission of fees as members of staff. The candidate's supervisor shall not act as an examiner.

Each examiner shall report independently on the thesis before the oral, or any other examination required by the examiners, takes place and submit the report to the University prior to the examination. All examiners shall participate in the oral examination. The student's supervisor may be present at the oral examination as an observer and note taker with the agreement of the student and the examiner (s). After the oral examination, each examiner shall report on the examination and make a recommendation based on both the report on the thesis and on the evidence from the oral, and any other examinations that have taken place.

PhD/DProf/EdD/DBA Examination outcomes

The examiners shall make one of the following recommendations:

- (a) that the degree of PhD/ DProf/EdD/DBA 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. It should take a candidate less than 1 month to make this level of corrections.
- (b) that the degree of PhD /DProf/EdD/DBA 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 internal examiner must approve the corrections. A second oral examination is not required. It should

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take a candidate fewer than 3 months to make this level of corrections, depending on personal circumstances.

- (c) that the degree of PhD/DProf/EdD/DBA be awarded subject to *major* corrections being made within six months: There is a requirement for significant further work, but there is not an automatic requirement for a second oral examination. Changes may include, but are not limited to: the addition of substantial new material; rewriting and editing sections of the thesis; re-analysis of existing data. Either the internal examiner or the internal and the external examiner, as agreed by the examiners must approve the corrections. The examiners will determine if a second oral examination is required. It should take a candidate between 3 and 6 months to make this level of amendments, depending on personal circumstances.
- (d) that the degree of PhD/DProf/EdD/DBA should not be awarded but the candidate should be permitted to revise and resubmit the thesis within twelve months for the degree of PhD/DProf/EdD/DBA : The requirements for the degree of PhD/DProf/EdD/DBA have not been met. Changes may include, but are not limited to: extensive rewriting and editing sections of, or the whole of, the thesis; carrying out further research and/or experimental work. Both the internal and the external examiner must approve the revisions. The examiners will determine if a second oral examination is required. It should take a candidate between 6 and 12 months to that the degree of MPhil be awarded immediately: The requirements for the degree of PhD/DProf/EdD/ have *not* been met make this level of amendments, depending on personal circumstances.
- (e) that the degree of MBR be awarded immediately: The requirements for the degree of DBA have *not* been met but the requirements for the MBR have been met.
- (f) that the degree of MPhil be awarded immediately: The requirements for the degree of PhD/DProf/EdD/ have *not* been met but the requirements for the MPhil have been met, with no or *very* minor corrections, i.e. typographical or presentational corrections only. The candidate is to make very minor corrections, if required, within one month prior to submission of the final version of the thesis and there is no requirement for these to be approved by the internal or the external examiner. It should take a candidate less than 1 month to make this level of corrections, depending on personal circumstances.
- (g) that the degree of MPhil be awarded subject to minor corrections being made within three months: The requirements for the degree of PhD/DProf/EdD/ have not been met but the requirements for the MPhil have been met with minor corrections, 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 internal examiner must approve the corrections. A second oral examination is not required. It should take a candidate fewer than 3 months to make this level of corrections, depending on personal circumstances.
- (h) that the candidate be permitted to revise and resubmit the thesis within twelve months for the degree of MPhil: The requirements for the degree of PhD/DProf/EdD/ have *not* been met but the candidate is permitted to submit a revised thesis for the lower award. Changes may include, but are not limited to: extensive editorial corrections and revisions; rewriting a part, parts, or the whole of the thesis; carrying out further research or experimental work. Both the internal and the external examiner must approve the revisions. The examiners will determine if a second oral examination is required. It should take a candidate between 6 and 12 months to make this level of corrections, depending on personal circumstances

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

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Disagreement between examiners on first submission of PhD/DProf/EdD/DBA thesis

If there is no unanimity among the recommendations from the examiners of the thesis at the first submission the following procedure shall be adopted. In the first instance, the Graduate School shall consult with the examiners to see whether an agreed recommendation can be drawn up.

If agreement is not achieved, the body with delegated authority from Academic Board may appoint an additional external examiner. Any additional examiners shall be informed that the examiners appointed initially have submitted conflicting recommendations but shall not be told the identity of these examiners nor their specific recommendations. Unless the additional examiners recommend that the candidate pass, a further oral examination must be held. The student's supervisor may be present at the oral examination as an observer and note taker.

A recommendation based on the reports from all of the examiners shall be made by the body with delegated authority from Academic Board to the Committee of the Academic Board. If this recommendation is for re-submission of the thesis it shall include the nomination of the panel of examiners for the resubmitted thesis.

Resubmission

Resubmission for the degree of PhD/DProf/EdD/DBA

It is at the examiners' discretion as to whether a second oral examination is necessary. It is advised that a second viva should be held if consideration is being given to award of MPhil or no award.

For theses resubmitted for PhD/DProf/EdD/DBA, after holding an oral examination the examiners, shall make one of the following recommendations:

- (a) that the degree of PhD/DProf/EdD/DBA be awarded;
- (b) that the degree of PhD/DProf/EdD/DBA be awarded subject to minor presentational corrections being made within one month of notification of the decision;
- (c) that the PhD/DProf/EdD thesis be judged to be already of a standard that would justify the award of the MPhil degree forthwith
- (d) that the PhD/DProf/EdD thesis may be resubmitted for a second time but for the degree of MPhil (within six months of the date of formal notification of the decision);
- (e) that the DBA not be awarded and the MBR degree be awarded.
- (f) that no award be made.

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

Resubmission for the degree of MPhil

After examination of the resubmitted thesis the examiners shall recommend one of the following recommendations:

- (a) that the degree of MPhil be awarded forthwith
- (b) that the degree of MPhil be awarded subject to corrections being made within one month of notification of the decision (corrections could include typographical errors, occasional stylistic or grammatical flaws, corrections to references etc.) verified by either the internal examiner only, external examiner only or, all examiners;
- (c) that the degree of MPhil should not be awarded.

It is at the examiners' discretion as to whether a second oral examination is necessary. It is advised that a second viva should be held if consideration is being given that no award be made.

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

Disagreement between examiners upon thesis resubmitted

The body with delegated authority from Academic Board 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. She or he shall have discretion to determine an appropriate course of action, including if necessary the appointment of an additional external examiner.

MPhil Regulations

Criteria for the award of MPhil

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

A successful candidate for the degree of MPhil shall display a convincing grasp of the techniques of research appropriate to the field of study on a scale, which can be completed during two years, or at most three years, of full-time study or equivalent. The thesis embodying the results of the research shall demonstrate evidence of originality, a systematic understanding of knowledge, a critical awareness of current problems and/or new insights at the forefront of their academic discipline, field of study or area of professional practice, and shall achieve a high standard of competence in argument and presentation. The thesis shall comply with the requirements for the form, submission and deposit of theses.

MPhil degrees are awarded to students who have demonstrated:

- (a) a systematic understanding of knowledge, and a critical awareness of current problems and/or new insights, much of which is at, or informed by, the forefront of their academic discipline, field of study or area of professional practice
- (b) a comprehensive understanding of techniques applicable to their own research or advanced scholarship
- (c) originality in the application of knowledge, together with a practical understanding of how established techniques of research and enquiry are used to create and interpret knowledge in the discipline
- (d) conceptual understanding that enables the student:
 - a. to evaluate critically current research and advanced scholarship in the discipline
 - b. to evaluate methodologies and develop critiques of them and, where appropriate, to propose new hypotheses.

Typically, holders of the qualification will be able to:

- (e) deal with complex issues both systematically and creatively, make sound judgements in the absence of complete data, and communicate their conclusions clearly to specialist and non-specialist audiences
- (f) demonstrate self-direction and originality in tackling and solving problems, and act autonomously in planning and implementing tasks at a professional or equivalent level
- (g) continue to advance their knowledge and understanding, and to develop new skills to a high level.

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Registration period

Award	Minimum	Maximum
MPhil		
Standard registration period (full-time)	24 months	36 months
Standard registration period (part-time)	36 months	60 months

Students may be permitted with the approval of the body with delegated responsibility from Academic Board, to register for shorter period, as proposed by the Graduate School. A shorter registration period, of no less than twelve months for full time students and no less than twenty-four months for part time students, may be justified by accrediting the applicant's attainment in original research prior to application and not otherwise accredited for a degree already awarded.

An extension beyond the maximum period of registration will not be permitted. Full time and part-time students can with the approval of the body delegated from Academic Board, be permitted to extend registration for a further twelve months.

Progression requirements

Year 1 (year 2 part-time)

Within the first six months (full time) or twelve months (part time), all research students must fulfil the following, or an equivalent process:

- (a) attend an approved induction programme;
- (b) carry out an approved Personal Development Plan (PDP) or equivalent in consultation with their supervisors, and keep a record of agreed follow-up to the PDP;
- (c) take the appropriate research training activities, informed by the PDP as guided by their supervisors;
- (d) complete a research proposal or plan of work which the supervisors approve as appropriate and viable;
- (e) agree a projected completion timetable with their supervisors; and
- (f) any additional requirements to meet the particular needs of the individual awards.

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

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

Submission of thesis

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

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Examination

The body with delegated authority from Academic Board on the nomination of the department concerned shall appoint examiners (including at least one external examiner). Two external examiners shall be appointed for theses submitted by candidates who qualify for remission of tuition fees as members of staff. The candidate's supervisor shall not act as an examiner.

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 the Graduate School prior to the examination. An oral examination is required. 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 student's supervisor may be present at the oral examination as an observer and note taker with the agreement of the student and the examiner (s).

The examiners shall have discretion whether or not to hold an oral examination on a resubmitted thesis. It is advised that a second viva should be held if the examiners are considering that no award be made.

Examination outcomes

The examiners shall make one of the following recommendations:

- (a) that the degree of MPhil be awarded forthwith as pass or distinction
- (b) that the degree of MPhil be awarded subject to corrections being made within three months (corrections could include typographical errors, occasional stylistic or grammatical flaws, corrections to references etc.) verified by either the internal examiner only, external examiner only or, all examiners;
- (c) that the degree of MPhil shall be awarded subject to corrections being made within six months (corrections may include minor deficiencies requiring some textual revision);
- (d) that the degree of MPhil should not be awarded but that the candidate should be invited to revise the thesis and resubmit it for the degree of MPhil;
- (e) that the degree of MPhil should not be awarded.

The examiners, for an outstanding and memorable thesis and defence, may award the MPhil with Distinction. The work should be well researched and substantially original, bearing in mind that originality has many dimensions. The thesis and defence will be ambitious in scope, show depth of research and sophistication of conceptual understanding, and be of high quality in its argument.

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

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

Disagreement between examiners on first submission of MPhil thesis

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

In the first instance, the Head of Graduate School shall consult with the examiners to see whether an agreed recommendation can be drawn up. If agreement is not achieved, the body with delegated authority from Academic Board may appoint one or more additional external examiners. Any additional examiners shall be informed that the examiners appointed initially have submitted

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conflicting recommendations but shall not be told the identity of these examiners nor their specific recommendations. Unless the additional examiners recommend that the candidate pass, a further oral examination must be held. The student's supervisor may be present at the oral examination as an observer and note taker.

A recommendation based on the reports from all of the examiners shall be made by the body with delegated authority from Academic Board to the Committee of the Academic Board. If this recommendation is for re-submission of the thesis it shall include the nomination of the panel of examiners for the resubmitted thesis.

Resubmission

The examiners shall, after holding an oral examination if they wish, recommend either:

- (a) that the degree of MPhil be awarded forthwith
- (b) that the degree of MPhil be awarded subject to corrections being made within one month of notification of the decision (corrections could include typographical errors, occasional stylistic or grammatical flaws, corrections to references etc.) verified by either the internal examiner only, external examiner only or, all examiners;
- (c) that the degree of MPhil should not be awarded.

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

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

Disagreement between examiners upon MPhil thesis resubmitted

The body with delegated authority from Academic Board 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. She or he shall have discretion to determine an appropriate course of action, including if necessary the appointment of an additional external examiner.

The following procedure shall be followed when the body with delegated authority from Academic Board appoints an additional examiner for a resubmitted thesis.

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

The additional external examiner can request a further oral examination. The previous examiners of the thesis shall not be invited to attend. The student's supervisor shall be required to be present as an observer.

The additional external examiner shall make one of the following recommendations, taking into account the candidate's performance at an oral examination if one has been held:

- (a) (subject only to any minor amendments to be made to the satisfaction of the examiners) that the degree of MPhil be awarded; or,
- (b) that no degree be awarded.

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

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Transfer of registration from MPhil to PhD

Students who are initially registered for an MPhil and who wish to upgrade and transfer their registration to PhD shall follow the established procedures. The Graduate School shall publish clear information for students on these procedures for upgrading from MPhil to PhD.

The procedures shall include details of:

- (a) membership of the panel;
- (b) volume, level and type of work to be submitted as evidence to the panel;
- (c) normal expected period in which a student should expect to transfer his/her registration, bearing in mind the mode of study, periods of suspension and any other relevant factors; and
- (d) number of times a student may attempt to transfer his/her registration (a maximum of two attempts).

The transfer of registration panel:

- (a) must be held no later than eighteen months after initial registration (twenty-four months for part-time); if the panel is held within twelve months of registration then the report of the panel should replace the first year's annual progress report. Where the student's transfer panel takes place more than twenty-four months (thirty-six months part-time) after initial registration they are liable for fees for a further twelve months from the date of the panel;
- (b) must see and approve evidence that the student has attended induction, carried out the Personal Development Plan (PDP), attended the agreed research training, has a viable research proposal, and has a completion timetable approved by their supervisors;
- (c) must be able to confirm that the student's work is of appropriate quality and standard, and the project is viable within the registration period, on the basis of draft chapters and/or evidence of data gathered; and
- (d) will have two possible recommendations – upgrade and transfer to PhD/DProf/EdD/DBA registration status; continue as a probationary MPhil student.

Students who are not permitted to transfer to PhD/DProf/EdD/DBA may appeal against the recommendation under the procedures for Academic Appeals as defined in the document on Academic Appeals.

Appointment of Examiners (All Research Degrees)

General requirements

All research students, whether studying towards the MPhil or PhD/DProf/EdD/DBA, 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/DProf/EdD/DBA, and MPhil students undergo an oral examination.

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. The candidate's supervisors cannot be appointed as examiner.

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APPENDIX 1: DEFINITIONS OF POSTGRADUATE RESEARCH AWARDS

Doctoral level awards

Doctor of Philosophy (PhD)

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

Alternative format PhD

A doctoral programme where the body of work to be assessed is in a format other than the traditional single volume format. The Graduate School is required to publish guidelines on what constitutes an appropriate alternative format (or formats) for the discipline concerned. Examples of an alternative format is a series (minimum three) of related articles suitable for peer reviewed journal publication; or artefacts and/ or performance or exhibition.

PhD by Publication

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

Integrated PhD

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

Professional Doctorate

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

- Doctor of Professional Studies (DProf) - A professional doctorate taken within the multiple professions comprising taught elements (MRes) with a thesis.
- Doctor of Education (EdD) - A professional research doctoral programme taken within the educational profession comprising taught elements (MRes) with a thesis.
- Doctor of Business Administration (DBA) - A professional doctorate taken within business administration comprising taught workshops with a thesis.

Doctorate of Professional Studies (DProf) - a target award. This part time professional and practice-based doctorate provide an opportunity for individuals to situate professional knowledge developed over time in a theoretical academic framework. They are often post-experience qualifications and therefore they are frequently the doctoral degree of choice for mid-career professionals, a minimum of five years' experience of substantial responsibility and influence in their professional field with strong evidence of personal and professional development.

Doctorate of Education (EdD) – a target award. This part time professional and practice-based doctorate provide an opportunity for individuals to situate professional knowledge developed over time in a theoretical academic framework as senior professional leaders within the field of Education, with a minimum of five years' experience of substantial responsibility and influence in their professional field with strong evidence of personal and professional development.

Doctor of Business Administration (DBA) – a target award. This part-time degree is designed for senior managers and consultants who want to study at an advanced level while working full time. In the current fast-evolving business context, it is increasingly important for business managers, consultants and leaders to update and advance their strategic business knowledge and skills. The

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Doctor of Business Administration offers the highest level of professional qualification available in business and management. Drawing on the work of international experts in the Institute of Business, Industry and Leadership (and from other parts of the University where appropriate), DBA researchers will learn and share their experience about the latest leadership and management challenges, strategies and approaches, and related research needs and methods. Whichever way their career develops, the skills and knowledge they gain will be an asset to them and help to improve the effectiveness of their organisation and those who work in it (including other key stakeholder relationships).

Specific assessment regulations for these awards are detailed in Appendix 3, points 28 and 29.

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/DProf/EdD/DBA in terms of either range, depth, originality of concept, or a mixture thereof.

Masters of Research (MRes) both a target and an exit award. A Masters-level qualification involving taught elements, a research proposal and formal research training. A candidate shall undertake taught courses specified by the department of registration. Such courses shall normally be completed within twenty-four months of first registration and lead to the award of MRes.

Masters of Business Research (MBR) is an exit award of the DBA only. A Masters-level qualification involving taught elements, a research proposal and formal research training of the DBA degree. A candidate shall undertake taught courses specified by the department of registration. Such courses shall normally be completed within thirty-six months of first registration and lead to the award of MBR.

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Appendix 2: The form, submission and deposit of theses

Submission and deposit: Doctoral theses

1. Candidates shall submit to the Graduate School:
 - a. Copies of the thesis (one per examiner) in a secure adhesive binding;
 - b. A Thesis Access Declaration form.
2. **After the viva voce examination** has taken place and any necessary amendments have been approved, two copies of the thesis must be hard bound according to the specifications in paragraphs 7-10 below and deposited with the Graduate School.
3. For all students one copy of the final version of the thesis must be deposited electronically in the institutional repository, one copy of the thesis must be hard bound according to the specifications below and deposited with the Graduate School to be forwarded to the Library.
4. A thesis for which approval has been granted for submission in an **Alternative Format** 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 paper-format chapters.

Note: a candidate may be advised to include a comprehensive methodology chapter, in addition to these elements as they appear in individual paper-format chapters. Further advice may be found in the guidelines published by the Graduate School.

5. All items submitted for the degree of **PhD by Published Work** with the exception of books, shall be submitted for examination in a secure binding, with each of the three sets of publications being fixed securely between covers, together with the covering paper. A frontispiece, giving the author's name, the name of the degree and year of submission, shall be included.
6. If the degree is awarded, one print copy of the submission is required for deposition in the University Library. For all students unpublished material contained in the thesis must be submitted as an 'edited thesis' as an electronic deposit.

Submission and deposit: MPhil theses

7. Candidates shall submit to the Graduate School copies of the thesis (one per examiner) in a secure adhesive binding. After the examiners' recommendations have been made known to the student and any necessary amendments have been approved two copies of the thesis must be hard bound according to the specifications below and deposited with the Graduate School.
8. One copy of a thesis shall be retained for public use in the University Library. These copies shall be submitted to the Graduate School.
9. One electronic copy of the thesis will be deposited in the institutional repository. The candidate, in consultation with the supervisor and head of department, shall instruct the Library if the thesis is not to be made available immediately for general public use. No thesis shall be withheld from public use for more than five years.
10. A candidate who is required by the examiners to make corrections to the thesis shall complete the corrections within three months of receiving, from the internal examiner, notice of the corrections to be made. A candidate who is required by the examiners to make minor amendments to the thesis shall complete the amendments within six months of receiving, from

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the internal examiner, notice of the amendments to be made. The degree shall not be awarded until the thesis has been corrected or amended to the satisfaction of the examiners and the revised hardbound copies have been submitted to the Graduate School.

Word Length

11. A thesis for the degree of MPhil shall not exceed 60,000 words (including any footnotes and appendices but excluding the bibliography); or below a minimum of 40,000 words.
12. A thesis for the doctoral degree shall not exceed 80,000 words (including any footnotes and appendices but excluding the bibliography), without prior approval from the body with delegated authority from Academic Board. The word count for a DProf or EdD may have a 70,000 maximum, and would not be below 60,000 words. The final submission for the DBA must contain a written document of 50,000 to 60,000 words that presents and defends a thesis. Candidates shall make a declaration of the word length of the thesis and confirm that it does not exceed the permitted maximum. If it does exceed the permitted maximum, the declaration shall include a confirmation that this has been formally agreed by the Head of the Graduate School on behalf of the University.

Format and Requirements: all theses

14. All Theses shall be written in English.
15. Candidates must avoid typographical, spelling and other minor errors. If any such errors are made, the candidate must correct them to the examiners' satisfaction before a degree is awarded.
16. The author's full names and degrees, the title of the thesis, word count, the degree for which the thesis is submitted, University of Cumbria and the month and year of submission shall appear on the first leaf of the thesis and at the top of the abstract. The statement "Thesis submitted in partial fulfilment of the requirements for the degree of Doctor/Master (delete as appropriate) of Philosophy" should be added.
17. Each thesis shall be preceded by an abstract not exceeding 300 words typed as specified below in a form suitable for use in major abstract indices.
18. The text of the thesis shall be word processed on good quality A4 paper (210 mm x 297 mm), using double line spacing, leaving a left hand margin of 38 mm, and a margin of 25 mm on the other three sides. Diagrams and illustrations shall be reproduced or mounted on similar paper; any that cannot be folded on A4 size must be submitted in a suitable portfolio, which shall bear the particulars, listed in 2.4 above.
19. The author shall provide as an integral part of the thesis a comprehensive list of contents, including diagrams, illustrative matter and any appendices; bibliography comprehending all materials cited or referred to in the whole submission; and must indicate if any part of the thesis is bound separately.
20. Pagination shall extend to the whole of each volume, including any diagrams, appendices, or other matter. For preliminary matter roman numerals may be used. If chapters have numerical subdivisions these shall be recorded in the contents list.
21. Candidates must make a declaration that the thesis is their own work, and has not been submitted in substantially the same form for the award of a higher degree elsewhere. Any sections of the thesis, which have been published, or submitted for a higher degree elsewhere, shall be clearly identified. If the thesis is the result of joint research, a statement indicating the nature of the candidate's contribution to that research, confirmed by the supervisor(s), shall be included.
22. Students must make a declaration granting the institutional repository a number of permissions and conditions with respect to online access to their work. If any subsidiary material owned by

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third party copyright holders has been included, candidates must declare permission has been sought and obtained to make it available in digital format.

Form of theses

23. General guidance on the preparation and presentation of a thesis may be found in the books listed in University of Cumbria's Library's resource - *Thesis Skills*.
24. The University of Cumbria uses a Harvard style as its main referencing approach; further guidance on [Citing references](#) is available on University of Cumbria Library's website. Please check with your supervisor the most appropriate referencing style for your field of study such as Harvard, APA, Chicago and Vancouver.

Binding of theses – specifications

There are two stages of binding:

- (i) Soft binding
- (ii) Hard binding

Soft binding

25. You must submit one copy of your thesis for each examiner plus an additional copy if a chair has been appointed for your viva voce examination.
26. A soft-bound thesis comprises a card backing, a clear acetate cover and a thermal binding.
27. The University of Cumbria Print Unit can soft bind theses up to 350 pages including covers on 80gsm (35mm; 1.5 inches).
Print Unit, University of Cumbria
The Stables, Bowerham Road
Lancaster, LA1 3JD
01524 384315 - ext. 4315
email: print.unit@cumbria.ac.uk

Please note: *If you choose to use the University of Cumbria Print Unit, please send an email to print.unit@cumbria.ac.uk with two pdf attachments: one for colour if applicable and the other black and white. This will ensure that all formatting and page settings will be unaffected. Please allow the Print Unit a week's notice and call in to view your thesis on the screen before it is printed. Discuss with the Print Unit payment options.*

Hard Binding

28. Pages, which should be trimmed on all edges, should be bound in a fixed permanent binding, rounded and backed boards to be of a quality strong enough to support the volume when standing on the shelf and having a square on all edges;
 - a) covering material to be of a cotton woven library buckram or rexine with a washable surface; cloth colours Black (MPhil), and Blue (PhD/DProf/EdD/DBA);
 - b) lettering to be in silver. In capital letters reading down the spine, candidate's surname, followed by initials; across the lower half of the spine, title of degree, the word 'CUMBRIA', and the year of submission;
 - c) photographs and other mounted illustrations should be added after the thesis has been bound. Where mounted material is to be used a system of permanent guarding must be provided.
29. Additional copies (e.g. for the student's own personal use) may be sent to the print unit at the same time as the official copies. The binding of such personal copies may, at the student's discretion, be delayed until after the thesis has been approved (in which case any necessary corrections can be incorporated).
30. Print Unit, University of Cumbria, The Stables, Bowerham Road
Lancaster, LA1 3JD

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01524 384315 - ext. 4315

email: print.unit@cumbria.ac.uk

Appendix 3: Regulations for Alternative Format and Art Practice Doctoral Awards.

Research degrees undertaken in Institute of the Arts (see *PhD by Art Practice Brief Guide*)

1. Subject to careful negotiation with Institute of the Arts, a candidate for the degree of PhD or MPhil may submit, as an alternative to the standard PhD or MPhil written thesis, a project on a single research topic that has two components:
 - (a) a written thesis; and
 - (b) a substantial practical work (e.g., a theatrical production, installation, exhibition of work, recital, lecture-recital, or some other performative event, a play, a translation, a design, computer software, etc.).
2. The practical and written components, which interdependently constitute the “thesis” as such, will be evaluated in relation to each other after the written component has been submitted.
3. The practical component must negotiate and articulate a response to the research questions through a high level of skill in the manipulation of the materials of production or performance event. For the degree of PhD, the practical component, which can consist of a minor and a major submission, should be of an appropriate professional standard.
4. If the practical component involves the creation of a performance event/works or exhibition of work other practical outputs could also include, a model/prototype, or a series of conceptual works:
 - (a) the board of examiners is required to attend the performance;
 - (b) an audio-visual record of that event/work, or even live performances of that work on tour, will not be acceptable in *lieu* of a live performance at a designated venue unless the medium of video and DVD, the contingencies of touring, or the absence of locality, are factored into the research topic.
5. A permanent record of the practical component should be deposited with the written thesis in the University Library. If this creative aspect involves live performance or exhibition of work the permanent record should comprise:
 - (a) a DVD and where appropriate an audio recording
 - (b) a short written factual description of the performance event or exhibition and its materials;
 - (c) any artefacts or documentation integral to the creation of the work (e.g. audio tapes, production book, photographs, notation, copies of scores);
 - (d) in the case of design, the design output could be included in documented form in the thesis itself, either in paper format or as a DVD, both of which form a permanent record of the work.
6. Just as the examiners can, according to the rules of the University, require the candidate to amend or revise a written thesis in part or in whole as a condition of an award. 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.
7. 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. The Graduate School will advise each candidate on the exact *minimum* length of the written thesis. For a 50/50 split assessment the written thesis should not exceed 40,000 words for a PhD and 20,000 words for a MPhil (including any footnotes and appendices but excluding the bibliography). In other cases (e.g. 70/30 thesis/practical split) the supervisor, the appropriate upgrade panel and the body with delegated

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authority from Academic Board will agree the word count. The length of the written thesis should be agreed on a proportionate basis.

8. Entry requirements for candidates who wish to pursue a research degree with a practical component within the university are as follows:
 - (a) all candidates are required to hold at least a good second class degree of a recognised institution or comparable institution or qualifications regarded by the University as equivalent;
 - (b) candidates should provide clear supporting evidence of experience and competence in a field of practice directly relevant to their proposed topic of study. While this experience may not necessarily have been gained within the professional sphere, candidates will be expected to demonstrate that they have achieved, or have the potential to achieve a “professional standard” of practice.
9. If the candidate is employed by the University as a member of staff, a second external examiner will be appointed.

Alternative format (see *PhD by Alternative Format Brief guide*)

10. The delegated body within the Graduate School shall maintain and publish guidelines on the alternative format(s) judged appropriate to the discipline, for the information of students, supervisors and examiners.

Notes:

- (a) a candidate is encouraged to seek advice within her/his department that the alternative format is more appropriate for the research project and that s/he can take full advantage of the alternative format;
 - (b) supervising departments are encouraged to seek, where practicable, the advice of the External Examiner(s) with respect to the alternative format proposed; and
 - (c) the guidelines shall form the basis of agreement between the student, supervisor and head of department (or her/his nominee) on the alternative format to be employed in the submission.
11. The thesis shall include original, researched materials, of which a significant proportion shall be derived from original research undertaken after the date of first registration.

Notes: materials may be:

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

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

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

Notes: examiners:

- (a) may wish to pay particular attention to satisfying themselves that of any multi-authored materials included, a significant proportion is the work principally of the candidate; and
- (b) are reminded of the freedom to specify additional tests as part of the examination.

PhD by Published Work (see *PhD by Published Work Brief Guide*)

Award criteria

13. To be awarded a PhD by Published Work a candidate must show that his or her work makes a significant contribution to knowledge in a particular field. The publications must also provide evidence of the capacity of the candidate to pursue further research, representing a coherent

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contribution to research in a given field and demonstrating a depth of scholarship and originality comparable with that required in a PhD thesis. The material submitted shall be sufficiently extensive as to provide convincing evidence that the research constitutes a substantial contribution to knowledge or scholarship.

Admissions criteria

14. Candidates for the degree of PhD by submission of published work must be:
 - (a) members or past members of staff at University of Cumbria or
 - (b) alumni of University of Cumbria
15. In order to be eligible for consideration, alumni must be graduates of at least five years' standing and have already obtained a Masters degree or show evidence of having received research training or equivalent experience. In exceptional circumstances, other candidates may also be considered.

Applications and registration

16. Applications may be made at any time. A letter of application should be accompanied by:
 - a. a list of the publications to be submitted: these may include refereed articles, authored chapters, authored books, and edited works. They may not include course readers, internally published material or unpublished seminar/conference papers; and
 - b. a supporting paper: this should summarise each publication submitted, outline their interrelationship, give a critical review of the current state of knowledge and research in the applicant's field and indicate how his or her work has contributed to the field. It should also comment on the standing of any journals and the reception of the publications as indicated by citations and reviews.
17. The candidate's application shall first be considered by the Head of the Graduate School, in consultation with the Head of the appropriate department. If the application is accepted, the applicant will then be registered to submit for the degree of PhD by Published Work, and an internal adviser will be appointed by the Graduate School to assist the candidate. A minimum period of three months and a maximum period of twelve months are allowed before submission.

Examination

18. Candidate shall submit for examination:
 - a. three copies, in published form, of each item forming part of the work on which the application for the degree by published work is based. Permission to include work in manuscript, but which has been accepted for publication, may be granted;
 - b. four copies of the supporting paper, modified, if necessary after consultation with the advisor;
 - c. a statement as to what part if any of the material has been submitted for a degree or other qualification in this or any other University or other institution, explaining the reason for its inclusion and, if joint work is submitted, what part of it is the candidate's contribution.
19. The body with delegated authority from Academic Board on behalf of the Committee of the Academic Board on the nomination of the department concerned shall appoint a panel of examiners consisting of one internal and two External Examiners. The internal examiner will not have been appointed as adviser to the candidate. An oral examination will be held for the degree, but this requirement may be waived with the approval of the body with delegated authority from Academic Board provided that all the examiners are in agreement.
20. 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.
21. The examiners may not recommend the award of a lower degree.

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22. A candidate whose work has been found unacceptable for the award of the degree may be permitted to resubmit only after completing re-registration; this would be no earlier than two years after the original submission.
23. The body with delegated authority from Academic Board on behalf of the Committee of the Academic Board considers examiners' reports and recommendations, and a decision is given to the candidate within one month of the oral examination.